

Minutes of a meeting of the Board of Trustees (the Trustees) of Canal & River Trust (the Trust) held 24 January 2019 at 8am in the Doubletree by Hilton Nottingham-Gateway, Nuthall Road, Nottingham, NG8 6AZ

**Present**

Allan Leighton, Chair  
Dame Jenny Abramsky, Trustee and Deputy Chair  
Nigel Annett CBE, Trustee  
Janet Hogben, Trustee  
Sir Chris Kelly, Trustee  
Tim Reeve, Trustee  
Sue Wilkinson, Trustee

**Apologies**

Ben Gordon, Trustee  
Sarah Whitney, Trustee  
Jennie Price CBE, Trustee

**In attendance**

Richard Parry, Chief Executive  
Julie Sharman, Chief Operating Officer  
Stuart Mills, Chief Investment Officer  
Sandra Kelly, Finance Director  
Heather Clarke, Strategy, Impact and Engagement Director  
Simon Bamford, Asset Improvement Director  
Tom Deards, Company Secretary (minute taker)  
Malcolm Naish, The Protector (for item 19/007 only)

19/001 **APOLOGIES**

Apologies were received as noted above.

**CHAIR'S WELCOME AND REMARKS**

The Chair welcomed all attendees to the meeting.

The Chair reported that notice of the meeting had been given to all trustees entitled to receive it and that a quorum was present.

19/002 **REGISTER OF INTERESTS AND DECLARATION OF INTERESTS IN ANY MATTER ON THE AGENDA**

The attendees declared interests and set out in **Information Report Trust389**.

Janet Hogben declared her new position as Trustee of Royal Brompton & Harefield Foundation Hospitals Trust and confirmed that her family member no longer worked in Blackpool LA Private Housing Sector.

Tim Reeve declared new positions as Trustee of Design Dundee Limited and as a Member of the Hunterian Strategic Advisory Board.

Nigel Annett confirmed that he had stepped down as a Member of the Development Board for Museums Wales and no longer had a family relationship with the Principle Private Secretary of the Welsh Government First Minister.

No further declarations of interest were made.

#### 19/003 MINUTES AND SCHEDULE OF ACTIONS

The minutes of the Board of Trustees meetings held on 14 November (by email) and 22 November 2018 were approved.

##### **Summary of actions arising from Board Meetings**

All matters arising were in hand or on the agenda.

#### 19/004 HEALTH & SAFETY SUMMARY [TRUST390]

JS talked through the report Trust390 which gave the Board a headline position of notable safety incidents and issues.

#### 19/005 PROTECTOR'S REPORT [TRUST393]

The Chair welcomed MN to the meeting and noted the report Trust393 which gave some background to the Protector's report.

MN thanked the Board for the invitation both to the Board Meeting and also the Trustee reception the previous evening in Nottingham.

#### 19/006 BUSINESS PLAN UPDATE [TRUST391]

SK presented the report Trust 391 which gave an update on the business plan and the allocation of costs to support the achievement of the Trust's strategic objectives.

#### 19/007 ASSET MANAGEMENT PROGRAMME AND EFFICIENCY OVERVIEW [TRUST392]

SB presented the report Trust392 which gave the Board an update of progress made and ongoing work to continue to improve the effectiveness and efficiency / value of the Trust's asset management and asset improvement, maintenance and repair works delivery

19/008 **COMMONWEALTH GAMES 2022 UPDATE [TRUST394]**

JS presented the report **Trust394** which gave Trustees an update on the progress and plans for the Commonwealth Games 2022, and also for the Coventry City of Culture 2021.

19/009 **GOVERNANCE MATTERS FOR APPROVAL [TRUST395]**

TD presented the report **Trust395** which sets out the governance matters which require a decision or noting by the Board.

Following discussion, the Board:

- Approved the draft Agenda for the 20 March 2019 Council Meeting.
- Approved by way of ordinary resolution in the form of Appendix 2 the appointment of Mazars as the external auditors for Canal & River Reinsurance Designated Activity Company and authorise the Chair to execute the resolution for delivery to C&R Re.
- Approved the appointment of Tom Deards as a director in Canal & River Trading CIC
- Noted the dissolution and striking off of NWM Enterprises Limited from the Companies House Register.
- Ratified the Appointments for Members of the Regional Advisory Boards
- Noted the GDPR Update
- Approved the amended Scheme of Delegation
- Approved the signing of the Trust's annual Modern Slavery and Human Trafficking Statement by the Chair
- Noted the Trust's annual return to the Charity Commission

10/010 **FORWARD PLAN [TRUST396]**

The Trustees noted the **Forward Plan** which sets out the forthcoming business to be considered at future board meetings.

19/011 **CHIEF EXECUTIVE'S REPORT [TRUST397]**

The Board noted the Chief Executive's **Information Report Trust397** and the appendices which had been prepared by the Executive Directors.

In relation to **Appendix 2 Gender Pay Gap** it was noted that overall results were similar to 2016/17, showing positive pay gap on mean and median hourly pay.

In relation to **Appendix 3, Health & Safety Report**, JS drew attention to new phone-based app to record positive interventions which was already providing useful data.

In relation to **Appendix 4: Operations Report** JS highlighted various items in her report.

In relation to **Appendix 5: Asset Improvement Report** SB had nothing further to add.

In relation to **Appendix 6: Investment and Commercial Report** SM highlighted various items in his report.

The Board noted **Appendix 7: People Report**

In relation to **Appendix 8: Strategy, Impact and Engagement Report** HC highlighted various items in her report.

19/012 **FINANCE DIRECTOR'S REPORT [TRUST398]**

SK presented her confidential **Information Report Trust398** which was noted.

18/013 **AOB**

Trustees reflected on yesterday's site visits and evening reception which was generally very positive.

18/014 **Close**

Date of the next meeting – Thursday 21 March 2019 (North West, Manchester)  
There being no further business, the Chair closed the meeting.

Chairman

## HEALTH & SAFETY SUMMARY

Author: Julie Sharman - Chief Operating Officer

### 1 NOTABLE SAFETY INCIDENTS / ISSUES

#### 1.1 RIDDOR

- 1.1.1. Employee: A colleague was walking along a towpath looking for a leak in the towpath at night after an emergency call when they tripped and twisted their knee. The injured party continued to work through the night then later attended A&E where he was advised he had not broken any bones, they were then absent for more than 7 days making the incident RIDDOR reportable. Person suffered ligament damage but has now returned to work.

#### 2.1 Fatalities

- 2.1.1. 1/10/18 Body of a female (30) recovered from a boat moored on the Grand Union Canal in Leighton Buzzard, believed to have been natural causes (came to our attention late)
- 2.1.2. 1/11/18 Body of male (40) recovered from Regents Canal, being treated as possible intentional entry into the water.
- 2.1.3. 13/11/18 Body recovered from the Paddington Arm, no further details at this time
- 2.1.4. 18/11/18 Body of a male (56) recovered from Barons Quay Northwich, being treated as unexplained
- 2.1.5. 4/12/18 Body of a male (70) recovered from the River Ouse, being treated as unexplained
- 2.1.6. 5/12/18 Body of a male recovered from the Grantham Canal, being treated as unexplained
- 2.1.7. 26/12/18 Body of a male (50) recovered from the Rochdale Canal, being treated as unexplained

#### 3.1 Safety statistics for November and December shown below:

TRUST People	AFR	Target	
Employees [1780 FTE]	0.19		
Volunteers [313 FTE]	0.33		
Contractors [630 FTE]	0.08		
<b>Trust Overall</b>	0.18	<b>0.10</b>	
RIDDOR INCIDENTS	November/ December	April to December	
Employees	1	6	
Volunteers	0	1	
Contractors	0	1	
Fatalities	Canal	River	Dock / Marina
7 Fatalities in November - December	4	2	1
25 Fatalities brought forward previous report	18	5	2
32 Fatalities - April to December	22	7	3

## COMMONWEALTH GAMES 2022 UPDATE

Author: Julie Sharman, Chief Operating Officer

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### 1 PURPOSE

- 1.1 The purpose of this paper is to update Trustees on the progress and plans for the Commonwealth Games 2022, and also for the Coventry City of Culture 2021.

### 2 KEY POINTS

- 2.1 Key partners in the West Midlands are starting to recognise the very positive benefits and potential outcomes that the Games will bring.
- 2.2 Whilst we continue to proactively position ourselves with key partners we are now being approached by other parties to support and be part of projects as they see the canal system (and hence the Trust) as being an integral part of their plans.
- 2.3 We have appointed our Community lead role in Coventry and we are making excellent progress at senior level in the City.
- 2.4 We are about to commence recruitment for a community lead for the Commonwealth Games to work in the community alongside our Head of Operational Projects, Ian Lane, whose role is to lead our overall readiness.
- 2.5 We have developed a programme for our activities, actions and key milestones for the run up to both major Events.

### 3 PROJECT DELIVERABLES

- 3.1 We have reviewed the aims and objectives of these 2 key Events for the Trust and have started to focus on what we intend to achieve in terms of key outcomes. Our target areas are;
  - Brand Awareness, *Brand, Supporters and Influence Programme*
  - Transforming the image of the canals in Birmingham, *Beauty on the Doorstep programmes*
  - Increasing the usage of the canals in Birmingham, *Connectivity Programme*
- 3.2 Under each of these we can now start and develop the outcome measures. Examples of these are below but they will continue to be developed over coming months. Whilst the focus areas are around the Games locations we plan to be ambitious with an integrated approach by incorporating key regional target areas within the projects for delivery against the strategic programmes wherever possible.

- All access points to be branded , attractive & welcoming, see appendix 4
- A target percentage uplift in brand recognition
- All advertised key routes are locally adopted and cared for,
- A target percentage increase in towpath use, broken down into activity types,
- A target percentage in local boat movements throughout the year,
- A measurable improvement in asset condition locally.

#### **4 CURRENT STATUS – COMMONWEALTH GAMES**

- 4.1 The last three months have seen the continued engagement with external stakeholders to position ourselves and also investigate potential opportunities. The main stakeholders have included Birmingham City Council, The Active Wellbeing Society and Sport Birmingham. These external bodies have all shown enthusiasm to work with us and a formal workshop is planned in week commencing 11 February.
- 4.2 Our Sub-Committee for the Games, chaired by Frances Done, will provide informed guidance and direction on the run up to the Games so that we deliver our ambitions and key outcomes in line with the Trust’s Strategy.
- 4.3 We have also continued our work internally and have prepared an outline programme (at Appendix 1) and draft action plans . Whilst the individual teams are now investigating opportunities and working with the Head of Operational Projects, a formal workshop will also be held in early 2019, to develop the delivery plan and costing for the strategic programme work. (Appendix 3)
- 4.4 Site visits to each of the games venues is underway to capture the current state of the area and record potential opportunities for further development.
- 4.5 Following the site visits, outline visions are being created for each of the locations to illustrate potential areas of opportunity particularly for presentation to partners. An example of this is Perry Barr, by the Alexander Stadium where the Athletics will take place, and Victoria Park, Royal Leamington Spa (Bowls) which are appended at Appendix 2.

#### **5 CURRENT STATUS – CITY OF CULTURE**

- 5.1 We have continued to positively engage with partners including Coventry City Council and the City of Culture team – we held a recent meeting with Chenine Bhatena, Creative Director for City of Culture, to investigate opportunities.
- 5.2 We are now working with the City Council’s Property team to see how we can work together to create large scale change to develop the Coventry canal basin into a ‘destination’ within the city.
- 5.3 The fledgling Community Roots activity is starting to raise awareness along the Coventry Canal with communities, stakeholders and schools. Signs so far are positive and we are starting to see local activity and interest growing with some entry level volunteering taking place, including plastic patrols. We have also managed to secure additional commitment from probation services to supplement our teams in the area.

- 5.4 Our local volunteers have completed some great work over recent months to make improvements in the area and signal our intent to deliver an improved environment, including regular clean ups and offside tree works.
- 5.5 A Draft programme has now been prepared which is appended. (Appendix 1)

## **6 NEXT STEPS AND RECOMMENDATIONS**

- 6.1 The investigation of opportunities and development of ideas will continue, and relationship building, including meetings with partners and workshops for stakeholders, will be prioritised.
- 6.2 The vision for each site will be prepared so these can be shared to a wider audience to generate awareness of our proposals and also trigger innovation within the Trust. An example of one of these is in Appendix 2.
- 6.3 To maximise the lead up to the City of Culture we are currently developing an activity programme for the European City of Sport and Year of Wellbeing for 2019 in Coventry and Warwickshire. We aim to ensure that we use these events as a trigger into 2021.
- 6.4 The overall programme will be issued to all key stakeholders and used to provide a roadmap for action.

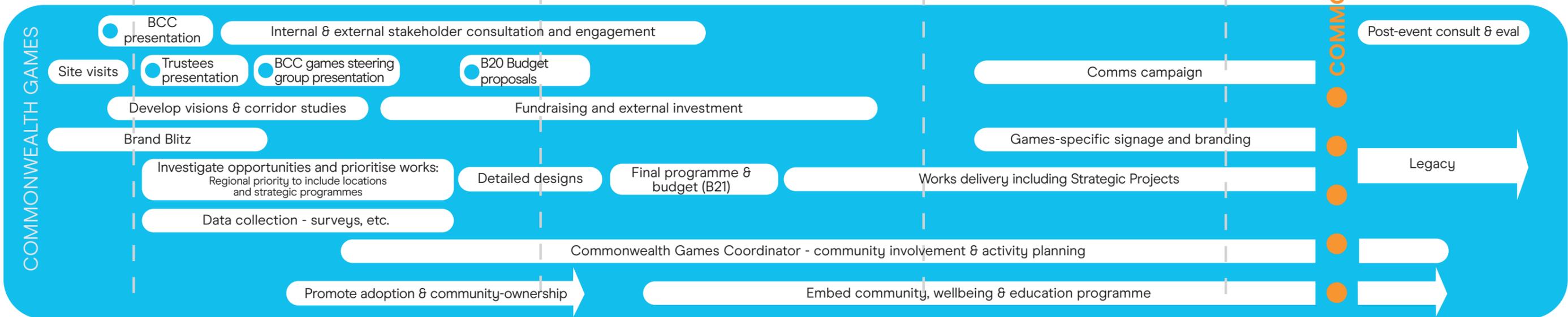
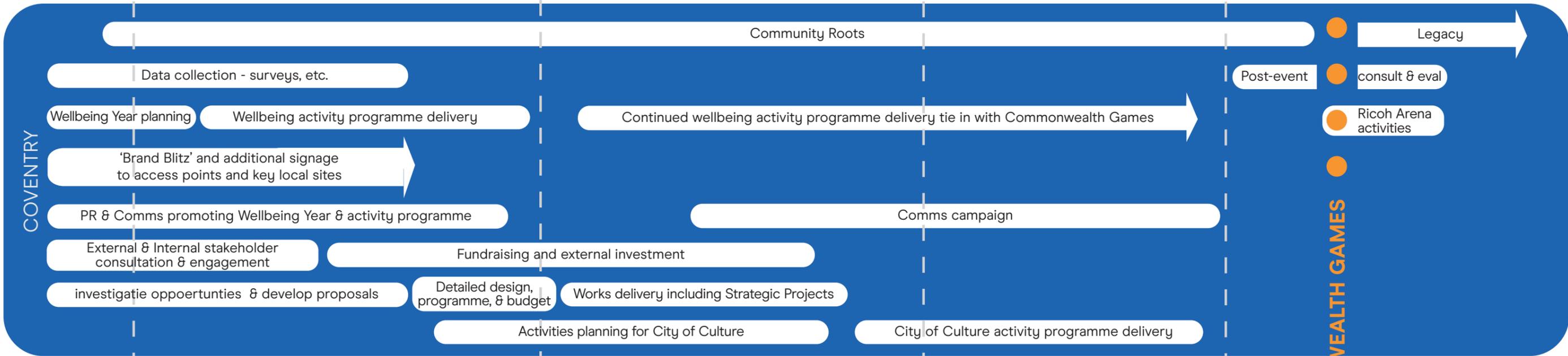
## APPENDICES

Appendix 1 – draft project programme

Appendix 2 – games locations visions

Appendix 3 – outline of opportunities

Appendix 4 – brand blitz examples



# Commonwealth games

- Commonwealth Games
- Tame Valley
- Leamington Spa
- Central Birmingham



## Venues

Within 1km walk of our network:

**Alexander Stadium - Opening Ceremony, Track events**

**Victoria Park - Lawn Bowls**

**Arena Birmingham - Gymnastics**

**Victoria Square - Basketball**

**University of Birmingham - Hockey, Squash**

**Coventry Arena - Netball**

**Sandwell Aquatics Centre - Swimming, Diving**

**Lee Valley Velo Park - Track Cycling**

Farther afield:

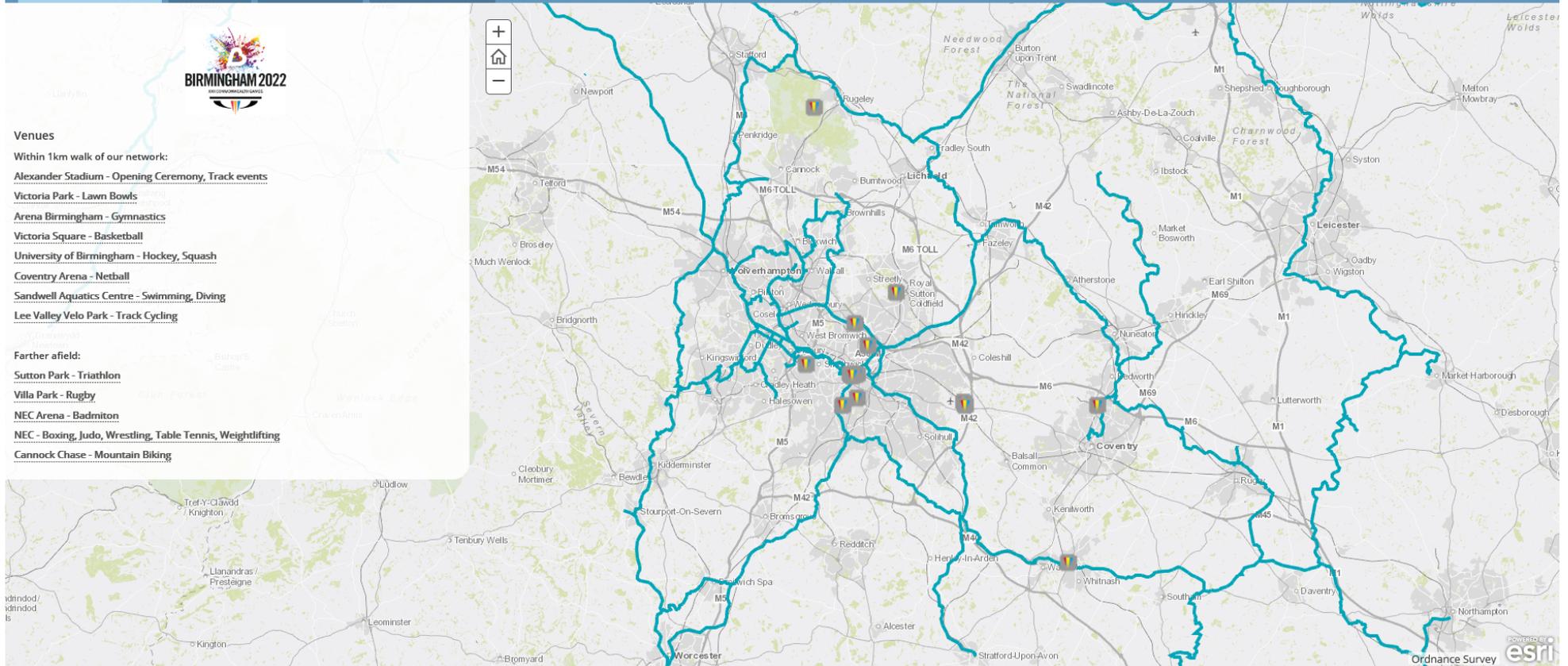
**Sutton Park - Triathlon**

**Villa Park - Rugby**

**NEC Arena - Badminton**

**NEC - Boxing, Judo, Wrestling, Table Tennis, Weightlifting**

**Cannock Chase - Mountain Biking**



# Commonwealth games

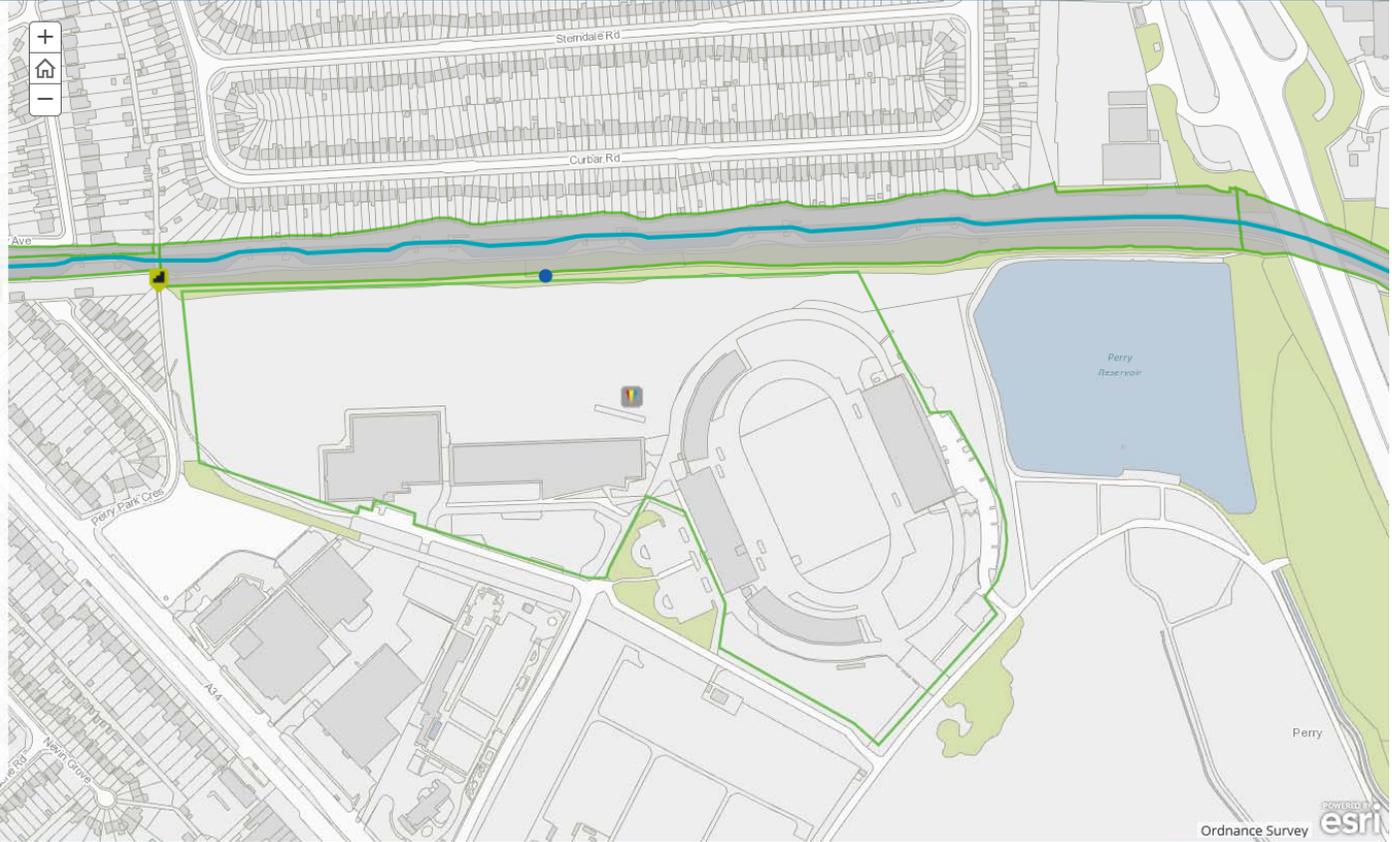
- Commonwealth Games
- Tame Valley
- Leamington Spa
- Central Birmingham



View toward the stadium



Celebrating the Games

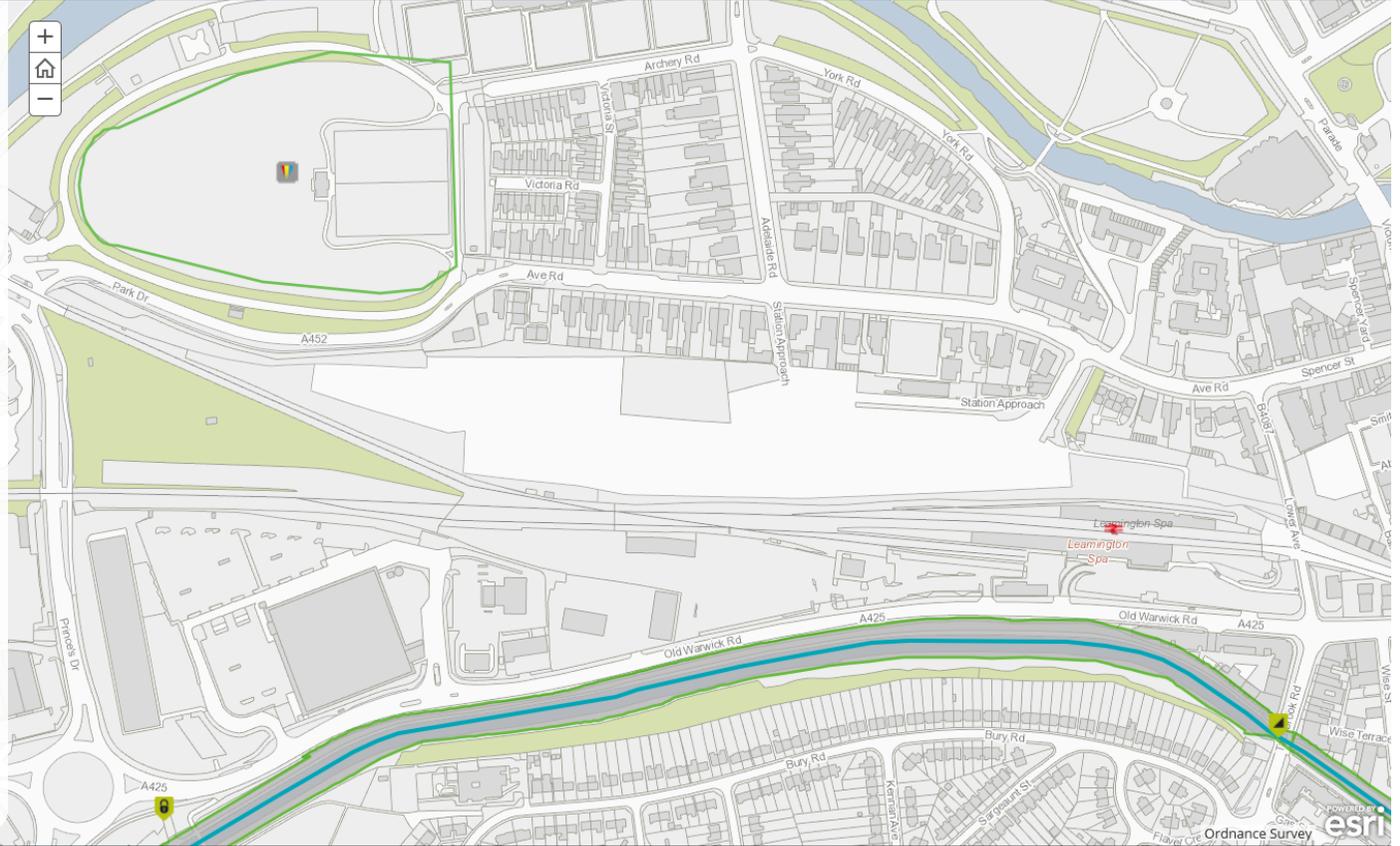




Existing Access



Proposed Access





## APPENDIX 4 BRAND BLITZ EXAMPLES

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## GOVERNANCE MATTERS FOR APPROVAL

Tom Deards, Head of Legal & Governance Services

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### 1 PURPOSE

- 1.1. This paper sets out the governance matters which require a decision or noting by the Board.

### 2 RECOMMENDATIONS

- 2.1 Trustees are invited to:

- 2.1.1 Approve the draft Agenda for the 20 March 2019 Council Meeting (Section 3 & Appendix 1, 2 and 3).
- 2.1.2 Approve by way of ordinary resolution the appointment of Mazars as the external auditors for Canal & River Reinsurance Designated Activity Company and authorise the Chair to execute the resolution for delivery to C&R Re (Section 4 & Appendix 4).
- 2.1.3 Approve the appointment of Tom Deards as a director in Canal & River Trading CIC (Section 5).
- 2.1.4 Note the dissolution and striking off of NWM Enterprises Limited from the Companies House Register (Section 6).
- 2.1.5 Ratify the Appointments for Members of the Regional Advisory Boards (Section 7 & Appendix 5).
- 2.1.6 Note the GDPR Update (Section 8 & **Appendix 6, 7 and 8**).
- 2.1.7 Approve the amended Scheme of Delegation (Section 9 & Appendix 9)
- 2.1.8 Approve the signing of the Trust's annual Modern Slavery and Human Trafficking Statement by the Chair (Section 10 & Appendix 10).
- 2.1.9 Note the Trust's annual return to the Charity Commission (Section 11 & Appendix 11).

### 3 MARCH 2019 COUNCIL MEETING DRAFT AGENDA

- 3.1 The draft Council Agenda for the meeting on 20 March 2019 is attached as Appendix 1. The Agenda will be circulated as a draft immediately after this Board

meeting. It is our normal practice to circulate the draft agenda 2 months before the meeting.

- 3.2 One of the actions to come out of the Council Review was more regular updates between Council Meetings. A copy of the Christmas update to Council Members is attached at Appendix 2.
- 3.3 The update set out proposed actions for the Appointments Committee prior to March, in terms of filling current vacancies for 2 co-opted Members and identifying additional constituencies. An indicative list of possible candidates for vacancies and additional Member constituencies is set out in Appendix 3.
- 3.4 The update also notes the intention to call the March Council Meeting as an EGM to take forward the identified changes in Rules coming out of the Council Review (ie, increase in Member numbers and definition of constituencies) and sets out a number of other measures to increase Member engagement (also set out in Appendix 3).
- 3.5 In addition, following the adoption of new Articles at the September Council Meeting (with the amendment of Article 23 to lower the annual rotation of Trustees to 20%) an ordinary resolution of Council Members is needed in March (under Article 22.1) to ratify the appointment of all Trustees currently holding office.
- 3.6 Finally, as also set out in the update, in response to requests for more meaningful debate at Council Meetings, we have invited views on 2 possible “debate” topics – Managing Shared Use of Trust Towpaths and Engagement with Youth.
- 3.7 We have so far received a total of 8 responses from Council Members, with 4 preferences for each topic expressed. It is proposed that we take the debate topic on shared towpath use in March and the topic on youth engagement for the September Council Meeting.
- 3.8 Trustee views are welcome on the format of the “debate”. One proposal would be to set out briefly the Trust’s historic and current position on the issue, then to invite submissions from (pre-identified) Council Members and guests from selected external stakeholders, before moving to table conversations and finally to open floor discussion.

#### **4 APPOINTMENT OF MAZARS AS EXTERNAL AUDITORS FOR CANAL & RIVER REINSURANCE DESIGNATED ACTIVITY COMPANY (C& R Re)**

- 4.1 Canal & River Reinsurance Designated Activity Company (C& R Re) is domiciled in Ireland and a wholly-owned subsidiary of the Trust. It provides reinsurance to the Trust in respect of property, motor and public liability.
- 4.2 Following the recent change of the Trust’s external auditors, the Trust’s subsidiaries are required to appoint new auditors. As a public interest entity (for the purposes of the EU Audit Regulation 537/2014) C& R Re cannot appoint the same auditor as the Trust (BDO UK LLP).
- 4.3 Following a selection process under Article 16(3) of the Audit Regulation, the directors C & R Re wish to appoint Mazars as the external auditors.

- 4.4 Section 485 of the Companies Act 2006 requires that members of a Company appoint the external auditors by way of ordinary resolution.
- 4.5 It is proposed that the Board approves the ordinary resolution attached as Appendix 4 appointing Mazars as the external auditors for Canal & River Reinsurance Designated Activity Company and authorise the Chair to execute the resolution for delivery to C&R Re.

## **5 APPOINTMENT OF DIRECTOR FOR CANAL & RIVER TRADING CIC**

- 5.1 Canal & River Trading CIC is a wholly owned operating subsidiary of the Trust and it holds a portfolio of investment properties, investments in joint ventures as well as other miscellaneous trading activities.
- 5.2 Following the coming retirement of Steve Pullinger (the Trust's Pensions & Tax Manager and one of the directors of the CIC), the Board of Canal & River Trading CIC (by an email Board meeting earlier this month) approved the appointment of Tom Deards as a director of the CIC to replace Steve on the Board with effect from 31<sup>st</sup> January 2019.
- 5.3 In the Trust's Scheme of Delegation, one of the matters reserved for the Trust's Board is to approve appointment or removal of directors of subsidiaries. Trustees are asked to approve the appointment of Tom Deards as a director of Canal & River Trading CIC.

## **6 DISSOLUTION OF NWM ENTERPRISES LTD**

- 6.1 Following a resolution by the Board at the July 2018 meeting to wind up NWM Enterprises Limited, this company has now been dissolved and struck off the Companies House Register.

## **7 REGIONAL ADVISORY BOARDS**

- 7.1 Useful discussion took place with the Chairs of the Regional Advisory Boards in December, to clarify rules and governance around Regional Advisory Board recruitment and terms of office.
- 7.2 Chairs were generally keen to bring forward recruitment of new RAB Members whilst ensuring that sufficient experience and skills were retained to cover the transition from Waterway Partnerships to Regional Advisory Boards.
- 7.3 The Regional Advisory Board Terms of Reference were noted, particularly the expectation that a RAB Member would not serve for more than 2 terms (of up to 4 years each) unless there are exceptional reasons for a longer term of further, such as the need for continuity during transition, avoiding the loss of key skills/experience etc.
- 7.4 Trustees are asking to ratify the extensions/renewal of RAB Member terms below. A full list of Regional Advisory Board Members and the date of their terms of office is included as Appendix 5.

## 7.5 New Member Appointments and Terms of Office Renewals

### 7.5.1 London & South East

#### **Dermot O'Brien, 1<sup>st</sup> term extension of 1 year to 30 January 2020**

Dermot's career began with an apprenticeship building racing engines, leading to a range of manufacturing and sales roles in aerospace companies. Further work includes running marinas, competitive sailing, and starting a marine charter business. He has spent the last 15 years promoting corporate social responsibility with a particular interest in the long-term unemployed. Dermot was a senior business advisor to the Government Office for London and joined a ministerial task force on youth crime. In 2007 he established The Adab Trust to create employment opportunities for black and minority ethnic students studying in modern universities. He developed a unique employer-led training programme delivering to over 11,000 students. Dermot is a visiting lecturer at London Metropolitan University.

### 7.5.2 South West

The South West Regional Advisory Board is currently recruiting new Members, with an advertisement to be placed on the Trust's website shortly.

David Hagg (South West Regional Advisory Board Chair) has put forward the following extensions which include a number of 3<sup>rd</sup> terms. Trustees should be aware that this falls outside the expectations set out in the current Regional Advisory Board Terms of Reference. The exceptional reasons put forward include the need to preserve some continuity whilst new appointments are made and to ensure effectiveness of the RAB by retaining certain key Members.

#### **Richard Watson, 1<sup>st</sup> term extension of 1 year to 30 April 2020**

Prior to joining the SW RAB, Richard was a member of the Kennet & Avon Partnership during which time he worked with the team to set up a photo competition and is currently working on another photography project to bring the archive to life. Richard works for the National Trust in West Oxfordshire as Countryside Manager on a 4,000ha estate. Prior to that, he spent 3 years as National Volunteering and Community Involvement Manager for the National Trust. In his spare time he is a keen photographer and, until recently, was Chair of the Devizes Camera Club. He is passionate about involving people in our work and raising the profile of the Trust.

The Chair has highlighted Richard's particular contribution in areas of community, environment and heritage.

#### **Lois Francis, 3<sup>rd</sup> term of 3 years to 30 April 2022**

Lois is a former headteacher and a volunteer with the restoration of the Stroudwater navigation.

The Chair has highlighted Lois's particular contribution in areas of learning and education and priority groups.

### **Ed Helps, 3<sup>rd</sup> term of 3 years to 30 April 2022**

Ed is managing director of ABC Leisure Group Ltd, an award-winning business. He is a member of the Tourist Advisory Group and sits on the Executive Committee of British Marine Inland Boating Group.

The Chair has highlighted Ed's particular contribution in areas of community, priority groups and commercial boating.

### **Robert Moreland, 3<sup>rd</sup> term of 2 years to 30 April 2021**

Robert is a former MEP and Gloucester City Councillor, member of the Cotswolds Canals Trust, the Herefordshire & Gloucestershire Canal Trust and Friend of Gloucester Waterways Museum.

The Chair has highlighted Robert's particular contribution in areas of community, heritage and arts.

## **8 GDPR UPDATE**

8.1 Since the **last update** to the Board in November, a substantial amount of work has progressed on GDPR compliance.

8.2 **Redacted**

## **9 SCHEME OF DELEGATION**

9.1 Article 9.2 of the Trust's Articles of Association enables the Trustees to delegate the implementation of their decisions or day-to-day management of the affairs of the Trust to any person by such means, to such an extent, in relation to such matters and on such terms and conditions as they think fit.

9.2 Under Article 9.4 the Trustees may authorise further delegation of the relevant powers, functions, implementation of decisions or day-to-day management by any person to whom they are delegated.

9.3 Article 9.5 requires any delegations to be recorded in a scheme of delegation authorised by the Trustees.

9.4 A number of changes are required to the Trust's existing published Scheme of Delegation to reflect the Trust's current governance structures.

9.5 A copy of the proposed new Scheme (marked up to show changes to the existing Scheme) is attached as Appendix 9. This now includes delegated financial limits for Chief Executive and below.

9.6 Paragraph 29 of the Scheme gives the Chief Executive authority to further delegate powers and responsibilities (only those delegated to him by the Trustees) to any employee of the Trust and it is proposed that further amendments to these delegation arrangements (including changes to paragraph 31 to the end of the Scheme) may therefore take place without Trustee approval.

## **10 MODERN SLAVERY ANNUAL STATEMENT**

- 10.1 The Trust is required to publish its annual Modern Slavery and Human Trafficking Compliance Statement by the 31 March 2019, detailing the steps that have taken place in the previous financial year to ensure that modern slavery (including human trafficking) is not taking place in the Trust or any of our supply chains.
- 10.2 We have produced a proposed Statement which details steps taken by the Trust's Procurement team in 2017/18 to identify risks within our supply chain, as well as other initiatives and standards which directly or indirectly reduce modern slavery risks across the Trust. This Statement is included as Appendix 10.
- 10.3 Further measures are planned in the coming months, including an update to the Trust's Modern Slavery and Human Trafficking Policy and a full review of the Trust's prevention of illegal working processes.
- 10.4 The Board is asked to approve the Statement and delegate authority for signing the Statement to the Chair.

## **11 CHARITY COMMISSION ANNUAL RETURN**

- 11.1 The Trust is required to submit an annual return to the Charity Commission containing details required by relevant charity reporting legislation.
- 11.2 A copy of the Trust's annual return for 2018 is included as Appendix 11.

**January 2019**

## 16<sup>th</sup> COUNCIL MEETING AND GENERAL MEETING

To be held on Wednesday 20 March 2019, 1130-1630 at  
[The Bridgewater Hall](#), Lower Mosley Street, Manchester, M2 3WS

### DRAFT AGENDA

<b>0845-1115</b>	The Council meeting will be preceded by an optional site visit – <i>programme to be confirmed</i>
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<b>1130 WELCOME AND INTRODUCTIONS</b>		<b>PRESENTED BY:</b>
1.	Apologies	
2.	Notes of the 15th Council Meeting held 26 September 2018, for agreement, and Matters Arising	Allan Leighton – Chair
<b>1135 ITEMS FOR DECISION (on which properly appointed proxies will be allowed to vote)</b>		
3.	Governance Decision Report – General Meeting to agree changes to Trust Rules	Tom Deards, Head of Legal & Governance Services
<b>1150 ITEMS FOR INFORMATION AND DISCUSSION</b>		
4.	Appointments Committee Information Report	Dame Jenny Abramsky – Chair, Appointments Committee
5.	Update on Current Activities and Questions	Richard Parry – Chief Executive
<b>1230-1330 LUNCH</b>		
6.	[1330-1430] Waterway Ombudsman Presentation	Sarah Daniel, Waterway Ombudsman Designate - tbc Andrew Walker, Waterway Ombudsman - tbc Kevin Fitzgerald, Chair of the Waterway Ombudsman Committee
7.	[1430-1515] Sharing the Towpath	Allan Leighton
<b>1515-1545 TEA</b>		
<b>1545 STANDING ITEMS</b>		
8.	Council Member Contributions	Allan Leighton – Chair

<b>1600 FUTURE AGENDA TOPICS AND AOB</b>		
<b>9.</b>	Future Agenda Topics	All
<b>10.</b>	Any Other Business	All
<b>1630 CLOSE</b>		
<b>11.</b>	<b>Date of Next Meeting and 7<sup>th</sup> Annual General Meeting</b> Thursday 19 September 2019, 1330-1700, <a href="#">Austin Court</a> , 80 Cambridge Street, Birmingham, B1 2NP (preceded by the Trust's Annual Public Meeting, 1030-1300)	



## Notice of Appointment of Proxy

I, \_\_\_\_\_ being a member of Canal & River Trust, APPOINT  
(Full name)

**Either**

(1) the Chairman of the meeting [**delete if not applicable**];

**or**

(2) NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

to be my proxy in my name and to attend on my behalf upon any matter proposed at the 16<sup>th</sup> Council meeting of Canal & River Trust to be held on 20 March 2019 or at any adjournment of that meeting; and to vote

**either**

(a) in such manner as my proxy shall think proper [**delete if not applicable**]

**or**

(b) to vote on the business proposed to be submitted as follows (and if expedient demand a poll):

(i) To

FOR / AGAINST [**delete as applicable**]

(iii) To

FOR / AGAINST [**delete as applicable**]

Notice giving all the above information should be sent

either electronically to [yetunde.salami@canalrivertrust.org.uk](mailto:yetunde.salami@canalrivertrust.org.uk)

or by post to:                    Yetunde Salami  
   Assistant Company Secretary  
   Canal & River Trust  
   Station House  
   500 Elder Gate  
   MILTON KEYNES  
   MK9 1BB

in either case to arrive by 11:45 on Monday 18 March 2019.

If the notice is sent by post it should be signed by the Council member giving the Notice; if sent electronically it should be sent from the e-mail address registered with the Trust.

## Yetunde Salami

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**From:** Tom Deards  
**Sent:** 21 December 2018 14:44  
**To:** 'Alison Ward WLG'; 'Andrew Phasey, Private Boating'; 'Andrew Tidy, Elected Boating Business'; akm99; Caroline Schwaller; 'Charles Trotman, CLA'; 'Cllr Roger Lawrence, LGA'; 'Cllr Roger Lawrence, LGA (Leader's Office)'; 'David Gibson, Ramblers'; David Hagg; 'David Kent, Angling Trust'; 'Ian McCarthy, Volunteers'; 'Jim Lamb, CIWEM'; John Ellis; John Hudson; 'John Yates, IHBC'; 'Matt Mallinder, Cycling UK'; Neil Edwards; 'Nigel Hamilton, Boating Business'; 'Paul Wilkinson, The Wildlife Trusts'; 'pwilkinson@nottswt.co.uk'; 'Peter Brown, Railway & Canal Historical Society'; 'Peter Hugman, Co-opted Freight'; 'Phil Prettyman, Private Boating'; 'Richard Atkinson, British Canoeing'; 'Ruth Hall, Bwrdd Glandwr Cymru'; 'Stella Ridgway, Private Boating'; 'Vaughan Welch, Private Boating'; William Atkinson  
**Cc:** 'Allan Leighton, CRT Chairman'; 'Christine, PA to Chairman'; 'Janice Richards, PA Torfaen'; Richard Parry; Tom Deards; Alison Cheneler; Karen Jell; Yetunde Salami; Brenda Adams  
**Subject:** Canal & River Trust Council Christmas Update  
**Attachments:** Council Minutes 26 September 2018.docx

Dear Council Members,

As discussed at the Council meeting in Birmingham on 26 September, one of the things that the Trust is committed to doing as part of the Review of Council is to provide regular interim updates to Members between Council Meetings.

### **Professor Walter Menzies**

Firstly, I share with you a message sent earlier this week by Richard Parry:

*"It is with great sadness that we announce the death of Professor Walter Menzies, interim Chair of our North West Regional Advisory Board, and formerly Chair of the Manchester, Pennine & Potteries Waterway Partnership.*

*As one of the original Partnership Chairs, Walter made a major contribution to the development of the Trust's devolved Governance and in connecting the Trust to the wider networks and opportunities in the local area. Under his guidance, the Trust secured its first Green Flag award (for the Macclesfield Canal) and pioneered many other local initiatives, whilst also building strong relationships with key local partners.*

*After missing most of 2017 with ill-health, Walter had enthusiastically taken on the North West Regional Chair role for an interim year, before suffering further health problems in the last few months. He died suddenly on Sunday.*

*Visionary and inspirational, Walter was well-liked by all who worked with him, and he will be greatly missed."*

### **Council Minutes**

I attach a copy of the Minutes of the Council Meeting held in Birmingham on 26 September.

### **Council Review**

I would also like to update you on a number of wider actions to take forward the Review of Council that are taking place between now and the next Council meeting (on 20 March in Manchester).

Firstly, we are convening a meeting of the Appointments Committee in the New Year (date to be confirmed) in order to:

- appoint a replacement Chair for the North West Regional Advisory Board
- fill the vacancy to replace Chloe Donovan (co-opted Member representing Youth), who has resigned her membership of Council following her stepping down as the Chair of the Youth Engagement Advisory Group
- fill the vacancy for a 3<sup>rd</sup> co-opted Member – we are approaching a number of people across wellbeing and health sectors in relation to this
- Identify further constituencies for up to 11 additional Members (1 nominated, 5 elected, 5 appointed) to be proposed at the March Council meeting – with an emphasis on wellbeing and diversity, although we are looking at more representation from boating business and other user groups (in response to concerns raised by elected Members)

Secondly, I am putting together a report with recommendations for the following changes to the Trust rules by resolution at the March Council Meeting (to be convened as an Extraordinary General Meeting for this purpose):

- To increase the number of Council Members to up to 42 (14 elected, 14 nominated and 14 appointed)
- To specify the constituencies of the new Council Members in accordance with recommendations of the Appointments Committee
- To make clear that elected/nominated Council Members are representatives rather than delegates of their respective organisations – so that they hold office in their own right rather than having to refer to the wishes of their nominating bodies or electorates
- Where the Appointments Committee appoint or invite the nomination of anyone to fill a casual vacancy (through the vacating of a co-opted or nominated Member), this person is appointed for a full 4-year term, to mitigate the current “cliff edge” of Council Member terms

If Council approve these changes in March, the next steps would be for the Appointments Committee to co-opt a further 5 Members (and seek the nomination of a further Member), followed by an election for 5 new elected Members (plus an election for the vacant elected Friend position) – with a view to reaching a full Council Membership of 42, perhaps through a phased approach by the end of 2020.

Finally, we are looking at a number of ways to increase and record engagement with Members outside of Council Meetings:

- Regular meetings scheduled between elected Members and the Trust Chief Executive/Chair
- Standing item for Council Meetings to summarise Council Member input into Trust governance framework and decision-making
- Further consideration of Member participation in other Trust governance bodies (e.g. National Advisory Groups, Regional Advisory Boards, other sub-committees)

### **Council Debate**

Following useful engagement with elected Members, also as part of increasing Member engagement, we are also proposing to include a debate on the March Council Agenda relating to an area of Trust policy and strategy.

Suggested topics for debate are:

- How should the Trust better manage towpath space amongst the various user groups to maximise benefit delivered?
- How should the Trust better engage with young people?

I should be grateful if you would indicate (by return email to Brenda – details below) which of these topics you would like to debate. I also welcome any other debate topics Council Members would like to propose.

### **Trust Video**

I attach a link to a video produced for the Trust and shown at our recent Parliamentary Reception which I hope you will enjoy.

<https://canalrivertrust.org.uk/ourfilm>

Finally, I would just like to wish you all a Merry Christmas and a Happy New Year.

I look forward to seeing you all in Manchester in March.

Kind regards.

Tom Deards

Head of Legal & Governance Services

Canal & River Trust, First Floor North, Station House, 500 Elder Gate, Milton Keynes, MK9 1BB

E-mail: [tom.deards@canalrivertrust.org.uk](mailto:tom.deards@canalrivertrust.org.uk)

Best Number – Mobile: 07917 899100

\*\*\*\*\*

Brenda Adams

Governance Administrator

Canal & River Trust, The Dock Office, Commercial Road, Gloucester, GL1 2EB

E-mail: [brenda.adams@canalrivertrust.org.uk](mailto:brenda.adams@canalrivertrust.org.uk)

Phone: 01452 318541 Internal Ext: 3641

**Canal & River Trust  
Regional Advisory Board Membership  
As at 24 January 2019**

Key Name	Term	Firstname	Keyname	Start Date	End Date
Regional Advisory Board - East Midlands	1st Term	Anil	Majithia	04-Jun-2018	30-Jun-2021
		Shirley	Rogers	04-Jun-2018	30-Apr-2019
		Tim	Carter	04-Jun-2018	30-Dec-2019
	2nd Term	Ahtesham	Mahmood	30-Nov-2018	30-Nov-2021
		David	Pullen	04-Jun-2018	30-Apr-2019
		Kathryn	Dodington	04-Jun-2018	02-Sep-2020
Regional Advisory Board - London & South East	1st Term	Matthew	Easter	04-Jun-2018	30-Apr-2019
		Valerie	Holt	04-Jun-2018	30-Apr-2019
		Dermot	O'Brien	04-Jun-2018	21-Jan-2019
	2nd Term	Dominic	Pinto	04-Jun-2018	30-Nov-2019
		Emma	Waslin	04-Jun-2018	15-Mar-2020
		Jenny	Ballinger	04-Jun-2018	19-Sep-2019
Regional Advisory Board - North West	1st Term	Matthew	Hunt	04-Jun-2018	13-Jun-2019
		William	Atkinson	04-Jun-2018	30-Jun-2021
		Dick	Pilkinton	04-Jun-2018	30-Apr-2019
	2nd Term	Jim	Crooks	04-Jun-2018	30-Apr-2019
		Gerry	Proctor	04-Jun-2018	05-May-2020
		Joe	Parkin	04-Jun-2018	07-Nov-2019
Regional Advisory Board - South West	1st Term	John	Hatton	04-Jun-2018	29-Mar-2020
		Kate	Hughes	04-Jun-2018	30-Apr-2019
		Michael	Carter	04-Jun-2018	30-Apr-2019
	2nd Term	Nicola	Said	04-Jun-2018	30-Apr-2019
		Ruth	Wojtan	04-Jun-2018	29-Mar-2020
		Sue	Cawson	04-Jun-2018	30-Apr-2019
Regional Advisory Board - West Midlands	1st Term	Jon	Stopp	04-Jun-2018	30-Apr-2019
		Keith	Sexton	04-Jun-2018	30-Apr-2019
		Nicholas	Mead	04-Jun-2018	14-Nov-2020
	2nd Term	Nigel	Stevens	04-Jun-2018	30-Apr-2019
		Peter	Jordan	04-Jun-2018	14-Nov-2020
			Rowlinson	04-Jun-2018	14-Nov-2019
Regional Advisory Board - Yorkshire & North East	1st Term	Tayo	Adebowale	04-Jun-2018	30-Apr-2019
		Iain	Taylor	04-Jun-2018	30-Apr-2019
		Audrey	Smith	04-Jun-2018	14-Nov-2020
	2nd Term	Michael	Macklin	04-Jun-2018	14-Nov-2020
		Richard	Watson	04-Jun-2018	30-Apr-2019
		David	Hagg	04-Jun-2018	31-Mar-2021
Regional Advisory Board - East Midlands	1st Term	Edward	Helps	04-Jun-2018	30-Apr-2019
		Ken	Oliver	04-Jun-2018	24-Jan-2020
		Lois	Francis	04-Jun-2018	30-Apr-2019
	2nd Term	Phil	Hughes	04-Jun-2018	30-Apr-2019
		Rob	Dean	04-Jun-2018	30-Apr-2019
		Robert	Moreland	04-Jun-2018	30-Apr-2019
Regional Advisory Board - West Midlands	1st Term	Adam C	Boyle	04-Jun-2018	30-Apr-2019
		Ewan	Hamnett	04-Jun-2018	03-Mar-2019
		Imran	Mirza	04-Jun-2018	01-Mar-2021
	2nd Term	John	McNicholas	04-Jun-2018	01-Mar-2021
			Yates	04-Jun-2018	30-Apr-2019
			Hudson	11-Sep-2018	11-Sep-2021
Regional Advisory Board - Yorkshire & North East	1st Term	Laura	Shoaf	04-Jun-2018	30-Apr-2019
		Philip	Bateman	04-Jun-2018	30-Apr-2019
		Adrian	Curtis	04-Jun-2018	27-Apr-2020
	2nd Term	Caroline	Schwaller	30-Jun-2018	30-Jun-2021
		Caroline	Thorogood	04-Jun-2018	31-Oct-2021
		David	Lowe	04-Jun-2018	30-Apr-2019
Regional Advisory Board - Yorkshire & North East	1st Term	Hilary	Brooke	04-Jun-2018	30-Apr-2019
		Peter	Scott	04-Jun-2018	30-Apr-2019
		Richard	Atkinson	04-Jun-2018	14-Nov-2019
	2nd Term	Robin	Stonebridge	04-Jun-2018	30-Apr-2019
		Trevor	Roberts	04-Jun-2018	30-Apr-2019

# Canal & River Trust Scheme of Delegation

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## Introduction

1. The Board of Trustees is the key body responsible for the governance of the Trust.
2. This scheme of delegation is authorised by the Board of Trustees pursuant to their powers in the Trust's Articles of Association.
3. The Scheme of Delegation sets out the extent to which the Trustees have delegated responsibilities to its Committees and to the Chief Executive.
4. Any delegated authority must be exercised reasonably and with due care and attention. Decision-makers must take into account the views of appropriate support services such as Finance, HR, Legal or of other colleagues who have specialist knowledge of the subject matter. Decisions taken under delegated authority should always be taken in such a way that they promote the efficient operation of the Trust's objectives.
5. There are other useful documents which describe the governance arrangements, including the Terms of Reference for Board Committees, on the Corporate Governance pages of Gateway.

## Decisions Reserved to the Council

6. The Council may advise the Board. Matters reserved to the Council are:
  - a. Appoint the Board
  - b. Make a recommendation to a General Meeting to remove a Trustee
  - c. Make amendments to the Articles by special resolution requiring a 75% majority (subject to entrenchment provisions in the Articles)
  - d. Make, repeal or amend Rules as to the governance of the Trust but only on the recommendation of the Trustees
  - e. Require the Trustees to call a General Meeting
  - f. Appoint the Trust's external auditors
  - g. To receive and consider the Trustees' Annual Report and Accounts together with the Auditor's Report
  - h. Any other matter specifically requiring members' approval under the Companies Act 2006.

## Appointments Committee

7. The Appointments Committee is a joint committee of the Board of Trustees and the Council established under Article 27 consisting of an equal number of Trustees and Council Members and no fewer than two of each. Delegations to the Appointment Committee:
  - a. Manage recruitment of Trustees
  - b. Recommend candidates for appointment as Trustees to the Council

- c. Identify Council constituencies and recommend whether seats should be filled by election or nomination in accordance with Article 27
- d. Identify and appoint co-optees to the Council in accordance with Article 29
- e. Appoint or remove Regional Advisory Board ~~Waterway Partnership~~ Chairs (see 8).

## Regional Advisory Boards

8. ~~Constitutionally~~ Regional Advisory Boards<sup>1</sup> are ~~Waterway Partnerships as required constituted under by~~ Article 26.1. Regional Advisory Boards are formed of up to 12 people within each Region who bring a range of skills, experiences and contacts to assist the Trust in maximising its impact in the Region. They are advisory and have no decision-making powers.

## National Advisory Groups

9. National Advisory Groups are advisory and have no decision-making powers. Their role is to advise the Executive in the development of policy within the area of expertise they represent. They are:
  - a. Arts
  - b. Environmental
  - c. Freight
  - d. Heritage
  - e. Museums
  - f. National Angling
  - g. Navigation – Moorings and Licensing
  - h. Navigation – Operations
  - i. Volunteering
  - j. Youth Engagement

## Bwrdd Glandŵr Cymru – the Canal & River Trust in Wales

10. Bwrdd Glandŵr Cymru is advisory and has no decision-making powers. Its role is to represent the Trust in Wales and to bring knowledge of Welsh Government matters to assist the Trust in operating effectively within Wales to serve the needs to the nation ~~but is given an advocacy, ambassadorial, and influencing role.~~

## Decisions Reserved to the Board of Trustees

### General Enabling Provision

11. Under the terms of Article 9, the Trustees may (subject to a few limitations) delegate their powers and functions to any committee, and the implementation of their decisions and the day to day management of the Trust to any person or committee. The Trustees may authorise further delegation by the person or committee to whom such responsibilities are initially delegated. However, certain matters are reserved to the Board of Trustees only.

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<sup>1</sup> Regional Advisory Boards are referred to as Waterway Partnerships in the Trust's Articles of Association

## Structure and governance

12. In relation to Structure and Governance, the Board of Trustees should:
  - a. Ensure that the Trust complies with charity and other law, and with the requirements of the Charity Commission as regulator, and any other regulators that may apply
  - b. Ensure that the Trust complies with its charitable objectives
  - c. Ensure the Trust has a long term strategy to address its objectives, and a supporting strategic plan
  - e.d. Ensure there is an effective risk management and internal control framework.
  
13. Matters Reserved for the Board of Trustees relating to Structure and Governance:
  - a. Recommend to Council changes to the Rules regarding the governance of the Trust
  - b. Ratify the appointments of Waterway Partnership Regional Advisory Board members, following recommendation by the respective Regional Advisory Waterway Partnership Board Chair
  - c. Remove Waterway Partnership Regional Advisory Board members
  - d. Establish any Board Committee, its membership including its Chair, determining its Terms of Reference, receiving its recommendations and agreeing resulting actions
  - e. Appoint the Chair of the Board of Trustees
  - f. Appoint and remove the Chief Executive
  - g. Appoint and remove the Company Secretary
  - h. Approve any changes to the structure or composition of the Trust Executive team, including any material changes to those posts directly reporting to the Chief Executive
  - i. Approve the method of appointment to all posts reporting to the Chief Executive, and agree in advance the involvement of Trustees, if any, in the appointment process for each post
  - j. Authorise persons to authenticate application of the company seal of the Trust
  - k. Set the high-level tolerance for risk, with ownership of the Corporate Risk Register
  - l. Approve the formation or winding up of joint ventures and subsidiaries, over £10m<sup>2</sup> or where there is significant reputational impact or is otherwise contentious
  - m. Approve appointment or removal of directors of subsidiaries
  - n. Approve the initiation or settlement of any litigation that has the potential for reputational damage, significant costs, or is otherwise contentious
  - o. Respond to any warning issues by the Protector, as set out in Schedule 8 of the Defra agreement
  - p. Invite others to attend Board meetings where applicable
  - q. Undertake a review of Board performance and that of Board Committees

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<sup>2</sup> Measured as the Trust's gross investment in the entity (shares, loans or both) or the entity's Net Asset Value (NAV) whichever is higher

- r. Appoint the Chair of the Bwrdd Glandŵr Cymru
- s. Appoint the Trust's representatives on the Waterway Ombudsman Committee
- t. Authorise persons to act as representatives of the Trustees of the Trust for the purposes of giving such certificates as are required to be given by the Trustees under the provisions of Part 7 (Charity Land) of the Charities Act 2011 for the proper disposition by or in favour of the Trust of land held by it or to be held by it (in either case whether or not as a trustee).

## Planning and reporting

- 14. In relation to Planning and Reporting, the Board of Trustees should review performance in the light of the strategy, objectives, business plans and budgets and ensuring that any necessary corrective action is taken.
- 15. Matters Reserved to the Board of Trustees relating to Planning and Reporting:
  - a. Approve the long-term objectives and strategy for the Trust
  - b. Approve the Annual Budget and the longer-term Business Plan
  - c. Decide the Trust's overall approach to income generation, including the Investment strategy~~proportion expected to be raised from fundraising.~~

## Financial reporting and control

- 16. In relation to Financial Reporting and Control the Board of Trustees should:
  - a. Ensure that the Trust is and will remain solvent
  - b. Ensure that there is a sound framework of financial controls including:
    - i banking
    - ii payments and receipts
    - iii treasury management
    - iv safeguarding of assets
- 17. Matters reserved to the Board of Trustees relating to Financial Reporting and Control:
  - a. Approve the Trustees' Annual Report and Accounts, and to receive the Auditor's report
  - b. Authorise revenue commitments of £10m or more<sup>3</sup>
  - c. Authorise the cessation of any activities which would have an impact of £10m or more on the revenue budget<sup>4</sup>
  - d. Approve the appointment of Investment Managers
  - e. Approve the ~~Group~~ Investment Policy for Investment assets in the Protected Endowment Portfolio (the Trust Investment strategy)
  - f. Approve contract awards where the value is over £10m<sup>5</sup>
  - g. Approve bids submitted by the Trust where the potential or actual value is over £10m<sup>6</sup>

<sup>3</sup> Measured over the lifetime of that commitment

<sup>4</sup> Measured over the lifetime of that impact

<sup>5</sup> Measured as the value of the anticipated spend (estimated where not specified) over full term of proposed arrangement including any options to extend

<sup>6</sup> Measure as the value of the anticipated impact (estimated where not specified) over the full term of the proposed arrangement including

- h. Approve, investments in and disposals of investment assets with an individual value of £10m<sup>7</sup> or more. This includes equity investments in Joint Ventures, Subsidiaries and all entities controlled by the Trust Group
- i. Approve property leases, licences and premia with a nominal value of £10m or more<sup>8</sup>
- j. Approve financing decisions, investments, divestments, credit arrangements, loans or guarantees with a value of £10m or more, or any such arrangements which are unusual or carry reputational or other risk
- k. Approve any projects or proposed activities considered novel or contentious or in any instance where an approval within the executive delegated authority could create an implied or moral commitment beyond that authority
- l. Approve transactions with Council members, Trustees and Executive Directors other than travel and expense claims incurred in the day to day management of the business
- m. Recommend the external auditors for appointment by the Council
- n. Appoint the external auditors to the Trust subsidiaries, following recommendation by the Board of the subsidiary.
- o. Approve bank signatories.
- p. Approve the Treasury Management Strategy and Investment Strategy
- q. Decides the level of Treasury Management investment and level of risk
- r. Authorises specific financial instruments.
- s. Agrees measures for monitoring outcomes of Treasury Management Activity, and receives reports against these measures.

### In relation to the Waterways Pensions Fund

18. The Waterway Pensions Fund is a separate body with its own Deeds and Rules and its own Trustees who are responsible for the governance of the Fund. The Canal & River Trust is the Principal Employer for the Waterways Pension Fund and, in accordance with the Pension Fund Trust Deed and Rules, has specific functions related to the Fund. Matters relating to Waterways Pension Fund which are reserved for the Trustees of the Canal & River Trust are:
- a. Appoint the Trustee Directors to the Waterways Pension Fund (as required by the WPF Deeds and Rules para 3.2)
  - b. Approve any amendment to the Trust Deed and Rules with the agreement of the Pension Fund Trustee Directors (in accordance with WPF Deeds and Rules section 11)
  - c. Approve any significant changes to the operation of the Waterways Pension Fund, including re-design or closure of the scheme

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any options to extend

<sup>7</sup> Measured as: Gross purchase price of an investment asset plus any capitalised fees and purchase taxes but excluding any recoverable VAT. Gross Selling price of a disposal of an investment asset excluding any recoverable VAT and before deduction of costs of sale. Investments at cost in JVs and Subsidiaries by way of either equity (shares) or debt (loans) or a combination or both where the cumulative cost of investment by the charity exceeds £10m

<sup>8</sup> Measured as the Net Present Value of the receipts at a 6% discount rate

- d. Discharge all responsibilities of the Principal Employer of the Waterway Pension Fund except those relating to individual pensioners or prospective pensioners (which are delegated to the Finance and Corporate Services Director)
- e. Agreeing contribution rates
- f. Approve significant decisions in relation to the Property Funding Partnership
- g. Approve the Trust's response to any proposal to change the Statement of Investment Principles from the Waterway Pension Fund Trustee Directors.



## Decisions Delegated to the Chair of the Board of Trustees

19. The Chair of the Board of Trustees can take decisions in respect of matters reserved by the Trustees when an urgent decision is required between Trustee meetings (the views of the Trustees having been ascertained as far as possible and the decision being reported to the next meeting of the Trustees).
20. The Chair of the Board of Trustees can give final rulings in matters of interpretation of this Scheme of Delegation.

## Board Committees

21. Some matters are reserved for the Trustees but have been delegated to Board Committees. The Terms of Reference for each Board Committee are available on the Corporate Section of Gateway.

## All Board Committees

22. Each Board Committee has the power to:
  - a. Approve its own agendas (via the Board Committee Chair)
  - b. Investigate any activity within its Terms of Reference
  - c. Seek information relevant to its function from any employees of the Trust
  - d. Co-opt independent members from outside the Trust Board, provided that Trustees remain in a majority on the Committee. Independent members may serve for a term maximum period of up to three years, with the ability to be re-appointed for a second further period of one term of three years.
  - e. Appoint independent professional advisers relevant to its Terms of Reference at the Trust's expense
  - f. Require any member of the Executive, or any employee nominated by a member of the Executive to attend their meetings, or ask them to not attend meetings.

## Audit & Risk Committee

23. Delegations to the Audit and Risk Committee:
  - a. Appraise the key risks facing the Trust as itemised in the Corporate Risk Register and gain assurance that the Executive is addressing or mitigating key risks adequately
  - a.b. Make recommendations to the Board for the appointment of external auditors
  - b.c. Approve the remuneration and terms of engagement of the external auditor (following delegation to the Board at the AGM)
  - e.d. Approve the external audit strategy
  - d.e. Approve Internal Audit Charter, Strategy and annual plans
  - e.f. Make recommendations to the Board on the effectiveness of the Trust's risk management and internal control framework
  - f.g. Review the Trustees' Annual Report and Accounts before submission to the Board, and

to receive the Auditor's report and the draft letter of representation

~~g-h.~~ Make recommendations to the Board on the publication of the statement on internal control and management of risk for inclusion in the Trustees' Annual Report and Accounts

~~h.~~ *(this paragraph is intentionally blank)*

i. Approve changes to accounting policies

~~24.~~ *This paragraph is intentionally blank.*

## The Investment Committee

~~25-24.~~ In accordance with the Article 10 of the Articles of Association the Trustees may form an Investment Committee oversee the performance of its investments and delegate the management of investments to an Expert ~~or Experts~~ provided that:

- a. the investment policy is approved and set down in Writing for the Expert ~~or Experts~~ by the Trustees
- b. timely reports of transactions are provided to the ~~Trustees~~Investment Committee
- c. the performance of the investments is reviewed regularly with the ~~Trustees~~Investment Committee
- d. the Trustees are entitled to cancel the delegation arrangement at any time
- e. the investment policy and the delegation arrangements are reviewed regularly
- f. all payments due to the Expert ~~or Experts~~ are on a scale or at a level which is agreed in advance
- g. the Expert ~~or Experts~~ must not do anything outside the powers of the Board of Trustees.

~~26-25.~~ Delegations to the Investment Committee:

- a. Those matters contained in paragraph ~~24~~5
- b. Make recommendations to the Board for the appointment of investment managers
- c. Management of the relationship with the Protector jointly appointed by the Trust and Defra under the terms of the Grant Agreement
- d. Approve financing decisions, investments in and disposals of investment assets with an individual value between £5m and £10m<sup>9</sup>. This includes equity investments in Joint ventures, subsidiaries and all entities controlled by the Trust Group
- e. Approve property leases, licences and premia with a nominal value of between £5m and £10m<sup>10</sup>
- f. Make recommendations to the Board on the Investment strategy and the commercial activities of the Trust.
- g. Makes recommendations to the Board in respect of Treasury Management

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<sup>9</sup> This is measured as: Gross purchase price of an investment asset plus any capitalised fees and purchase taxes but excluding any recoverable VAT. Gross Selling price of a disposal of an investment asset excluding any recoverable VAT and before deduction of costs of sale. Investments at cost in JV's and Subsidiaries by way of either equity (shares) or debt (loans) or a combination or both where the cumulative cost of investment by the charity exceeds £10m

<sup>10</sup> This is measured on the basis of the Net Present Value of the receipts at a 6% discount rate

~~27. This Paragraph is intentionally blank~~

## Remuneration Committee

~~28-26.~~ Delegations to the Remuneration Committee:

- a. Determine the overall reward and remuneration strategy for the Trust, including for the Chief Executive and other key Executive Directors
- b. ~~Authorise Make the required annual or periodic decisions required to implement~~ the overall reward and remuneration strategy, such as annual pay increases and bonus pools
- c. Approve the design of, and determine targets for, any performance related pay scheme operated by the Trust for any of the Executive Directors; to review performance accordingly and approve the total annual payments made under such a scheme
- d. Approve the terms of termination of service of any Executive Director, and any payments made
- e. Approve any major changes in employee benefits structures throughout the Trust group
- f. Approve severance costs of £50,000 or more for any member of staff below Director.

## Delegations to Subsidiaries

~~29-27.~~ Each subsidiary under the control of the Trust is empowered, as long as it adheres to the agreed Strategy and Policies of the Trust including this Scheme of Delegation, to operate within its own governance framework. Subsidiaries may not act in such a way as to undermine or otherwise bring into disrepute any aspect of the Trust's operations.

## Duties Delegated to the Chief Executive

~~30-28.~~ The Chief Executive has the authority to manage the affairs of the Trust except for those matters reserved for the Council, the Appointments Committee, the Board, the Chair and the Board Committees as set out in paragraph 11 to ~~279~~ of this Scheme of Delegation.

~~31-29.~~ The Chief Executive has the authority to further delegate powers and responsibilities to any employee of the Trust, provided the delegations set out in paragraphs 11 to ~~279~~ of this Scheme of Delegation are adhered to.

~~32-30.~~ The Chief Executive can give final rulings in matters of interpretation of paragraphs ~~2830~~ to the end of this Scheme of Delegation.

## Reserved matters for the Chief Executive

### In relation to Structure and Governance

~~33-31.~~ Matters reserved for the Chief Executive in relation to Structure and Governance:

- a. Establish any Executive Committee, and determine its terms of reference and its membership including its Chair

- b. Approve minor changes to the responsibilities of those posts which report directly to the Chief Executive<sup>11</sup>
- c. Approve Council, Board, and Board Committee papers except those presented by the Head of Internal Audit
- d. Provide management assurance on the risk management framework to the Board, including recommending the Corporate Risk Register to the Board.

### In relation to Planning and Reporting

~~34~~32. Matters reserved for the Chief Executive in relation to Planning and Reporting:

- a. Propose for Board approval the long term objectives and strategy for the Trust
- b. Propose for Board approval the Annual Budget and longer term Business Plan.

### Financial Reporting and Control

~~35~~33. Matters reserved for the Chief Executive in relation to financial reporting and control are set out in **Appendix 1**. Additional reserved matters are:

- a. Approve the initiation or settlement of any material<sup>12</sup> litigation except for those which have the potential for reputational damage, significant costs, or is otherwise contentious and thereby are required to be approved by the Board under paragraph 13n of this Scheme of Delegation
- b. Approve Directors' expenses
- c. Approve international travel expenses.

### Emergency Decisions

~~36~~34. Where an emergency decision is required under paragraphs 33–35 and the Chief Executive is absent, then approval can be given by obtaining the signatures of two Directors.

### Duties Delegated to and reserved by all Directors

~~37~~35. Matters reserved for Directors in relation to financial reporting and control are set out in the appendices

. Additional reserved matters are:

- a. Approve international travel up to £500 per person per return journey
- b. Approve changes to an appropriate delegation scheme relevant to their functional responsibilities
- c. Approve changes to operating procedures, standards and processes relevant to their functional responsibilities

### Duties Delegated to and Reserved by the Finance Director

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<sup>11</sup> Paragraph 13i reserves decisions about significant changes to the Board

<sup>12</sup> “Material” is defined by discussion between the Chief Executive and the Head of Legal

~~38-36.~~ Matters reserved for the Finance Director in relation to financial reporting and control are set out in the appendices. Additional reserved matters are:

~~a.~~ ~~Hold dialogue with Defra on financial and risk management matters~~

~~b.a.~~ Approve the overall level of insurance required

~~e.b.~~ Discharge all responsibilities of the Principal Employer of the Waterway Pension Fund relating to individual pensioners or prospective pensioners, after appropriate consultation with Legal and HR

~~d.c.~~ Award of non-audit work to external auditors below the limit set out by the Audit and Risk Committee<sup>13</sup>

~~e.d.~~ Approve the Chief Executive's expenses

~~f.e.~~ Authorise those who may approve, sign and submit financial returns to regulators and statutory bodies as required

~~g.f.~~ Approve investment of funds in accordance with the agreed Treasury Management policy

~~h.g.~~ Approve salary payments including deductions and payments to collecting bodies such as HMRC, pension schemes<sup>14</sup>

~~i.h.~~ Approve Internal Audit arrangements, after appropriate consultation with the Audit and Risk Committee

~~j.i.~~ Manage banking arrangements, including the provision of banking services, operation of accounts, preparation of instructions and list of cheque/payment signatories, subject to Board approval as set out in paragraph 15b and 17o

~~k.j.~~ ~~Approve proposed prepayment arrangements~~

~~l.k.~~ Ensure compliance with the requirement of HMRC concerning any issue of taxation relevant to the Trust

~~m.l.~~ Establish a clear framework for risk management and ensure that risks are identified, evaluated and recorded on an on-going basis

~~n.m.~~ Approve the commissioning and decommissioning of IT systems

~~o.~~ ~~Approve additional permanent posts above the agreed establishment, after consultation with the People Director~~

~~p.n.~~ Approves the incurrence of indebtedness, apart from that on normal trade terms.

~~39.~~ ~~(This paragraph is intentionally blank)~~

## Duties delegated and reserved to the Chief Investment Officer

~~40-37.~~ Matters reserved for the Chief Investment Officer:

a. Approve purchase or lease of any operational property.

## Duties delegated and reserved to the People Director

<sup>13</sup> The limit appears as a footnote in the Audit and Risk Committee's terms of reference

<sup>14</sup> If the Finance and Corporate Services Director is absent, this may be further delegated to a Financial Controller or Head of Tax and Accounting

42. Matters reserved for the People Director:

- a. Approve any non-standard employment provisions
- b. ~~Approve additional permanent posts above the agreed establishment, after consultation with the Finance Director.~~

### Duties delegated and reserved to the Director of Strategy, Impact & Engagement

43. Matters reserved for the Director of Strategy, Impact & Engagement:

- a. Approve planning applications submitted on the Trust's behalf.
- b. Approve the response to statutory planning and other related consultations.

### Duties delegated and reserved to the Head of Legal and Governance Services

44. Matters reserved for the Head of Legal and Governance Services:

- a. Approve the initiation and settlement of claims and litigation, unless reserved to the Chief Executive by paragraph 35a of this Scheme.
- b. Maintain a register of Trust staff authorised to approve expenses incurred by Governance volunteers, including Trustees, Council members and ~~Waterway Partnership~~ Regional Advisory Board members
- c. Report Serious Incidents to the Charity Commission.
- d. Report breaches of the Data Protection Act to the Information Commissioner.

## Appendices - Delegations by subject areas [not part of the Board authorities as they cover the authorisation below Executive]

The following appendices cover detailed authorities in subject areas to enable the efficient running of the business with appropriate oversight by line management and advice from functional specialists where required.

The role of “Approver” is intended to be the domain of the management line responsible for the business function and where “Concurrence” is indicated as being required this means that the advice of a specified functional specialist (e.g. Legal, HR, Finance) should be obtained to ensure all necessary aspects of a decision have been considered.

For example, where financial concurrence is required this might be to confirm that funds are available and that an appropriate level of financial due diligence has been carried out e.g. consideration of counterparty risk, contract terms, accounting, cash, and tax consequences together with adequate appraisal of available options.

The role of a person providing concurrence is not to say “Yes” or “No” to a proposal rather it is to inform and enrich the quality of the decision.

Approval given in absence of required concurrence or in contradiction with advice provided is not invalid. However, as it is possible that material risks have not been adequately considered departures should be sanctioned and placed on record by the Chief Executive

## Appendix 1: Delegated Financial limits for Chief Executive and below – Project Authorities

Note: Decisions exceeding limits in this appendix are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28

Broad Project type	Spending on Charity Activities					Charity Investments			
	All Revenue & Operational Capital Projects					Leases Licences & Premia income	Investments & Disposals of Endowment assets	Equity in Subs & Joint Ventures	
Approver	WAIP Projects In Approved Programme Budget (not enterprise)	WAIP Not in Programme Budget or £Var >20% or >£50k whichever larger, scope or timing	All Enterprise Projects (no variation tolerance)	Projects in budget	Projects Not in Budget or Var £ >20% or £50k whichever larger	Investment Directorate only			Finance Concurrence for AR's & RFA's
MM & TM	No further approval required <£10m	Programme change control process <£10m	Up to £20k if fully TP funded	Up to £250k	£0	Up to £250k	Up to £250k		FA
SM / Regional Dir				Up to £500k	Up to £50k	Up to £500k	Up to £500k		FM
Relevant Exec Director				Up to £1m	Up to £100k	Up to £2.5m	Up to £2.5m		HFP&A
Chief Executive				Up to £5m	Up to £10m	Up to £5m	Up to £5m	Up to £5m	FD
Waterway Asset Improvement Programme (WAIP) Review				Up to £10m	-				FD
Investment Committee				-	-	Up to £10m	Up to £10m	Up to £10m	FD
Trustee Board			Over £10m	Over £10m	Over £10m	Over £10m	Over £10m	Over £10m	Over £10m
SAP Project required ( cost collector)	√	√	√	√	√	X	√	√	
SAP AR Required	X	X	√	X	√	X	√	√	
Paper RFA (request for authorisation)			Under £20k TPF			√			

Broad Project type	Spending on Charity Activities					Charity Investments			
	All Revenue & Operational Capital Projects					Leases Licences & Premia income	Investments & Disposals of Endowment assets	Equity in Subs & Joint Ventures	
Approver	WAIP Projects In Approved Programme Budget (not enterprise)	WAIP <b>Not in Programme Budget</b> or £Var >20% or >£50k whichever larger, scope or timing	All Enterprise Projects (no variation tolerance)	Projects in budget	Projects <b>Not in Budget</b> or Var £ >20% or £50k whichever larger	Investment Directorate only			Finance Concurrence for AR's & RFA's
MM & TM	No further approval required <£10m	WAIP Programme change control process <£10m	Up to £20k if fully TP funded	Up to £250k	£0	Up to £250k	Up to £250k		FA
SM / Regional Dir				Up to £500k	Up to £50k	Up to £500k	Up to £500k		FM
Relevant Exec Director				Up to £1m	Up to £100k	Up to £2.5m	Up to £2.5m		HFP&A
Chief Executive				Up to £10m	Up to £10m	Up to £5m	Up to £5m	Up to £5m	FD
Investment Committee				-	-	Up to £10m	Up to £10m	Up to £10m	FD
Trustee Board			Over £10m	Over £10m	Over £10m	Over £10m	Over £10m	Over £10m	Over £10m
SAP Project required ( cost collector)	√	√	√	√	√	X	√	√	
SAP AR Required	X	X	√	X	√	X	√	√	
Paper RFA (request for authorisation)			Under £20k TPF			√			

#### Explanatory Notes:

<b>WAIP (Waterway Asset Improvement Programme) includes</b>
• Asset Improvement: Priority Projects and Works (All)
• Customer Service Improvement (CSI) Projects (Regions)
• All operational capital OPEX)

Scope and timing variation parameters;  
**Timing** - if year of delivery changes,  
**Scope** - Any significant change to outputs expected

For **leases and licences** the authority level is derived by calculating the Present Value (PV) of the future minimum payments using a 6% discount rate. This applies to both lease-ins and lease-outs. All leases and licences beyond a 20 year term require the approval of the Chief Investment Officer.

**Financial concurrence** is confirmation that funds are available and that an appropriate level of financial due diligence has been carried out e.g. Consideration of counterparty risk, contract terms, accounting, cash, and tax consequences together with adequate appraisal of available options

<b>Events covered by Project Authorities</b>	
<b>Event</b>	<b>Value</b>
<i>Non routine revenue expenditure<sup>1</sup></i>	<i>over £50,000</i>
<i>Non routine revenue expenditure on Enterprise projects</i>	<i>over £20,000</i>
<i>Any General fund capex or disposal (Opex)</i>	<i>over £1,000</i>
<i>Any Endowment fund capex or disposal<sup>2</sup></i>	<i>All</i>
<i>Investments/shareholdings, joint venture agreements &amp; legal partnerships</i>	<i>All</i>
<i>All Operating lease agreements whether as landlord or tenant</i>	<i>All</i>
<i>Property rights / licences granted for a premium</i>	<i>All</i>

**Note 1:** Routine revenue expenditure covers all planned expenditure on day to day operating and maintenance, whether it is for a trading, engineering or administrative activity including salaries and expenses of employees.

**Note 2:** Endowment capital includes investments & disposals (inc protected operational assets) and lease surrenders for a capital sum

## Appendix 2: Delegated Financial limits for Chief Executive and below – Finance Authorities

Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28

### 2A Income, Invoicing & Credit notes

	Decision	Value	Authoriser	Concurrence
A	Approve Real Estate and periodic Utility demands	Unlimited	Property Services Centre, unlimited	
B	Approve Boat Licencing invoices in BLT system	Unlimited	Boat Licencing team, Boating Trade managers for business licences.	
C	Approve Mooring permit demands	Unlimited	Moorings Managers	
D	Other sales invoices	Unlimited	Budget Holder	Finance Analyst
E	<u>All Enterprise</u> third party funding agreements <u>including Enterprise and Fundraising</u>  (Explanatory note – the value is the gross value of funding offered by a third party in an agreement, not the net contribution of the Trust toward the project which will be covered in the separate project authorisation)	<del>Up to £500k</del>  Up to £1m  Greater than £1m	<del>Head of Enterprise</del>  <u>Strategy Director/</u> Regional Director  <u>Strategy Director/</u> Chief Operating Officer	<del>Finance Manager &amp; Head of legal (HOL)</del>  <u>Finance Manager or</u> Head of Financial Planning & Analysis & HOL  Finance Director & HOL
F	Invoices on Cash sale accounts and suspense accounts (Ops and HQ accounts)	Unlimited	Cash & Billing Supervisor, Finance Assistant	
G	Volumetric Water sales agreements (estimated aggregate contractual commitment to first Break)	Up to £250k  Up to £500k  Greater than £500k	Water sales manager  Head of Water Development  Chief Investment Officer	Group Hydrology manager / HOL/FA  As above + FM  As above + HOF&A
H	Fundraising – new appeals (Target)	<del>Up to £250k</del>  Up to £500k	<del>Head of Fundraising</del>  Strategy, Impact and Engagement Director	

	Decision	Value	Authoriser	Concurrence
		Greater than £500k	Chief Executive	
I	Application of General Restricted funds (not related to any specific appeal)	Up to £100k	<del>Head of Fundraising</del> <u>Regional Director</u>	Head of Financial Planning & Analysis
		Greater than £100k	Chief Operating Officer	Finance Director
J	Credit notes	Up to £5k	Budget Holder	Finance Analyst
		Up to £25k	Budget Holder	Finance Manager/Senior Finance Analyst
		Up to £100k	Senior Manager/Regional Dir	Head of Financial Planning & Analysis
		Greater than £100k	Executive Director	Finance Director
K	Credit notes on cash sales account and suspense accounts (Ops and HQ accounts)	Up to £5k Up to £25k Greater than £25k	Cash & Billing Supervisor Head of Finance and Business Intelligence Finance Director	
L	Boat Licence refunds	Up to £250* Up to £5k Up to £25k If over £25k treat as credit note	Mooring coordinator * BLT Supervisor BL Customer Support Manager * for key deposits & electricity cards via cheque or purchasing card	Finance Analyst Finance Manager
M	Repayment of duplicated receipts from customers	Up to £25k	Credit Control & Billing Team Supervisor	

	<b>Decision</b>	<b>Value</b>	<b>Authoriser</b>	<b>Concurrence</b>
		Over £25k	Group Financial Accountant / Group Reporting Manager	
N	Other Customer refunds	Up to £5k Up to £25k If over £25k treat as credit note	Budget Holder Budget Holder	Finance Analyst Finance Manager

## Appendix 2: Delegated Financial limits for Chief Executive and below – Finance Authorities

Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28

### 2B Procurement - expenditure, commitments and payment

#### Procurement - expenditure, commitments and payment

The purchasing cycle consists of 3 distinct activities. These are the budget authorisation or requisition (Step 1) and entering into a contract (Step 2). Finally, for any invoice to be paid against a Purchase Order (PO) a further approval in SHARE is required for goods & services over £1,000 (Step 3) No single person has authority to undertake all 3 steps. Within the Trust authority to place the order (Step 2) has been delegated (subject to certain exceptions) by the Executive Directors only to the Procurement Team with the budget holder or requisitioner performing the other 2 steps.

The preferred method of contracting for goods or services is by placing a PO with the supplier. To create a PO a Shopping Cart is raised in SAP through SRM (Step 1). This is a requisition for an order to be placed and approval of the Cart authorises the expenditure on goods and services by the budget holder. The Procurement Team authorises the PO which is the contract with the supplier (Step 2). Finally, where appropriate, the budget holder confirms satisfactory delivery by completing a GRN in SAP (Step 3).

There are certain circumstances where a PO is not required, which are described below.

Payment of an invoice without a PO is accomplished by authorising the invoice document in SHARE. In exceptional circumstances a manual process (APIN) is available.

For approval purposes payments without a PO (i.e. via Share or APIN), which are not made under a Group Contract, are regarded as single source for authorisation purposes and payment is made via the normal AP process.

Approver	Step 1. Requisition (SRM)	Step 2. Purchase Order	Step 3. Goods received / Invoice payment (SHARE / APIN <sup>15</sup> )
<b>Normal Purchasing cycle</b>	Budget holder (subject to limits below)	Procurement team	<£1000 automatic invoice match >£1000 Budget holder (subject to limits below)
<b>Invoices without orders</b>			Budget holder (subject to limits below)

<sup>15</sup> Accounts Payable Invoice

## **Payments not requiring a Purchase Order**

The following areas of spend do not require Purchase Orders to be raised.

- Utilities (eg Gas, Water, Electricity, Sewage)
- Property Rent and Rates
- Transfers of funds to Investment Managers
- Telecommunication call charges
- Memberships Fees and Subscriptions
- Purchase, Lease or Licence of Property and Land
- Car Hire via Fleet Management service provider
- Insurance and Banking Charges including settlement of claims
- HR costs relating to temporary staff and adverts (including recruitment consultants commission)
- Purchases transacted by Purchase Card or Purchasing Cheques
- Trust Contributions to Third Party projects
- Licences for water extraction
- Franking machine postage credits
- Invoices covered by Consolidated Billing process
- Group contracts where specific order/payment processes have been agreed
- One-time payments
- Investments e.g. Property purchases, Joint Venture investments and Non-property funds covered by the investment policy)

	Decision	Value	Authoriser	Concurrence
A	<p><b>SRM Shopping carts (requisitions), APINs and SHARE transactions, and related credit notes, (steps 1 and 3 above)</b></p> <p>Note for the SRM system the person raising/creating the requisition cannot also be the approver of the requisition. SAP system authorities will be organised such that generally persons below violet grades are “raisers” rather than “approvers” of requisitions unless specifically requested otherwise.</p>	<p>Up to £500</p> <p>Up to £10k</p> <p>Up to £50k</p> <p>Up to £125k</p> <p>Up to £250k</p> <p>Up to £500k</p> <p>Over £500k</p>	<p>Any employee</p> <p>Blue &amp; Indigo Grades</p> <p>Violet Grades</p> <p>MM &amp; TM grades</p> <p>SM and Regional Directors</p> <p>Executive Directors</p> <p>Chief Executive or Finance Director</p>	
B	<p>Approval to enter into <b>Group Contracts</b> (includes approval of preferred suppliers)</p> <p>Explanatory Note: This is the authority for Procurement to enter into Group Contracts with suppliers. Agreements created as a Deed need to be executed by the Legal Dept.</p> <p>Value is contracted minimum spend (estimated where not specified) over full term of proposed arrangement</p>	<p>Up to £250k</p> <p>Up to £10m</p> <p>Greater than £10m</p>	<p>Head of Procurement Services</p> <p>Chief Executive</p> <p>Board of Trustees</p>	<p>Procurement Sub-executive committee</p> <p>Note Quorate with Chief Executive, Finance Director and Head of Procurement services</p>
C	<p>Authority to sign Group contracts (after approval in B)</p>	<p>Any Value</p>	<p>One of either:- Chief Executive or Finance Director or Head of Procurement Services</p>	

	Decision	Value	Authoriser	Concurrence
D	Insurance settlements – Public liability claims	Up to £10k Up to £100k Up to £250k Over £250k	Regional Operations Manager Regional Director/ Deputy RD Chief Operating Officer Chief Executive	Loss adjuster advice in all cases

## Appendix 2: Delegated Financial limits for Chief Executive and below – Finance Authorities

Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28

### 2C ~~Company cars, e~~Car allowances, mobile phones, laptops/pcs, tablets.

	Decision	Value	Authoriser	Concurrence
A	<b>Telecommunications</b> New and replacement mobile phones & landlines  New and replacement Smart Phones & Tablets	In accordance with Trust policy for phones and tablets	Line manager  Senior Manager/Reg Dir	IT Service Delivery Manager  IT Service Delivery Manager
B	<b>PC's &amp; Tablets</b> New and replacement laptops and PCs  Tablets and smartphones used for mobile applications	In accordance with Trust policy for laptops, PCs and tablets	Senior Manager/Reg Dir  Senior Manager/ Reg Dir	IT Service Delivery Manager  IT Service Delivery Manager
C	<b>IT Systems and/or Services</b> New IT systems or services that send or receive electronic information Use of third party to perform information/data analysis,	Any  Any	Senior Manager/Reg Dir  Senior Manager/Reg Dir	IT Security Manager & Solutions Manager IT Security Manager &

	Decision	Value	Authoriser	Concurrence
	manipulation or processing Use of third party to create IT solutions or amendments to existing	Any	Senior Manager/Reg Dir	Solutions Manager IT Security Manager & Solutions Manager
D	<del>Company Cars and alternative cash allowances</del> Allocation <del>or renewal of all company cars and alternative</del> cash allowances  <u>Allocation of commercial vehicles</u>	In accordance with Trust HR car allowance policy  <u>Any</u>	Executive Director	People Director

## Appendix 2: Delegated Financial limits for Chief Executive and below – Finance Authorities

*Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28*

### 2D Systems and Ledgers

	Decision	Value	Authoriser	Concurrence
A	<b>Customer Accounts</b> Opening new customer accounts	Any	Surveyor, Manager, Supervisor, FM, Finance Analyst  Real Estate – PSSC	Credit controller/billing team for credit check
	Amendments to existing customer accounts and master file details	Any	Other accounts- credit controller, Surveyor, manager, Supervisor, FM, Finance Analyst	
		Bank details	Group Finance Manager	
B	<b>General ledger</b> Changes to General Ledger chart of accounts	Any	Group Accounting Manager	Head of Finance & Business Intelligence
	Journal entries on general ledger (line item)	Up to £250k	Finance Analyst	
		Up to £500k	Senior Finance Analyst	
		Up to £1m	Finance Manager or Group Accounting Manager	
		Greater than £1m	Head of Financial Planning & Analysis or Head of Finance & Business Intelligence	
C	Journal entries on <b>customer or supplier ledgers</b>	Any	Cash & Billing, Payables Finance	Group Finance Manager

	Decision	Value	Authoriser	Concurrence
			Assistants	to approve weekly report of Journal entries
D	<b>Fixed assets, stock, investment or bad debt written off in the ledgers</b>	Bad debt w/o up to £100 Up to £1k Up to £25k Up to £100k Up to £250k Greater than £250k	Credit control team supervisor Budget Holder Senior Manager/Regional Dir Executive Director Finance Director Chief Executive	Finance Analyst Finance Manager/Senior Finance Analyst Head of Financial Planning & Analysis
E	<b>Supplier Accounts</b>  New suppliers  Amendments to supplier master file details, such as name, address, bank details, and credit period.  • Internally initiated  • Supplier initiated amendments direct to Purchasing team  Supplier Master file deletions	Any  Any  Any  Any	Senior Manager on provision of letter from Supplier confirming details requested by Finance & Business Intelligence based on proforma on Gateway  Senior Manager  Purchasing Assistant  Head of Procurement Services, or Procurement to Payment	Procurement Manager  Procurement Manager Purchasing Team Supervisor  1 Changes to supplier bank details to be approved by Group

	Decision	Value	Authoriser	Concurrence
			Manager	Finance Manager

## Appendix 2: Delegated Financial limits for Chief Executive and below – Finance Authorities

*Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28*

### 2E Banking and Financing

	Decision	Value (of liability)	Authoriser	Concurrence
A	<p><b>Banking &amp; Financing</b> All the following require the prior concurrence of the Finance Director:-</p> <p>All matters relating to banking, opening and closing bank accounts, changing signing mandates on bank accounts, borrowing, financial indebtedness, equipment and vehicle leasing agreements, creation of security or mortgages, escrow agreements, giving guarantees or surety for payment of money or loans, incurring contingent liabilities.</p>	<p>Up to £1.5m</p> <p>Up to £10m</p> <p>Greater than £10m</p>	<p>Finance Director</p> <p>Chief Executive</p> <p>Trustee Board</p>	Finance Director

## Appendix 3: Delegated Financial limits for Chief Executive and below – HR Authorities

Note: Decisions exceeding limits in this table are reserved matters for the Board or one of the Board Committees. See paragraphs 1 to 28

### 3A HR Scheme of Delegation

	Decision	Authoriser		Concurrence
		In Approved Plan	Not in approved Plan	
A	<p><b>Internal or External Recruitment (permanent posts)</b></p> <ul style="list-style-type: none"> <li>Senior Manager</li> <li>Other than Senior Manager</li> </ul> <p><b>Short Term Contract Employees</b></p> <p>Fixed term (up to 1 year) contracts including variation or extension of short term contracts. Over 1 year contract treat as permanent for approval purposes</p> <p><b>Explanatory notes:</b> Establishment numbers are approved as part of the annual business planning cycle and agreed posts are allocated a "Position number" in the SAP HR system. Paybill for the approved establishment is planned in SAP FICO by the</p>	<p><del>Chief Executive and</del> Relevant Director</p> <p>Relevant Director</p> <p>Senior Manager</p>	<p>Chief Executive</p> <p>Chief Executive</p> <p><del>Chief Executive and</del> Relevant Director</p>	<p>People Director in all cases. Add Finance Director if not in approved plan</p> <p>People Director in all cases Add Finance Director if not in approved plan</p> <p>People Director</p>

	Decision	Authoriser		Concurrence
		In Approved Plan	Not in approved Plan	
	<p>finance team. The Finance and HR functions will reconcile establishment numbers in SAP HR to planned paybill in SAP FICO as part of the annual planning cycle before the start of the financial year.</p> <p>Recruitment in ICMS cannot commence without a "Position number". HR will need the approval of the Chief Executive with concurrence from the People Director and Finance Director in order to create a position number for unplanned posts.</p> <p>Approved additions to the establishment will be added to paybill forecast in SAP FICO by the finance team.</p>			
B	<p>New recruit remuneration package, changes to role remuneration and one-off bonus payments for existing staff</p> <p>All staff other than Executive Directors</p> <p>Executive Directors</p>	<p>Relevant Executive Director</p> <p>Chief Executive</p>	<p>People Director</p> <p>Chief Executive</p>	<p>People Director in all cases</p> <p>Remuneration Committee</p>
C	Flexibility Payments	Senior Manager	Chief Executive and Relevant Director	<a href="#">Head of Employee Relations Senior HRBP</a>
D	Relocation expenses	Senior Manager	Chief Executive and Relevant Director	<a href="#">Head of Employee Relations Senior HRBP</a>

	Decision	Value	Authoriser	Concurrence
E	<p><b>Expenses and Travel claims</b></p> <p>Authority for International Travel</p> <p><b>Temporary Advance on Expenses</b></p> <p><b>Chairman's and Chief Executive's Expenses</b></p> <p><b>Board Members Expenses</b></p> <p><b>Employee Loans e.g. housing</b></p> <p><b>Season Tickets</b></p>	<p><u>Any – in accordance with expenses policy limits</u></p> <p><u>Any – in excess of expenses policy limits</u></p> <p>Any</p> <p>Max £2000</p> <p>Any</p> <p>Any</p> <p>Up to £5,000</p> <p>Greater than £5,000</p> <p>Any</p>	<p>Line Manager</p> <p><u>Prior approval of Exec Director</u></p> <p>Exec Director</p> <p>Line Manager</p> <p>Finance Director</p> <p>Head of Legal</p> <p>Exec Director</p> <p>Chief Executive</p> <p>Line manager</p>	<p>HR Services Manager</p> <p>Finance Director</p> <p>HR Services Manager</p> <p>People Director</p> <p>HR Services Manager</p>
F	<p><b>Training</b></p> <p>Training (including CPD and skills training) other than as stated below</p> <p>All first degree and post-graduate degree courses. Management and professional courses for individuals &gt; £3k or</p>	<p>Any</p> <p>Any</p>	<p>Budget Holder</p> <p>Exec Director</p>	<p>Organisational Development Manager</p> <p>Organisational Development Manager</p>



	Decision	Value	Authoriser	Concurrence
	<del>Others</del>	<del>Up to £10k</del>	<del>Director</del> <del>Exec Director</del>	<del>Committee</del> <del>People Director</del>  <del>Employee Relations Manager</del>
I	<b>Dismissal</b>  Executive Director  Senior Manager/ Regional Director  <del>Head of Legal and Governance Services</del> <del>Audit and Risk Manager</del>  Others		Chief Executive  Exec Director  Chair of Audit Committee  Senior Manager / Regional Director	Terms to be agreed with Remuneration committee  People Director  Chief Executive  Employee Relations - Manager
J	<b>Retirement</b>  Ill Health  Voluntary Early Retirement  Drawing pension while employed		Exec Director  Line Manager  Director	People Director  <del>Head of Employee Relations Senior HRBP</del>  <del>Head of Employee Relations Senior HRBP</del>



## **Canal & River Trust – Modern Slavery and Human Trafficking Compliance Statement 2018**

### **Organisational Structure and Supply Chains**

The Canal & River Trust (the “Trust”) is a charity (registered charity number 1146792). We are responsible for the preservation, protection, operation and management of around 2,000 miles of waterways in England and Wales, together with associated docks, reservoirs, buildings, sites of special scientific interest and wildlife conversation areas. We also take an active role in promoting wellbeing through the use of the environments and assets we look after.

The Trust is also registered as a private company limited by guarantee with no share capital in England and Wales (registered number 07807276).

The Trust is committed to achieving high standards of ethical practice and places significant importance on guarding against modern slavery.

We work with a broad range of suppliers of goods and services including: construction and maintenance services; clothing and equipment; IT support; temporary labour; and training. We have in place systems to identify, assess and mitigate potential risk areas in our supply chains.

### **Supply Chain Risk Assessment and Due Diligence**

The approved supplier database is monitored and reviewed annually to assess and deal with any risk of modern slavery occurring in the supply chain.

During 2017 the Trust conducted a review of its supplier database and issued a Modern Slavery Supplier Self-Assessment Questionnaire to those suppliers identified as new or “high risk” (those suppliers with supply chains in countries listed and compiled in the 2016 report by the US Department of Labor, which lists, by country, the goods and services that have a higher risk of being produced by child and/or forced labour) with a per annum expenditure of over £150,000. We asked these suppliers to complete a Modern Slavery Supplier Self-Assessment Questionnaire. After review of this data, it was determined that no immediate further action was required on the basis that the risk of slavery and human trafficking occurring in the first tier of the Trust’s supply chain was low

In 2018 we carried out a further review of our supplier database and issued self-assessment questionnaires to all suppliers, as per the expenditure level above (comprising c80% of the Trust’s total expenditure). We aim to carry out a review of the information received from this group of suppliers by March 2019.

In 2018 we added provisions to our framework supplier term and conditions which require compliance within the Modern Slavery Act.

We only use the services of employment agencies, for the supply of temporary labour, which have in place a modern slavery policy and statement and/or defined processes to identify and address modern slavery risks.

### **Policies and Procedures**

We are committed to developing and maintaining clear organisational policies and practices to tackle modern slavery.

We take safeguarding very seriously and keep our safeguarding standards and procedures under review.

We provide protection for whistle-blowers, including through our Whistleblowing Policy which clearly sets out how members of staff can safely report any actual or suspected criminal offence, including modern slavery and human trafficking. This policy is kept under regular review and was last reviewed and updated in 2018.

Our Employee Assistance Programme also provides staff with a way of seeking confidential advice about any modern slavery or human trafficking concerns they may have. We ensure that the contact details for this support mechanism are displayed prominently at various locations and are easily accessible via our intranet.

We carry out checks to ensure that all relevant members of staff have the right to work in the UK and have a robust system in place to ensure compliance with our legal obligations to prevent illegal working.

Our rates of pay are in line with the Living Wage Foundation pay rates. We have systems of monthly and annual reviews in place to ensure ongoing compliance.

### **Training**

We provided extensive safeguarding training to employees and volunteers in 2018, including face-to-face and e-learning sessions. This training provided detailed guidance on recognising signs of abuse, harm or mistreatment and how to properly report these issues to our safeguarding team.

We discuss this statement and our approach to guarding against modern slavery during our employee induction sessions.

### **Approval**

This statement is made on behalf of the Trust in accordance with section 54(1) of the Modern Slavery Act 2015 and constitutes our modern slavery and human trafficking statement in relation to our financial year ending 4 April 2018.

Signed.....

**Allan Leighton**  
Chairman



# Charity Commission Annual Return 2018

## CANAL & RIVER TRUST

Charity registration number: 1146792

Most of the information you give in this form will become publicly available on the Register of Charities. Any field that the Charity Commission will not display will be clearly marked.

This document is a record of the information provided in the Annual Return 2018.

**THIS DOCUMENT IS A DRAFT AND HAS NOT YET BEEN SUBMITTED.**

Do not send a printed copy of this document to the Charity Commission.

## PART A - Charity information

### Financial period

#### Financial period start date

#### Financial period end date

### Income and spending

**Income £****Spending £****Serious Incidents**

**For the period of this return, were there any serious incidents in your charity that have not been reported to the Charity Commission?**

**Fundraising - professional fundraiser**

**Did your charity raise funds from the public?**

**Did the charity work with any professional fundraisers?**

**Fundraising - commercial participator**

**Did your charity work with any commercial participators?**

**Did your charity have a written agreement with each of its commercial participators?**

**Government contracts**

**Did your charity receive income from contracts (other than grant agreements) with central government or local authorities?**

**How many contracts did your charity have with central government or local**

**authorities?**

63

**What was the total value of these contracts?**

£ 8,049,597

### Government grants

**During the financial period for this annual return, did the charity receive income from grants from central government or local authorities?**

Yes

**How many grants did your charity receive from central government or local authorities?**

1

**What was the total value of these grants?**

£ 50,700,000

### Income from outside the UK

**Did your charity receive income from outside the UK ?**

No

### Spending outside England & Wales

**Did your charity operate outside England and Wales?**

No

**Total Spending outside England & Wales**

£

### Trading subsidiaries

**Did the charity have any subsidiaries?**

**Were any of the trustees also directors of the charity's subsidiaries?**

### Trustee payments

**Did any of the trustees receive any remuneration, payments or benefits from the charity other than refunds of legitimate trustee expenses?**

**Did any of the trustees resign and then take up employment with the charity?**

### Employees' salaries

**Did any of your charity's staff receive total employee benefits of £60,000 or more?**

**What was the value of the total employee benefits provided by your charity to its highest paid employee?**

**£60,000 to £70,000**

**£70,001 to £80,000**

**£80,001 to £90,000**

**£90,001 to £100,000**

**£100,001 to £110,000**

**£110,001 to £120,000**

1

**£120,001 to £130,000**

4

**£130,001 to £140,000**

1

**£140,001 to £150,000**

0

**£150,001 to £200,000**

2

**£200,001 to £250,000**

1

**£250,001 to £300,000**

0

**£300,001 to £350,000**

0

**£350,001 to £400,000**

0

**£400,001 to £450,000**

0

**£450,001 to £500,000**

0

**Over £500,000**

0

## Volunteers

**How many UK volunteers, excluding trustees, did the charity have during the financial period?**

## Financial controls

Did your charity review its internal financial controls?

## PART B - Financial information

### Account type

Does your charity prepare:

### Income and endowments

**Donations & legacies**

**Legacies**

**Endowments received**

**Other trading activities**

**Investment income**

**Income from charitable activities**

**Other income**

**Total Income and endowments**

**Expenditure****Expenditure on raising funds**

£ 45,200,000

**Investment management costs**

£ 19,800,000

**Other expenditure**

£ 0

**Expenditure on charitable activities**

£ 153,000,000

**Grants to institutions**

£ 0

**Governance costs**

£ 1,100,000

**Total Expenditure**

£ 198,200,000

**Gains/(losses)****Gains/(losses) on re-valuation of fixed assets**

£ 0

**Actuarial gains/(losses) (on defined benefit pension schemes)**

£ 21,300,000

**Net gains/(losses) on investments**

£ 42,100,000

**Other gains/(losses)**

£ 0

**Assets**

Total fixed assets

£ 945,500,000

Fixed asset investments

£ 867,200,000

Total current assets

£ 136,500,000

Current asset investments

£ 65,300,000

Cash at bank and in hand

£ 22,600,000

## Liabilities

Creditors due within 1 year

£ 95,500,000

Creditors falling due after one year  
and provisions

£ 107,600,000

Defined benefit pension scheme  
asset/(liability)

£ 87,700,000

## Funds

Endowment funds

£ 745,300,000

Restricted funds

£ 1,000,000

Unrestricted funds

£ 44,900,000

**Total Funds****Additional information**

Support costs

Depreciation charge for the year

Level of reserves

Average number of employees

**Send TAR & ACCTS**

**You are required to submit your Trustees' Annual Report and accounts for this financial period. Do you wish to do this now?**

**Account submission**

**Does your independent examiners/auditors report identify any areas of concern where accounting rules were not followed, disclosures not fully made or accounting records incomplete?**

**Privacy Statement**

**Any information you give us will be held securely and processed only in accordance with the rule on data protection. We will not disclose your personal details to anyone unconnected to the Charity Commission unless:**

- you have consented to their release; or**
- we are legally obliged to disclose them; or**
- we regard disclosure as either (a) necessary so that we can properly carry out our statutory functions or (b) necessary in the public interest.**

**We may share and disclose information about you with relevant public authorities, regulatory bodies and agencies, outside the Charity Commission but only if:**

- we can lawfully do so; and**
- we decide that disclosure is necessary for national security, crime detection, prevention, and law enforcement, or other issues in the public interest**

**Information we collect about you**

**We will use this information:**

**To enable us to carry out our statutory functions and duties;**

**This will include the following actions:**

**(a) update, consolidate, and improve the accuracy of our records;**

**(b) undertake crime detection and prevention and law enforcement and assist the third parties specified above to investigate or prevent crime and carry out law enforcement;**

**(c) data analysis, testing, research, statistical and survey purposes**

**Information we receive from other sources.**

**Information we receive from other sources**

**We may combine this information with information you give to us and information we collect about you.**

We may use this information and the combined information for the purposes set out above (depending on the types of information we receive).

We will ensure that any such disclosure and use is proportionate; considers your right to respect for your private life; and is done fairly and lawfully in accordance with the data protection principles of the Data Protection Act.

The Data Protection Act 1998 regulates the use of 'personal data', which is essentially any information, however stored, about identifiable living individuals.

As a 'data controller' under the Act, the Charity Commission must comply with it. Any changes we may make to our privacy statement in the future will be set out in the replacement version of this form.

Please check back frequently to see any updates or changes to our privacy policy.

## Declaration

This annual return has not been submitted and no Declaration has been made

## CHIEF EXECUTIVE'S REPORT

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### 1. INTRODUCTION

- 1.1 This report covers the period to the end of November 2018, with more recent updates where available.

### 2. INTERNAL ENGAGEMENT

- 2.1 Consultation around the proposed re-structure of our Operations teams (and parts of Asset Improvement, and Strategy, Engagement & Impact) has progressed well. The new structures have been agreed and, of the 240 colleagues who were put 'at risk' of redundancy, around 90 have now been mapped into new roles. **Redacted**
- 2.2 The Trust's short employee engagement 'pulse' survey was undertaken during this period and reported a decline in the overall engagement score from 69% (achieved in the summer) to 65%. **Redacted**. Reassuringly some underlying scores have held up – for example 'pride in working for the Trust' remains at 77%, indicating that there is a good foundation on which to build once current changes are resolved.

### 3. POLITICAL ENGAGEMENT

- 3.1 The Trust's parliamentary reception on 20 November was, as reported verbally at the last meeting, well-attended with around 50 parliamentarians (MPs or Peers) dropping in during the event, including several front-bench Shadow Spokespersons.

3.2 **Redacted**

- 3.3 A positive meeting was held with Labour Shadow Transport Minister Matt Rodda MP, **Redacted**.

4. It was a notable coup to have Andy Street CBE, West Midlands Mayor, speak at the Trust's Regional Public Meeting, alongside other key stakeholders, demonstrating his strong support for the role of the region's waterways in the wider economic and social agenda for the region. This follows a positive meeting with Andy in early December.

## PERFORMANCE

- 4.1 Appendix 1 sets out our performance against the current set of KPIs for the first six months of 2018/19. After our internal safety measure was declared as 'red status' last month, the number of public infrastructure-related incidents has also reached the annual target, meaning that this has also now gone 'red'. This is not attributable to any particular identifiable causal effect.
- 4.2 With regular Visitor numbers remaining below 4 million during the autumn months, the regular Visitor measure for the year has also now been declared 'red' status as the average level of use which would need to be achieved in the remainder of the year would have to exceed any plausible levels to reach the overall target of 4.5m average regular visitors for the year. As the measure is survey-based, extrapolating from a relatively small sample, it is not straightforward to identify why this shortfall is occurring; further investigation is being considered.
- 4.3 Friends and volunteers numbers are both now recorded as Amber status; it is expected that once records are updated our volunteering figures may return to the target level; Friends are now looking less likely to reach the year end target with recruitment undergoing the usual seasonal decline during the winter months.

### 4.4 Redacted

## 5. EXECUTIVE REPORTS

- 5.1 The Executive's reports feature as Appendices 3 to 8. Following the Annual Risk Review at the last meeting, there is no Risk update this time.

### 5.2 Redacted.

- 5.3 Appendix 4 updates on the wide-ranging activity of the Regional teams, and Appendix 5 on the winter works programme, with the re-opening of the Middlewich branch after 9 months of embankment re-construction being a notable highlight.

- 5.4 Appendix 6 describes the conclusion of the BWML sale and progress with the re-investment of monies released (as well as the remaining private placement funds). Redacted

- 5.5 Appendix 8 (Strategy) gives more information on further brand and campaign (user to supporter) development, also with news that our re-brand has been nominated for an industry award.

January 2019

Defra Waterway Targets – improving our waterways/assets				Note	Nov 18	Full year	Prior year	Key
					actuals YTD	target	actual	
					2018/19	2017/18		
Towpath condition graded C or better (requirement to be above 60% threshold)					N/A	≥80.0%	79.7%	12
Principal assets grade C or better (requirement to be above 77% threshold)					86.8%	≥86.5%	86.6%	8
Condition of flood management assets graded C or better (requirement to be above 96% threshold)					N/A	≥99.0%	99.0%	2
Waterway measures					Nov 18	Full year	Prior year	
					actuals YTD	target	actual	
					2018/19	2017/18		
Number of individual visitors to our waterways in typical two-week period (over last 12 months)				1	4.1 m	4.5m	4.3	8
Public safety – number of reported incidents due to infrastructure				2	26	25	30	8
Combined employee, volunteer and contractor RIDDOR accident frequency rating (accidents per 100,000 hours)				3	0.18	0.10	0.09	4
Customer satisfaction rating of visitors and towpath users					91%	90%	91%	8
Customer satisfaction rating of boaters					Not due	72%	72%	8
No of days of unplanned closures to navigation within our control (individual instances over 48 hours)				4	421	450	490	6
Other measures					Nov 18	Full year	Prior year	
					actuals YTD	target	actual	
					2018/19	2017/18		
% of employees engaged as per employee engagement survey result					69%	69%	68%	8
Volunteer satisfaction/recommendation ratings					96%	95%	96%	8
Number of volunteer hours per annum				5	425,406	670,000	616,349	8
People aware of the Trust				6	38%	42%	36%	2
No of adoptions of our waterways (each adoption scheme roughly equates to 1 mile)					221	260	225	8
Diversity - % staff BAME					5.8%	5.5%	5.1%	8
Diversity - % senior management Female					31%	25%	22%	8
No of active Friends attracted and retained, regularly donating				7	27,938	30,000	24,147	2
Number of children who have participated in face to face education sessions each year					45,253	85,000	81,710	8
Financial measures					Nov 18	Full year	Prior year	
					actuals YTD	target	actual	
					2018/19	2017/18		
Forecast annual total return on our endowment portfolio					6.1%	5.2%	10.6%	8
Forecast five year rolling total return from non-property investments					8.6%	6.6%	8.3%	8
Forecast non-investment income to grow >CPI plus 1% (on three year rolling basis)					6.6%	3.3%	5.6%	8
Forecast support costs share of total cost					8.5%	8.5%	8.8%	6
£ million secured from restricted statutory and voluntary funding, philanthropic and individual giving and contributions in kind				8	£12.9m	£21.9m	£18.9m	2
Green - on track to achieve full year target								
Yellow – risk that full year target may not be achieved								
Red – unlikely that full year target will be achieved/full year will not be achieved								

## Notes

- 1 - Visitor numbers would need to average 5m for the rest of the year to hit target - considered to be red
- 2 - Greater number of incidents in the year. Additional information in January Health and Safety Report
- 2 - Greater number of incidents in the year. Additional information in January Health and Safety Report
- 4 - The Middlewich breach repairs closures due to vandalism are excluded - these total 244 days in the eight months to 30 November 18. Also excluded are 375 days navigation lost in the eight months to November 2018 due to extended closures arising from drought conditions beyond our control
- 5 - We expect challenges in recording volunteer hours alongside potential limited growth this year due to the regional restructuring, though we may benefit from unrecorded time being identified from earlier in the year
- 6 - Significant increase needed over remainder of the year to hit target
- 7 - May hit target but considered at risk
- 8 - Forecast slightly below target at £21.6m. May hit target but considered at risk

## APPENDIX 3: HEALTH & SAFETY REPORT

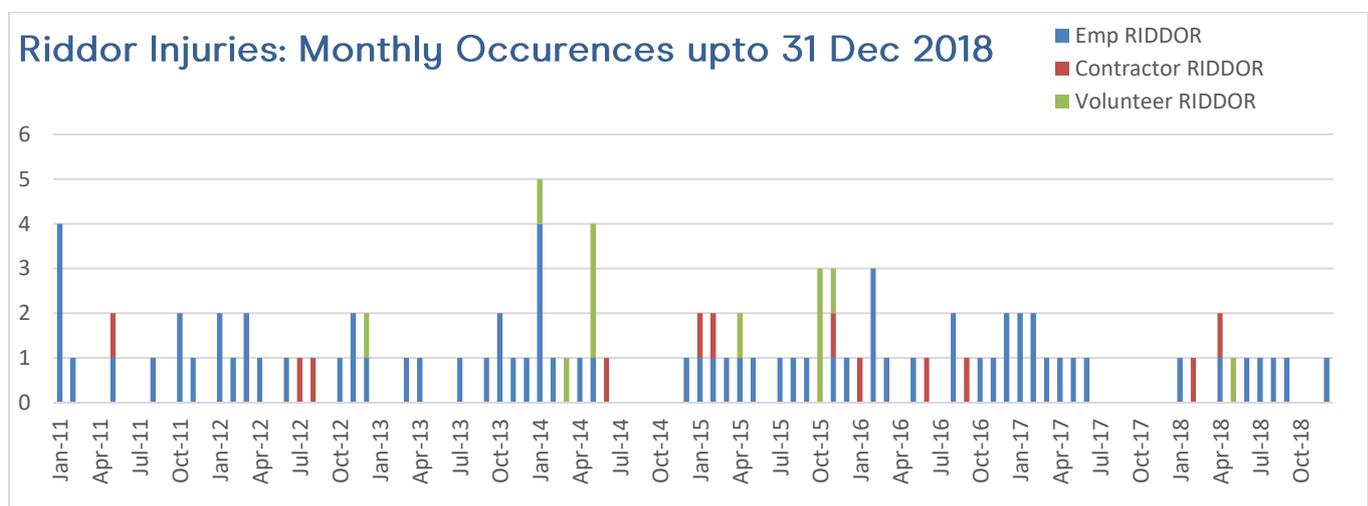
Author: Julie Sharman Chief Operating Officer

### 1 PURPOSE

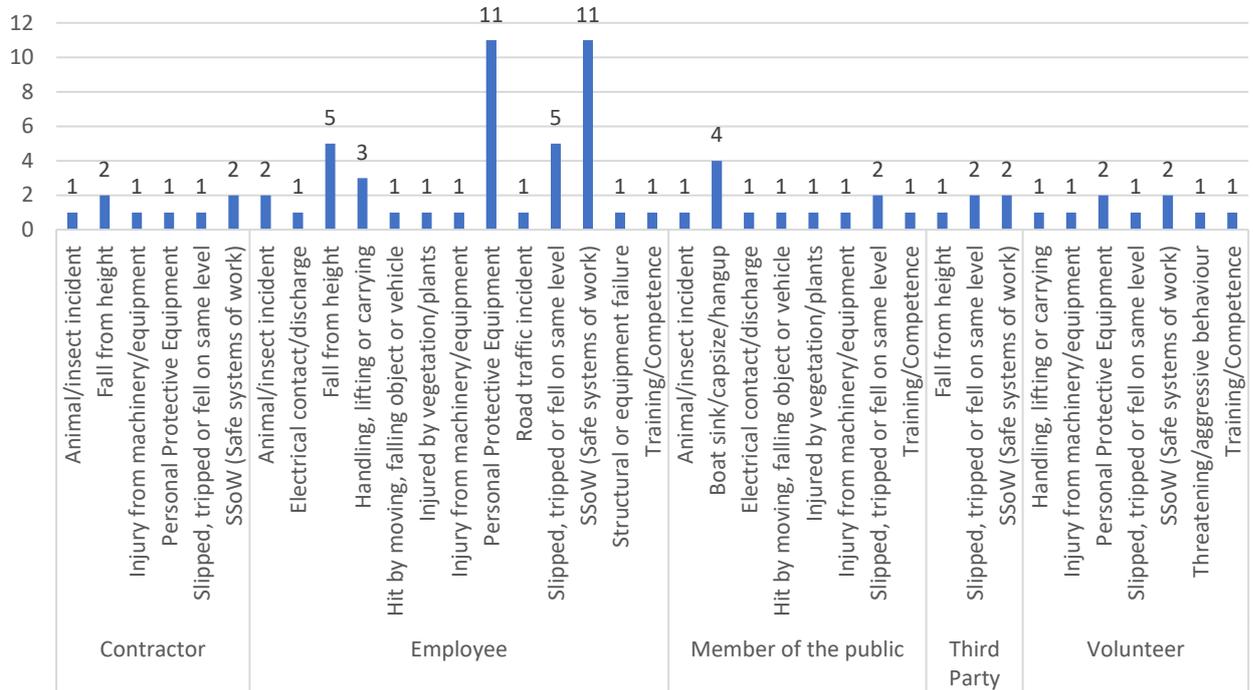
- 1.1 This paper provides a review of Health and Safety for the period November and December 2018 unless stated. The report covers Visitors, Employees, Volunteers and Contractors.
- 1.2 The report includes an update on Health and Safety KPIs for the operating year (2018/19 Financial Year).

### 2 SAFETY REPORTS

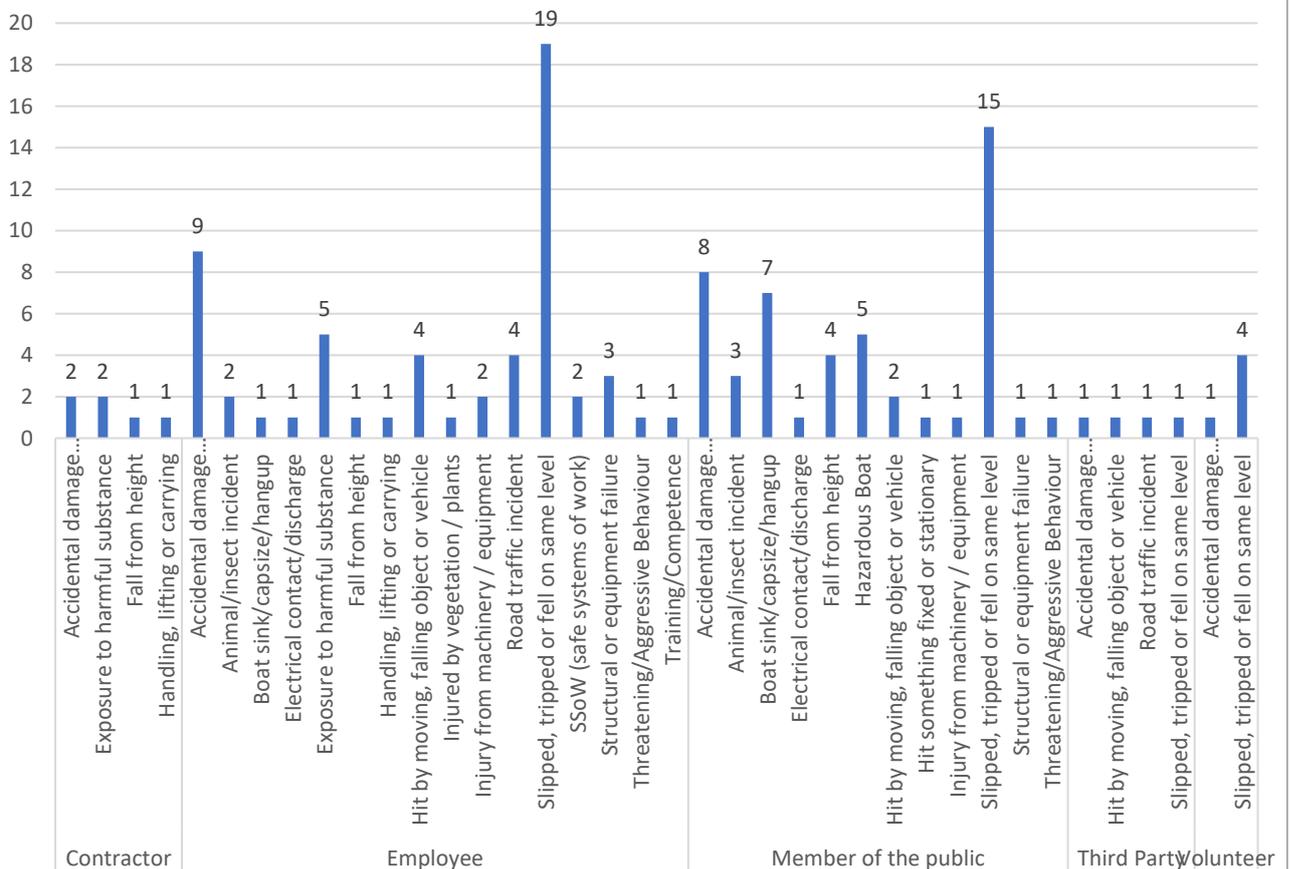
- 2.1 The Trust's RIDDOR accident frequency rate (AFR) at the end of December 2018 is 0.18 up from 0.16 at the end of October. There have been 10 RIDDORS in the last rolling 12 months.
- 2.2 During November and December 7 deaths have been reported on our waterways (YTD 32),
- 2.3 The Trust is now using our phone based App to record positive interventions, incidents and near misses. We have recorded 78 Positive Intervention reports (78 YTD), 121 near miss reports (YTD 497), 66 Loss, Injury or Death reports (YTD 333) and 21 anti social behaviour reports (YTD 560). The information recorded allows us to review which incident reports have been reviewed and closed by managers. A positive intervention is a behavioural safety intervention i.e. intervention before something happens, a near miss is where something did happen but no-one was injured.
- 2.4 This month (January) we have been notified of a volunteer RIDDOR reportable injury, (it will be recorded in the March reports) the volunteer fell over in a workboat whilst clearing vegetation, the action of pulling on a large branch which came away was the cause of the slip, he was taken to A&E and diagnosed with a chip to one of his ribs. He has been advised not to return to his volunteering work until he is fully recovered.

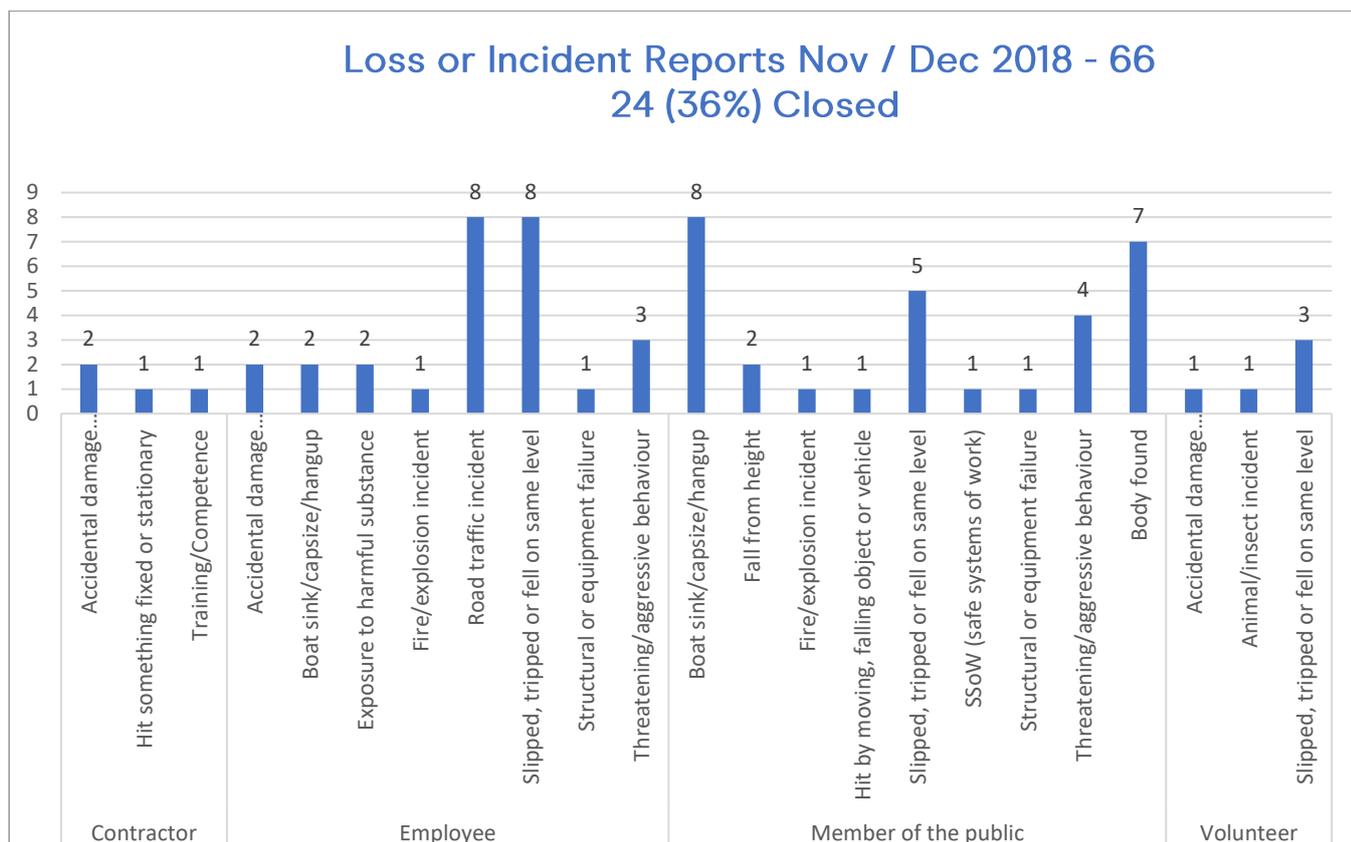


## Positive Interventions Nov / Dec 2018 - 78 36 (46%) Closed



## Near Miss Reports Nov / Dec 2018 - 121 58 Closed (48%)





### 3 PUBLIC SAFETY

3.1 There were 3 fatalities involving visitors in November and 3 in December plus we became aware of 1 fatality that occurred in October making the operating year (April to December) total 32. None we believe are directly attributable to the Trust.

3.1.1 Of the 7 Deaths, 4 were in a Canal, 2 were in a River and 1 in a Dock: 1 was natural causes, 1 suspected suicide with 5 unexplained but none were related to suspicious circumstances.

#### 3.2 Manchester Safety Issues

3.2.1 Charlie Pope –was a 19 year old student who drowned in the canal after a night out on 1<sup>st</sup> March 2018 near Lock 89, Rochdale Canal near Whitworth Street, Manchester. The death resulted in social media interest and a campaign on Change.org for barriers to be installed along the canals in the city centre. Nick Pope, Charlie’s father campaigned for improved water safety in the city. The Trust commissioned a ROSPA review of water safety on behalf of [Manchester’s Water Safety Partnership](#). The inquest into the above death was held on 14<sup>th</sup> December 2018. The Coroner ruled death by misadventure advised that he would not be issuing a Regulation 28 report (prevention of future deaths), as the water safety partnership members had confirmed commitment to implement the recommendations of the RoSPA report. No criticism was directed at the Trust and as a result of the launch of the Report (below) Nick Pope has been appointed a special advisor to the Water Safety Partnership.

3.2.2 The [ROSPA report](#) relating to the above fatality was received and launched by Andy Burnham, Mayor of Greater Manchester before Christmas with a range of actions on various parties in the city. Progress will be monitored through the water safety partnership, which is now reporting into the Manchester city council’s community safety partnership. For the Trust, rescue signage and equipment is

designed and is ordered for lock 89 & 87 on the Rochdale Canal, to be installed by the end of January. Fence designs have been created for lock 89 and further fencing highlighted throughout the city centre for amendment or extension by the Spring. We have reviewed the site with ROSPA to ensure full coverage of the recommendations.

- 3.3 Magnet fishing fatalities- Father and Son (Andrews) - 16/6/2018 drowned in the Calder and Hebble navigation near Coopers Bridge flood gates, suspected magnet fishing. At the inquest of the above deaths on the 11 October 2018, the Coroner suggested that he would be writing to the Trust under Regulation 28 with prevention of future deaths report. This has not yet been received. Both visitors drowned
- 3.4 Kristopher McDowell - 31/5/16 died at Pontcysyllte after falling. A pre-hearing ahead the inquest scheduled for March 5/6<sup>th</sup> took place on the 10<sup>th</sup> December and was attended by the COO. An update will be given at the meeting.
- 3.5 Stoke Fire Service carried out a simulated rescue in Harecastle Tunnel and lessons learnt included the difficulty of getting their operational dingy into service quick enough. We are discussing with the Fire Service whether it's possible to store their rescue craft on site.
- 3.6 Following the appointment of Simon Bamford as the Trust's Designated Person for the Port Marine Safety Code a review of compliance is being undertaken with the National H&S Advisor and the on-site teams of all four Docks, including site visits and external audits. Regular meetings with the 4 site managers / harbour masters are now taking place. Some issues under close management at London Docklands are reported in the COO report.
- 3.7 Infrastructure related incidents:
  - 3.7.1 During November and December a review of the incidents indicate 2 could be related to infrastructure (26 in this financial year to date).
    - Redacted
    - Redacted
  - 3.7.2 It is worth noting the 2 pedestrians mistook waterborne weed as grass and therefore entered our waters unintentionally. No injuries were noted at the time.

## 4 EMPLOYEES, VOLUNTEER AND CONTRACTORS

- 4.1 Employees
- 4.2 There was 1 employee reportable injury. A colleague was walking along a towpath near Pollington looking for a leak in the towpath at night after an emergency call when they stumbled on uneven ground and twisted their knee. The injured party continued to work through the night then later attended A&E where he was advised he had severe knee ligament damage, the team member returned to work in January following a 6 week recovery. The COO and Regional Director undertook a review with our colleague on 7<sup>th</sup> January and the investigation has been completed. The colleagues believed that the injury could have been avoided if the information on the location of the leak had been more precise, we will build this into our learning actions.
- 4.3 Volunteers
  - 4.3.1 During this period there has been no reportable volunteer injury however please note the January incident reported in section 2.4

#### 4.4 Contractors

4.4.1 During this period there has been no reportable contractor injury.

### 5 HEALTH AND WELLBEING

5.1 In December we launched our online welfare survey, where we ask colleagues to advise us if they have adequate access to have a hot meal, wash their hands and toilets as well as other facilities. This will allow us not only to look at compliance with our standards but will also allow us to identify and address any outstanding issues. The survey runs to the end of January and to date there have been 89 responses.

### 6 HEALTH AND SAFETY IMPROVEMENTS

#### 6.1 Plan Do Check Act (HSE Guidance)

6.1.1 The Content Locker App - all colleagues who are part of the emergency on call family gained access to the app available through their smart phones, tablets and laptops during December. The app allows colleagues to access information off-line that may be needed during an emergency situation – from risk assessments to pollution control to in-scene emergency management.

6.1.2 A workshop has been scheduled for 15<sup>th</sup> January with our top 6 contractors to agree how we share best practice, statistics and learn from each other as well as agreeing potential future joint campaigns.

6.1.3 Visitor Risk Assessments – following the recent audit, the H&S Team are currently focusing on completing all the outstanding assessments before the 31<sup>st</sup> March, utilising the help of safety volunteers. To date 176 (58%) have been completed. For 2019 we are reviewing our approach to visitor risk assessment and overhauling our standard. This is not an area where we can draw on extensive external expertise, we are learning from the recent ROSPA review of Manchester city centre and we are using a developmental approach to design a standard which reflects the use of our waterways by customers and the public in different locations (urban/rural) and with differing environments. The first ‘test’ visit will be on the 17<sup>th</sup> January 2019 at Skipton and we will be visiting 19 further sites up to the end of March 2019, following which the amended standard will be ready for approval.

### 7 OVERALL HEALTH AND SAFETY PERFORMANCE (AFR)

7.1 The Accident Frequency Rate per 100,000 hours worked (AFR) is our main safety performance indicator.

7.2 AFR for year to end of December 2018 is above our annual target. Because of the November RIDDOR accident and as this is a rolling target our annual target can no longer be achieved.

TRUST People	AFR	Target
Employees [1780 FTE]	0.19	
Volunteers [313 FTE]	0.33	
Contractors [630 FTE]	0.08	
<b>Trust Overall</b>	<b>0.18</b>	<b>0.10</b>





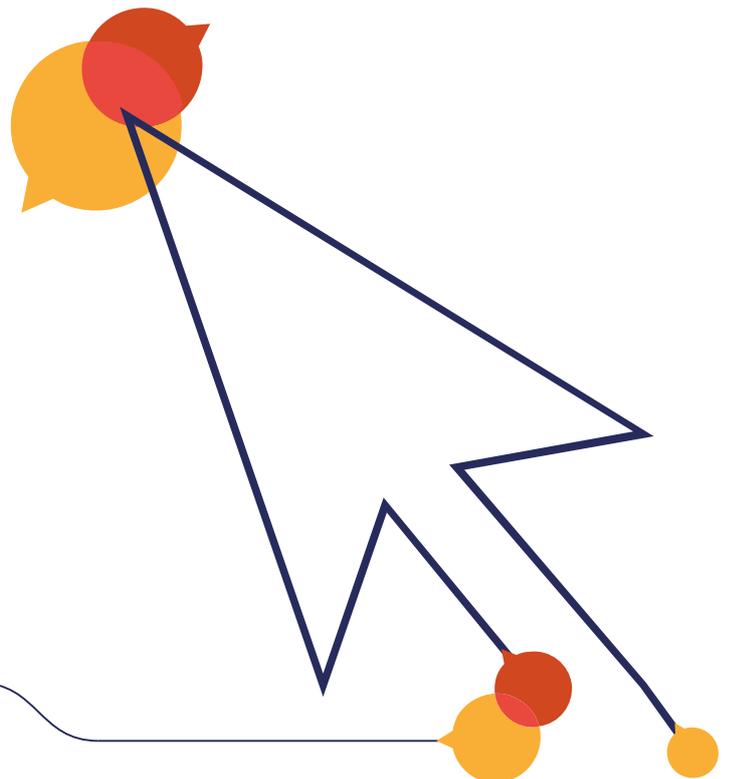
accidents don't have to happen

# Water Safety Review



Manchester City Centre for Manchester Water  
Safety Partnership

Version: Final for issue  
Date: 07 December 2018



## Executive Summary

RoSPA was commissioned by members of Manchester Water Safety Partnership (MWSP) to conduct an independent review of open-water safety within the Manchester city centre zone. The review considered responsibilities, policy expectations and an analysis of fatal and non-fatal events, in addition to an assessment and evaluation of the water bodies within the city centre. The principal output is a series of recommendations with the aim of improving water safety. The review was conducted throughout summer 2018.

There are numerous stakeholders and duty holders invested in managing water safety within Manchester. The city has a longstanding water safety partnership, one that is responsive to community needs. In its current guise, under the chair of Greater Manchester Fire Service (GMFRS), we found the MWSP to be assertive in seeking both to identify and address water safety risk. The MWSP is performing well, it will benefit from greater sponsorship, reporting and oversight at an executive level.

There are multiple policy drivers and programmes which affect water safety directly, or have the potential to, within the city. We believe that a city-wide standard or policy to control the public safety aspects within developments alongside water will help to limit the adoption of unsafe situations, and ensure possible conflicts with programmes such as 'safer by design' are addressed.

Over the period 2007 to July 2018, within the city centre zone we found 28 water-related fatalities, between 2 and 3 deaths annually. The majority of these fatalities happened during the hours of darkness, involved men, with inebriation a factor in a significant proportion of cases. Over the shorter timeframe, 2012 to 2018, we further identified 32 non-fatal incidents in the city centre zone, an average of 5 per year.

The features and controls along the waterways within the city centre zone are similar to those found in many locations across the UK. There are a number of areas where space constraints have resulted in an increased risk rating score using our methodology. A number of physical changes that will benefit public safety in the future have been identified. These need to be addressed in a strategic way, including – where they are not already sited – fencing as a catching feature at junctions, lighting improvements, and education/information about routes around Manchester, particularly at night.

In a number of areas there is no method to assist self-rescue or for members of the public to support a rescue of anyone in the water. Therefore additional provision in certain locations is considered to be of benefit. This response will need to be 'at scale', and include both the waterway owners and private locations, such as bars and clubs, if it is to be truly effective.

During our visits, waterside locations were being used for rough sleeping, including locations prone to flooding. Addressing vulnerable groups within the work to improve population health outcomes will assist in preventing future drownings.



## Manchester Water Safety Review

Throughout this review we held workshops, as well as structured interviews with members of the MWSP, bereaved parents, and executive and political leaders within the city. Within this report we have sought to reflect and recognise these perspectives. Ultimately, this report is independent, shaped by our findings within the city and informed by experience from both within the UK and globally.



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## Introduction and terms of reference

The Royal Society for the Prevention of Accidents (RoSPA) was commissioned by the Manchester Water Safety Partnership (MWSP) members to conduct a review of safety pertaining to specific stretches of open water within Manchester city centre.

Consideration has been given in our recommendations to the implications of case law, changes to health and safety regulations and the findings of accident investigations, where these have a bearing on safety.

RoSPA has endeavoured to identify all the significant risks; however it is essential that the controls identified or the recommendations are continually developed and reviewed in response to changing legislation, best practice documents, *active monitoring* and the *investigation and outcomes of accidents and near misses*.

In carrying out this safety review, RoSPA points out that audits and reviews are by their very nature sampling exercises, and a reviewer cannot guarantee to identify all safety hazards. Opinion is formed by a site visit at a particular time and on a particular day. Therefore, the absence of comment on any issue should not be taken to imply that the site is completely safe in relation to that issue.

*The reader should note that the recommendations made within this report are strictly limited to the Manchester city centre zone. They follow in depth consideration of hazard and risk identified, the legal and policy context, and discussions to enable a sustainable at-scale response, for the city. We strongly caution against approaches which seek to apply these recommendations/solutions without first following a similar process of identification, understanding and agreement.*

## Methodology

We applied several methods to produce this report. Although we note the elements once below, several steps were repeated, particularly reflecting new or improved incident information, or clarification sought on particular issues.

### Scope and definitions

- This report considers only those locations within the 'city centre zone', defined as the space within the inner ring road boundary +200 meters, for open-water locations only (Figure 1).
- This geography approximates the city councils definition of 'city centre' for planning purposes.<sup>i</sup>
- 01 January 2007 to 01 July 2018 was the fatal incident review period.
- Non-fatal incident data was available for 2012-2018.
- A desktop assessment of the River Irk was undertaken.



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### Identify and align incident data

- Fatality data was sought from two primary systems: for 2013 onwards, we used the Water Incident Database (WAID)<sup>ii</sup>, a system which captures water-related deaths from members of the UK national water safety forum. Fatal events prior to this were sourced from the 'RoSPA/RLSS UK drowning statistics' annual publications.<sup>iii</sup>
- The fatal reports were cross-checked with MWSP member reports and understanding of events, Coroners' reports, where accessible, and press and court reporting.
- Open source data for population and daylight hours was aligned with the incident dataset.
- Non-fatality data was obtained from the Greater Manchester Fire and Rescue Service for the city centre zone over the period January 2012 to March 2018.

### Assess, using RoSPA method locations within the city

- Within the agreed boundary, each of the principal open waterways was reviewed using a structured method. The waterways were segmented into distinct areas, enabling the assessment to be repeated and reviewed.
- The assessors repeatedly visited the locations over the summer months of 2018, at different times of day/week, and during expected peak use windows, such as the August Bank Holiday weekend.
- Every section was visited on multiple occasions, with night visits for most sections.
- The assessment programme included a peer review element: assessors overlapped on sections and were instructed not to share thoughts or findings until after the first full pass of all waterways in the city.

### Policy review and stakeholder interviews

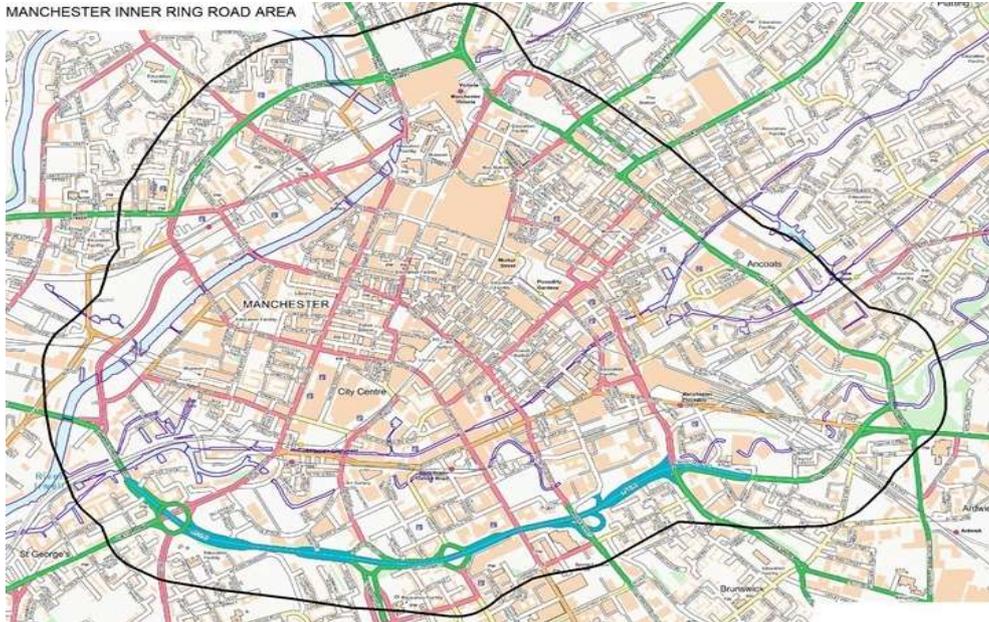
- A desktop search was undertaken of policies which affect the waterways, public health and emergency response, historical context and likely future impacts. We interviewed and held semi-structured discussion with members of the MWSP, seeking their views on existing challenges/opportunities. We conducted these under Chatham House Rules to foster frank discussions.

### Synthesis and reporting

- A draft report was produced to allow for fact and error checking, followed by a final version.



## Manchester Water Safety Review



1. Map showing the Manchester city centre assessment zone.  
Defined as being within the inner ring road +200 metres.



## Context to managing UK water safety risks

It is important to note the legal and policy framework in which the management of water safety operates. This frames the choices available to managers and duty holders and impacts upon delivery of plans.

There are three points to note:

**(i) Legal liability arising from water safety risks** rests primarily with the duty holder who owns or is in effective charge of the water space or facility in question, and/or those who offer an associated service which creates a risk.

The Occupiers' Liability Acts 1957 and 1984 create a general 'duty of care' upon landowners towards visitors and trespassers. Breach of this duty can result in a civil action claim for negligence brought by those affected, and ultimately, if proven, require a remedy for the damages sustained, typically a compensation payment.

The Health and Safety at Work etc. Act 1974 creates a similar set of duties towards staff and others affected, e.g. visitors. These duties create criminal liability for the duty holder if found in breach, leading to prosecution for the most serious offences, with significant fines or imprisonment for the duty holder.

These Acts essentially require that the duty holder consider the risks and take reasonable measures to manage those risks deemed to be significant (i.e. risk assess).

**Under both civil and criminal law, it does not automatically follow that if a visitor is harmed on a premise that they are owed any duty at all, or that the duty holder would be at fault.**

**Where an adult visitor has willingly taken a risk with knowledge, or can be reasonably assumed to have that knowledge, the civil and criminal courts have largely rejected claims to impose a duty.** <sup>iv</sup> Inversely, where the duty holder was found to be clearly negligent or acting without reference to – or out of step with – accepted good practice, the courts have applied significant penalties. As such, pursuing a liability management approach to reducing drowning will be limited in its influence.

**(ii) There is no explicit duty upon a local authority to organise and take preventive steps to address drowning risks.**

Unlike fire or road safety, there is no specific regulation or code which states that action must be taken to prevent drowning at the local authority or community level. Local authorities do act to prevent drownings, often from a moral or reputational standpoint, and by virtue of the fact that many are land or asset owners, which gives rise to the occupier liability and workplace law outlined earlier.



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**(iii) Waterways are complex environments to manage**

Along any waterway there will be multiple private and/or government landowners, and often more than one political boundary, as rivers are typically the physical boundaries for authorities, e.g. River Irwell (Salford/Manchester).

Furthermore, the Navigation Authority, as the organisation with a legal duty to ensure the waterway is safe and clear for boats and their passengers, may only have limited influence on their 'landside' – often a narrow section of a footpath, or structures directly associated with operation of the navigable water. In Manchester city centre zone, the principal navigation authorities are the Canal & River Trust (CRT) and the Bridgewater Canal Company Limited. In addition to land held by councils and navigation authorities, there are multiple landowners alongside these sections of waterways.

**It can often be difficult to identify just who a single stretch of land belongs to. When taken at the city scale, the challenge of identification and coordination/consistency becomes considerable.**



# Results



## Responsibility and leadership for water safety

The Manchester Water Safety Partnership was formed approximately three years ago, based on a pre-existing collaboration of some of the current membership which began in the mid-2000s. The group consists of; the principle navigation authorities Canal & River Trust and The Bridgewater Canal Company Limited ; Royal Life Saving Society UK; CityCo; Manchester City Council; Greater Manchester Police; Greater Manchester Fire & Rescue Service (chair).

As part of the review, we were able to access and ask questions of senior management and directors. The members of the MWSP, and the elected members we met, clearly demonstrated that they take the issue of water safety in Manchester very seriously.

**The fact that this partnership exists, and is well established should be commended – particularly despite the absence of clear regulatory guidance for its creation.** By way of context, across the UK there are no more than 60 existing similar water safety partnerships; in our experience most are not as developed as the Manchester partnership. We believe that around 120 similar partnerships are required to effectively address the inland drowning burden in communities.

Historically the MWSP has been largely driven by operational demand. **In its current guise, under the chair of Greater Manchester Fire and Rescue Service we considered it to be responsive to community need and engagement** and proactive in its actions. The meetings are chaired effectively and are focused on outputs towards the goal of reducing drowning death injury and risk. This can be seen in the programme, which includes: the compiling/sharing of incident and risk information; pilot interventions such as training in throwline use for bar staff; and public awareness-raising events and campaigns.

We consider it very positive to have elected members addressing and taking an interest in the work of the MWSP.

There were a number of points we believe will help strengthen the MWSP:

**Principally, the reporting, oversight and sponsorship would benefit from greater clarity.** It was clear why all members had joined the MWSP: as a vehicle for addressing these often jointly held risks. What was less clear is often how the MWSP links into either the wider safer community or public health programmes in Manchester at the city or combined authority level, or within institutions such as the universities.

The practical impact of this can be seen **most acutely when seeking to apply consistent change across the city centre zone;** for example, it is agreed within the MWSP that improvements to safety information and rescue equipment would be beneficial (a pilot scheme is underway). However, the implementation of this at the requisite scale, across the multiple landowners, including on land privately held, would work better if it was clearly of direct sponsorship/oversight to a director and/or political lead when support is needed.



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There are secondary, albeit remote, joint liability risks to city and the member organisations by working in this manner; to date, this has not materialised in Manchester, largely owing to the diligence and competence of the members. However, the current reporting structure does not aid the mitigation of these corporate risks.

**Refining the documentation of roles and responsibility within the group** and the associated services called upon would help the members bring clarity to some of the day-to-day tasks that contribute towards the safety at the waterways. There is a considerable range of activity which contributes and impacts upon the water spaces; for example at a practical level the maintenance of lighting columns, or more strategically a response to planning applications.

### Policy context within Manchester

In the following section we have sought to identify and provide a brief overview of the corporate policies and initiatives that either currently or indirectly affect water safety outcomes; or in our opinion, have the capacity to do so.

**Manchester City Council has a statutory responsibility to promote and protect the health** of the people in the city, including a number of explicit objectives, such as preventing communicable diseases. The majority of activity towards this duty is driven by identification of local population health needs through a **joint strategic needs assessment**. **Priorities include homelessness, alcohol consumption, and falls among the older adult population.**<sup>v</sup>

Manchester City Council **planning framework and Core Strategy** is developed under statutory guidance in line with national approaches. Within the framework a number of policies are of note: **EN14 Flood risk; EN10 Outdoor leisure; CC4 Visitors, tourism and culture; SP1 with reference to improved access to the Medlock/Irk.**

Within the Manchester City Council document **'Manchester's great outdoors – a green and blue infrastructure strategy and action plan for Manchester'**, waterways are primarily described as linkages for travel. The document follows the Manchester Core Strategy objectives and includes a number of waterway-related actions, including: **'continue to invest in the river valleys and canals to provide attractive settings for residential communities, leisure and recreation, health, and biodiversity benefits (Existing GI/Action 1) and 'enhance river valleys and canal tow paths to improve accessibility and use as active transport corridors (Connectivity/Action 1).**<sup>vi</sup>

The Manchester, Salford and Trafford **Strategic Flood Risk Assessment** provides a detailed assessment of the risk to property and people, both the actual risk and residual risk, from rivers, canals and surface water.

Of note among the observations in that risk assessment document is that: **"The River Irk, River Medlock, Corn Brook and surface water (including the risk of sewers and culverted lost or hidden watercourses surcharging)**



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**pose the highest risk of more frequent flooding.** Surface water drainage from new developments is critical in reducing the risk of localised flooding.”<sup>vii</sup>

The Manchester City Council **central safety team provides a corporate safety service** to departments within the city and wider authority, such as safety support for public events or specialist advice for departments, helping to fulfil operational needs and the legal duties driven primarily by the Health and Safety etc. at Work Act 1974.

For the **Greater Manchester Fire and Rescue Service**, the primary obligation is met via an Integrated Risk Management Plan, which has considered **water safety risks for many years and has developed a specialist response** since 2000.<sup>viii</sup>

The **Manchester Water Safety Partnership (MWSP)** was originally formed in 2008 as part of a response to a Coroner’s report to prevent future deaths, known then as a Rule 43 report<sup>i</sup>. It is a voluntary association, chaired at various times by the city council and GMFRS. The MWSP has been the collective group for addressing a number of high profile water safety issues within the city.<sup>ii</sup> Updated in 2016 the present group consists of; the principal navigation authorities Canal & River Trust and The Bridgewater Canal Company Limited; Royal Life Saving Society UK; CityCo; Manchester City Council; Greater Manchester Police; Greater Manchester Fire & Rescue Service (chair). The programme includes outreach and **education work directly to visitors and groups such as schoolchildren, gathering and analysis of incident information, identifying risk issues and developing interventions** to manage for example throwline training for bar staff.

Although the **Manchester Community Safety Partnership (MCSP)** was established primarily in response to the duty on the police and local authority under the Crime and Disorder Act 1998 to develop local crime reduction strategies, its remit is to ensure Manchester is a safe place to live, work and enjoy. The MCSP brings together a wide range of partners, including Greater Manchester Police, GMFRS, NHS and community and voluntary organisations.<sup>ix</sup>

Within this Manchester has created the Evening and Night Time Economy Partnership Group, which includes business and statutory/voluntary bodies. Other priorities include the **identification and impact of drugs and alcohol use**. The focus of the group in strict statutory terms is to address harm from crime; as such, safety from injury is understandably not an explicit objective. However, its programme does have direct impacts upon injury prevention, for example ensuring night-time visitors can get home quickly and easily, and the existence of controlled, licensed premises. Notable projects with a **possible impact on water safety are the Night Heroes<sup>x</sup> and Safety Advice for Students<sup>xi</sup>** interventions.

Although withdrawn as an official Government publication in 2014, **Safer places: the planning system and crime prevention<sup>xii</sup>**, sometimes termed ‘Secured by Design’, was cited on several occasions. This was in the context of how planning policy was/is being directed, with the intention of securing locations such as car parks and the built environment from theft etc., with a possible unintended effect in Manchester of creating a “canyon effect along the waterways” (stakeholder quote).



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Manchester City Council and Greater Manchester Combined Authority have established a **nightlife expert adviser panel** with the objective of improving the region's nightlife offer by making it **stronger, safer, better connected and more attractive**. The panel includes representatives from health and emergency services, private bars, event organisers, and industry and community groups.<sup>xiii</sup> Projects that could impact upon water safety include a funded programme to train 150 'Drinkaware Crew' across Greater Manchester who "mingle with customers in bars and clubs to promote a positive social atmosphere and help those who may be vulnerable as a result of drinking too much alcohol. Including help to reunite lost customers with friends, help people into taxis or just provide a valuable shoulder to cry on".<sup>xiv</sup>

**The Greater Manchester Canals Heritage Partnership Agreement (2014-2019)**<sup>xv</sup> sets out the framework for **the care of specific heritage features** along the waterway, in line with the (then) English Heritage conservation, principles, policies and **Guidance for the Sustainable Management of the Historic Environment**. In addition to CRT, Manchester and Salford councils' planning authorities are signatories. Works which require the **'installation of health and safety or information equipment'** at, for example, aqueducts, canal environment or bridges, are **classified as requiring statutory consent within the framework** (pp 4.1 - 4.2).<sup>xvi</sup>

Within the **universities there are regular programmes**, particularly during freshers' week, and ongoing support by way of counselling and health services for students. At least one university operates a 'safe taxi' scheme whereby a student can obtain a ride home and pay for the fare the following day.

**CityCo offers training and information updates on water safety** to its members, including bars and nightclubs located near to the waterways. In addition, fresher induction programmes have held mini workshops for students on water safety and safer routes choices at shops and venues that students wish to visit.

Within the **National Curriculum**, there are explicit requirements for **swimming and water safety attainment** within schools, namely that children should be able to: swim competently, confidently and proficiently over a distance of at least 25 metres; use a range of strokes effectively; perform safe self-rescue in different water-based situations. Since 2017, schools have been **required to publish how many Year 6 pupils have met the National Curriculum requirements** relating to swimming and water safety.<sup>xvii</sup> <sup>xviii</sup> **At the time of drafting, figures were not available.**

The **UK Drowning Prevention Strategy (2016-2026)** seeks to **reduce accidental drowning fatalities** in the UK by 50% by 2026 and reduce risk amongst the highest risk populations, groups and communities. The strategy, developed by members of the National Water Safety Forum, sets out a number of objectives to meet the goal. Notable among these are that: **Every community with water risks should have a community-level water safety risk assessment and water safety plan**; and to **Increase awareness of everyday risks in, on and around water**.<sup>xix</sup>



## Incident profile

### Data capture and verification

As outlined earlier, we sought out water-related fatalities within Manchester city centre, using the following agreed criteria:

- Occurred between 01 January 2007 and 01 July 2018;
- Within the boundary of the city centre zone, i.e. inner ring road, with a +200m buffer (Figure 1);
- Incidents confirmed as being water-related;
- At open-water settings only; no domestic or built environment such as swimming pools or baths.

To achieve this, we initially sought to identify all available water-related fatalities for Greater Manchester from the WAID database<sup>xx</sup> and historical RoSPA/RLSSUK drowning reports.<sup>xxi</sup> We verified the completeness/quality of records and cross-checked the data with published reports and sought available information held within the MWSP. A final cross-check of all records was completed with support from the Manchester Coroner's office.

A death is recorded by the coroner using two principal outcomes: medical cause(s) of death and legal finding.<sup>xxii</sup> Where available we reflect those stated by the coroner. The event narrative, age categories and wider causal factors, e.g. presence of alcohol, follow the WAID taxonomy.<sup>xxiii</sup>

### Uncertainty about and improvements to data collection

There are variations within the fatal dataset with regard to the completeness and certainty attributable to the events. In those cases with eye witness reports and/or CCTV a largely complete picture can be derived, in many cases information is not available. We have been conservative with our analysis, indicating where there is partial evidence, e.g. the confirmed event time versus the 'last seen' time; and excluding attributes from a particular analysis, such as the exact age of the victim. These are indicated by the  $n = x$  figure at the bottom of the figures, or the fraction used in the report text, e.g. 18/28 cases v 18/20 cases.

We have reported upon 28 confirmed fatal events. There was one further possible event excluded as we have been unable to confirm if this incident resulted in a fatality at the time of drafting. The lack of evidence and its completeness is a picture that is repeated nationally when water-related fatalities are reviewed, due often to the unwitnessed nature of many events.

The MWSP uses incident data to good effect, and conducts open discussions when reviewing incidents. Further use of tools such as checklists for data completeness may improve structured data held, and importantly help to capture/refine the information discussed in event reviews. Weather and ground conditions, and if the person was considered to be vulnerable or in regular contact with emergency or health services, are two areas where useful information is potentially available.



## Incident observations

We identified over the period 2007 to July 2018:

- In **Greater Manchester** there were **139 water-related fatalities, at all locations** including homes and swimming pools, during the review period.
- In the **city centre zone** there were **28 water-related fatalities at open-water locations**, with one further possible fatality that could not be verified; this has been excluded from our analysis at this time.

**The non-fatal incidents (NFI)** are sourced from fire and rescue service data, available for the period January 2012-March 2018.

- There were **32 non-fatal incidents** attended by emergency services, **within the City Center Zone**, in addition to the fatalities.

### When did the events happen?

- Across the whole period, there were on average between 4 and 5 fatalities every two years, with a peak in events during 2008 and 2014. There was an average of 5 NFI a year, with notable peaks in three of the years (Fig.2).
- July and October are the most common months for fatal events, both with five. NFI events also peaked in July and October (Fig. 2).
- Where date is confirmed, the weekend days Friday to Sunday are the most common days for fatal events (Fig. 4).
- Of those events with confirmed time, the majority (14/16) happened during night-time or during the dusk/dawn period (Fig. 5).
- The most frequent time for events to happen was between 02:00 and 04:00 (Fig. 5).

### Who was involved?

- Most cases (26/28) involved men (Fig. 5).
- All the cases involved adults.
- The youngest was 19 years old, the oldest 83 years old. The most common age group was those aged 25-29 years old. There was no distinct pattern across the age ranges.
- There are five fatal cases where we do not have sufficient age information to categorise. We know gender in all cases.
- We have confirmed home residence for 17/28 cases. Of these, 12/17 lived in Greater Manchester.



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- We do not know the occupational status for most cases (19/28). Three cases were reported to have involved fully employed persons. There were six cases involving university students.

### Where did the events happen?

- Of the 28 fatal events, the Rochdale Canal (18/28) was the most frequent location, followed by the River Irwell (6/28). The Ashton Canal, Medlock and Bridgewater all had one fatal event (Fig. 6).
- A similar pattern can be seen for NFI events; Rochdale Canal (12/31), River Irwell (12/31), Medlock (4/31). The Bridgewater Canal and Ashton Canal had two and one events respectively.
- Between 2009 and 2014 fatalities and incidents occurred within the Undercroft section of the Rochdale Canal. A Public Space Protection Order was issued as part of a package of measures, ultimately, enabling closure of the section between 2200 and 0700.<sup>iii</sup>
- Of the confirmed cases, 9/26 were at locks. The Undercroft area was the locus for 5/9, prior to the above measures being implemented.

### How did the events happen?

- Those walking (17/28), or unclear-entry into water (7/28) account for most events. In 4/28 instances the last known activity was deliberate entry.
- The potential for passer-by intervention was a theme mentioned by coroners: in 10/28 cases, the victim was witnessed or heard to be in trouble. In five of these events, an attempt to assist/rescue by the public was made. In one case this resulted in the death of a rescuer.
- Alcohol was a confirmed or probable factor in two-thirds of all cases. The presence of drugs was confirmed in one case.
- Among those aged 19-30 years old, alcohol was a factor in 8/9 cases.

### Medical and legal findings

- The principal medical cause of death in 19/28 instances was drowning. The remaining nine are not reported.
- A legal verdict of 'Accident' was given by the coroner in eight instances.
- An 'Open' or 'Narrative' verdict was given in eight instances. 'Misadventure' was given in two instances. Suicide was returned in two instances. Manslaughter was reported in a criminal court in one instance.
- No legal verdict was available for seven cases at the time of drafting.

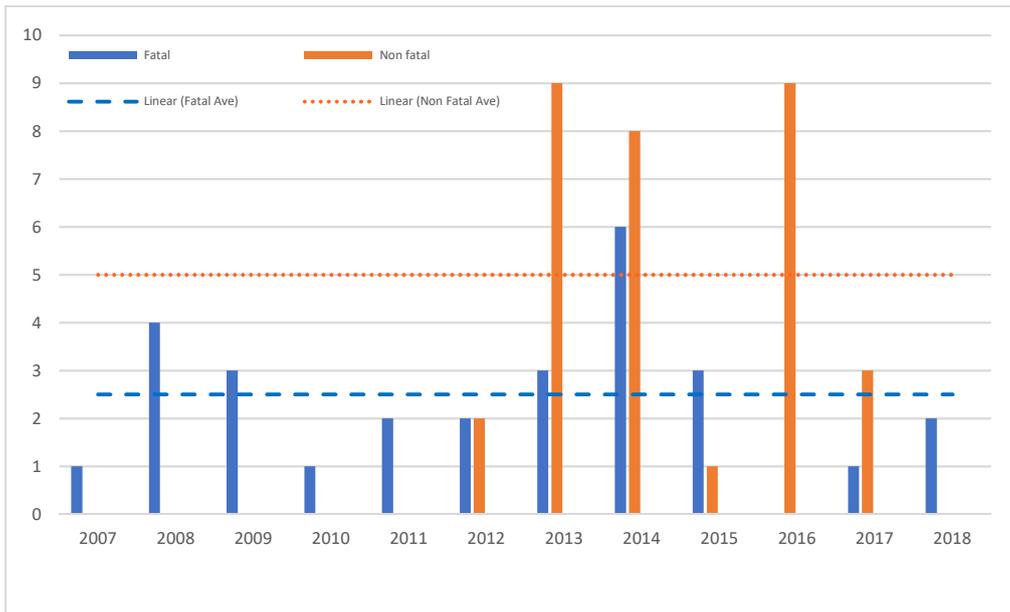


### Indicative themes within the 32 non-fatal incidents:

- In a third of all cases, the person had fallen a very significant distance – more than 5 metres.
- In at least one instance, an individual was recovered from the water with their airways submersed, and cardio-pulmonary resuscitation was provided.
- Alcohol was noted in a quarter of these events.

This NFI figure should be considered a narrow interpretation of water risk in Manchester city centre. It reflects cases whereby the person was in the water and required intervention by GMFRS. In at least one instance, an individual was recovered from the water with their airway submersed, and cardio-pulmonary resuscitation was undertaken to be safe, and in our opinion, in at least one instance, to keep the person alive.

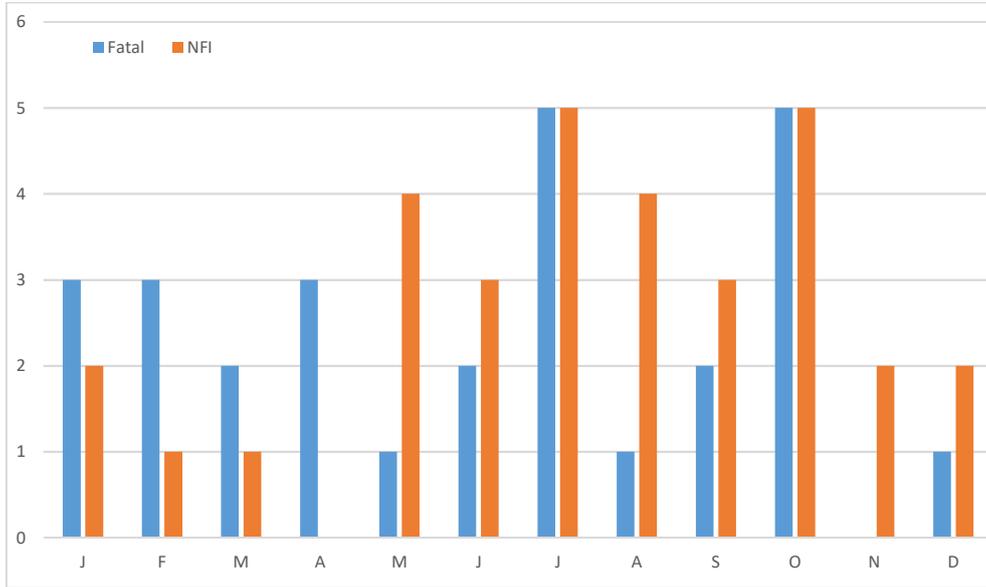
A list of the fatalities identified is provided in the appendices. Graphical representations of the results are provided below.



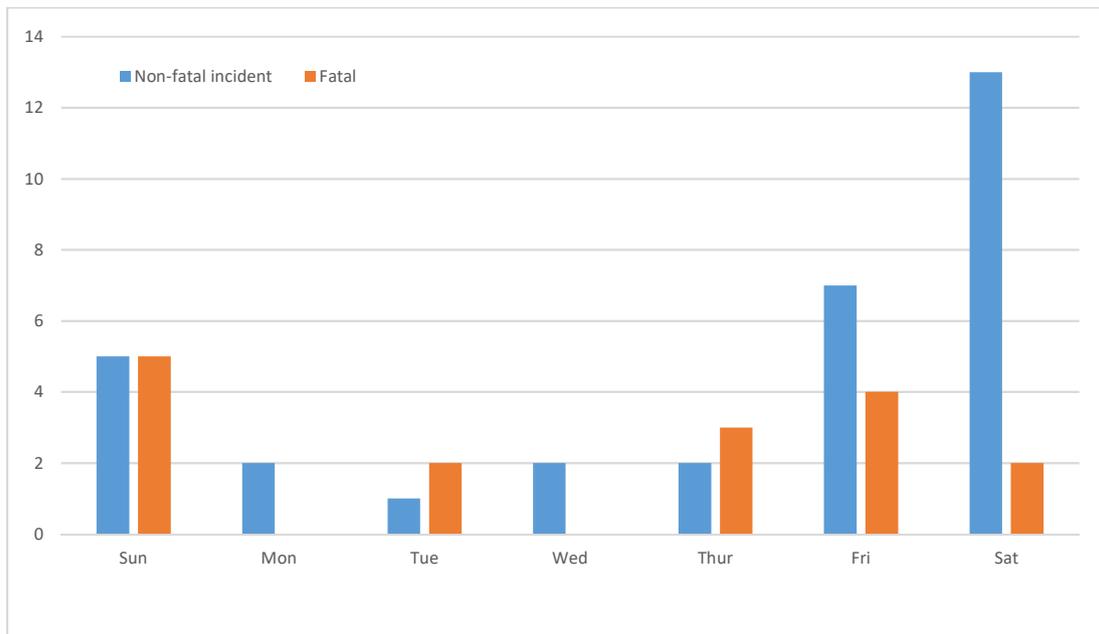
2. Water-related fatal (n=28) and non-fatal incidents (n= 32) in Manchester city centre zone  
 Note: Non-fatal data available only from 2012 onwards



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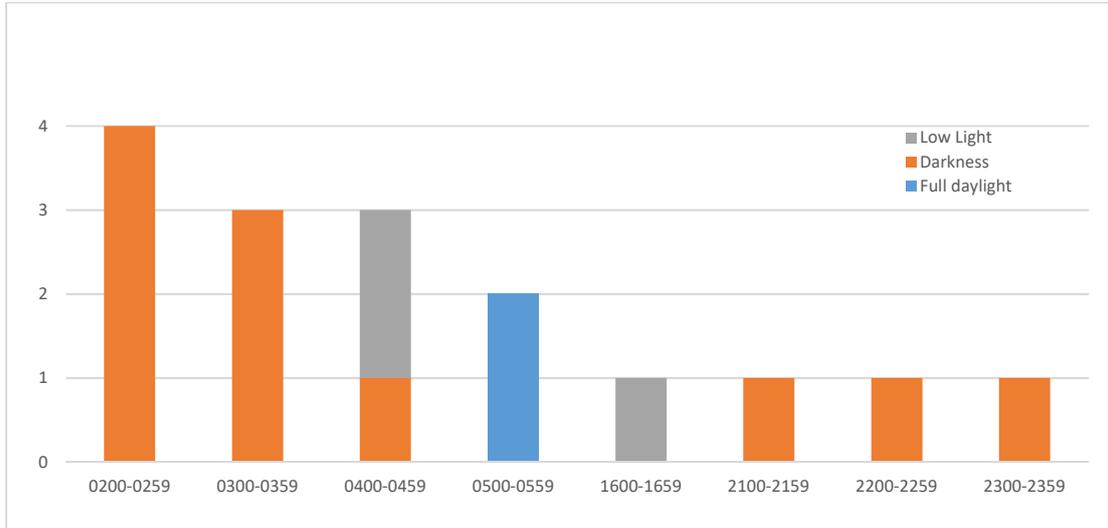
3. Water-related fatalities and non-fatal incidents by month, Manchester city centre zone. (Fatal=28, NFI=32)



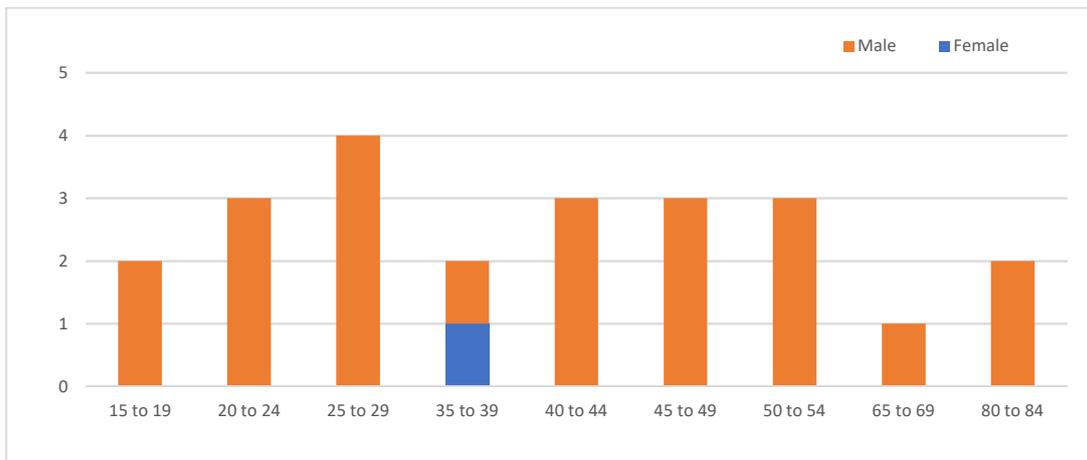
4. Day of week (Fatal=28, NFI=32)



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5. Fatal event times and light levels where known (n=16)  
Lighting levels reflect seasonal changes



6. Age and gender where known (n=16)



## Site review findings

The consultants reviewed the waterways and segregated them into defined areas. The RoSPA risk rating scoring system was used to identify and score the likely risks for injury and drowning. Other hazards on site were observed and noted. The risk rating score given below is a comparative rating relating to the risks presented by open water.

### Score distributions

The waterway is split into logical segments; each segment is then evaluated. The process considers how consistently applied a set of controls are, physical factors which may contribute/mitigate against entry into water and drowning, and wider factors such as the presence of people and activities such as bars or on-water activity. Location with change in levels/direction, or those with features such as a weir/lock, will return a raised score irrespective of the condition, due to the inherent risks associated. It is important to recognise that the approach returns a comparative score relating to the risks of drowning at a given location.

The majority of sections assessed fell within the 'increased' banding. Two sections sites sat above this, scoring 71 and 74 respectively, within the 'higher' band. These locations presented considerable hazards such as a fall from height sufficient for life-changing injuries, in addition to the presence of water. Those sites with 'medium' scores were newer builds with complete exclusion approaches. The sections which returned a 'lower' score were largely flat, clear sections, which were well lit and not overlooked so that buildings/infrastructure did not prevent ambient light and observation of the canals and persons by it.

An overview of the site assessment scores can be found in Table 1; for each waterway, the scores can be found in the Table 2, with comments against key themes in the text that follows.



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Waterway	Section	Side	Score	Meaning
Ashton	From Lock 1 to, inc. Lock 2 and mooring arm	Towpath	64	Increased
	Jutland Basin to Inner Ring Road	Towpath	52	Increased
	New Islington Marina (Cotton Field Marina)	All	44	Medium
Bridgewater	Hulme Lock and Hulme Island	All	74	Higher
	Castlefield	All	52	Increased
	Footpath to Cornbrook tram	All	45	Medium
Irwell	Blackfriars Bridge to Victoria bridge	N/A	71	Higher
	Regent Road bridge to approx. Trinity Way bridge (Section part closed)	N/A	65	Increased
	Victoria Bridge to Chapel Street	Offside	58	Increased
	New Quay Street bridge to Bridge Street	N/A	55	Increased
	Bridge street to limit of footpath (St. Mary's Parsonage side). Lowry side closed	N/A	55	Increased
	Victoria Bridge to Chapel Street	N/A	55	Medium
	Mark Addy's bridge to Regent Road bridge	N/A	54	Increased
	Lowry Hotel footbridge to Blackfriars bridge	N/A	50	Medium
Medlock	New Elm Road	N/A	60	Increased
	Mayfield (Bearing Street/Transport for Gtr. Manchester building)	N/A	55	Increased
	Brancaster Road to Charles Street	N/A	55	Increased
	Charles St to Oxford Road (Rear of Refuge/Euro cark park), Inc. Hulme Street	N/A	55	Increased
	River Street to Anne Horniman Street	N/A	55	Increased
	Access City Road East	N/A	55	Increased
Rochdale	Minishull St to Lock 85, below Dale St Lock 84	Towpath	65	Increased
	Tib Lock (89) to before (88)	Offside	58	Increased
		Towpath	55	Increased
	Bridgewater Hall mooring basin to swing bridge	N/A	62	Increased
	Oxford Street Lock (88) to before Princess Street 87	Towpath	58	Increased
	Deansgate Locks / Lock 91 to before 90	Towpath	57	Increased
	Princess Street Lock (87) to Minshull Street bridge inc. Lock 86	Towpath	53	Increased
	Lock 83 to New Islington	Towpath	53	Medium
	Deansgate Lock to nr. Rain Bar before Tib Lock 90 to 89	Towpath	52	Increased
	Dale St Lock (84), basin to Lock 83	Towpath	51	Increased
	Princess Street Lock (87) to Minshull Street bridge inc. Lock 86	Lock 86	50	Medium
Dukes 92 to end of tunnel / Lock 92 to before Lock 91	Towpath	47	Medium	

Table 1. Site assessment scores



## Consistency of measures

When taken overall, the waterways do have consistent approaches in the way that safety risks are physically managed. Developments next to the rivers have largely applied an exclusion approach, whereas developments around the canal corridor have largely applied a deflection approach.

There are different approaches to the rivers and canals, as might be expected. Due to the age of the locations and decades of development, there are various inconsistencies in application at each setting. Where we have observed inconsistencies of application, these appear to be mostly caused by developments on, around and above the features, putting pressure on the physical environment e.g. available space, headroom, width of paths.

The overarching approaches we identified in Manchester reflect similar waterways nationally, for example Rochdale canal, Brindley Place (Birmingham various canals), those owned by Scottish Canals (various locations), York, Ashton.

Similarities in approach can also be seen in the two basin spaces at Castlefield and New Islington Marina, which keep spaces largely clear of barriers and treat the water as a visually obvious hazard.

Where there is a change in level/height or direction/bottleneck, selected use of fencing has been applied. Similar design approaches can be seen in the newer build spaces of Paddington Wharf (London), and Brindley Place and Gas Street Basin (Birmingham).

## Edge protection and fencing

To be useful, a fence or edge protection needs to be uniform in position, height and design. Gaps underneath, between posts and panels and entry/exit points will, of course, affect the effectiveness of any installation. To be completely effective, a fence or barrier needs to be of a suitable height to limit accidental slips/trips or intentional acts resulting in water entry.

Across the UK, standard fences range from 800mm to 1100mm – effective heights for pedestrian situations – and 1200mm for areas where cycling is expected. Fencing beyond these heights are commonplace across the UK, intended for security protection such as electrical installations and train lines. Higher fences and enclosed areas and pathways are associated with an increase in individuals' perception of isolation and vulnerability in an area, which could lead to less use and potentially increase antisocial behaviour and higher rates of crime. Where these narrow the effective manoeuvring space, barriers could present an additional hazard to boaters, especially around locks, and to cyclists'/pedestrians' space.

We observed one location where a vandalised barrier created an immediately unsafe scenario; remedial work has since been completed.



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Exclusion approaches were applied where typically a significant fall or very difficult egress was observed. The consultant noted different styles and height of balustrading e.g. 900mm to 1100mm, typically due to different landowners and/or development phases.

In locations where there was a change in level/height on the route or where a bottleneck led near to water, a deflection barrier or limited run had been put in place. There were a small number of locations in which the consultant observed a barrier that might be improved by a small extension, or the finish could be improved or consistently applied in bottleneck locations. There were a small number of locations in which an extended run of deflection fencing (e.g. 50 metres) had been placed; the logic was not immediately apparent until the change in building use/development was understood. We think that in several cases barriers had been placed in response to possible emergency/fire evacuations and escape route scenarios.

Careful thought needs to be given to the placement and use of fences and barriers, as further fencing and barriers could restrict the natural environment and possibly the navigation of some of the waterways.

At the two crossing points at New Islington Marina/Lock (school/homes to tram stop) and Tib Lock (Bridgewater Hall to Whitworth Street), the use of wayfinding information and/or further physical measures to assist preferred routes should be considered.

### Lighting

Most of the sections had good ambient lighting during daylight and early evenings. These are largely dictated by the level height and overhang from surrounding buildings.

The canal sections around Dale Street, Jutland Street Wharf and Deansgate Locks is where the light transition was considered to be the most acute. On the Irwell, the section behind St Mary's Parsonage was observed to be dark and overgrown. Stretches do have barriers and are being used as rough sleeping locations. Most visitors on foot will be routed to the opposite bank or away from the water.

Overall, the lighting levels within the waterways did vary considerably, lowering in intensity in line with the move out of the city centre. This is to be expected. Where artificial lighting is provided, particularly along the Rochdale Canal, a more consistent and higher luminosity approach would help to highlight hazards.

Consistent and high lighting levels and differentials between lighting levels around junction and passageways is also considered to be a significant benefit for personal safety and crime minimisation. Lighting schemes for both banks should be considered, particularly around locks.

### Pathways and surfaces

The surfaces of the pathways and towpaths along the canals were generally as expected for the features. This means that there are numerous changes in levels due to different surface materials (bricks/ stone/ slab etc.) and that this will result in slip and trip hazards inherent along these routes, which would not usually be expected or acceptable in a new build pedestrianised area. Snagging and repairs to surface damage were noted in a number



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of areas, which demonstrates that conditions are being monitored and action taken to address issues that had previously been identified.

Essential heritage canal features such as foothold quadrants and mooring rings are necessary for the safe operation of a lock gate and are standard across the country. However, these can be expected to be a trip hazard for anyone unaware or unfamiliar with a waterside environment, particularly in low light conditions. Therefore, a regular inspection of the condition of the towpaths and pathways should continue to ensure that conditions are within acceptable parameters and the lighting conditions are such that anyone unfamiliar with river and canal network can see the intended routes and avoid slip and trips which would otherwise lead to a fall into the water.

The width of the paths alongside the Irwell were sufficiently wide to easily negotiate on foot and bicycle. The towpaths along the canals were very narrow around some of the lock gates, where adjacent development has squeezed the available area. In some areas pedestrians using the towpath would need step over the lock arms to continue along the towpath or find an alternative route across rough ground. Such situations are not ideal, especially in low light conditions.

### Rescue and recovery

Coroners have previously recommended that improvements to information and public rescue equipment (PRE) may be beneficial to preventing future deaths. Ladders to enable a self-recovery are provided within the lock chambers of all the locks (two access/ escape ladders). PRE along the reaches of the rivers and canals was largely absent, although we noted a small number of pubs and hotels that have provided rescue equipment on balconies/terraces etc. Spinningfields, Lowry and New Islington Marina have equipment provided at strategic locations, which is considered good practice for the city.

It should be noted that in many areas the freeboard and design of the water features (particularly so at the Irwell/Medlock) means that emergency services would probably still be required to actually get people out of the water, but rescue equipment would increase the survivability of an accidental fall into the water if assistance could be summoned.

In order for a PRE-based approach to be most effective, a number of conditions have to be met: the equipment must be deployed 'at scale' to provide sufficient coverage along a waterway; the equipment must be able to be seen/accessed/used easily, but equally maintained and defended against loss or vandalism; the approach should align and complement other measures such as information provision, infrastructure improvements and/or training of key people and organisations.

Critically, in order to achieve this, there will need to be a community supported approach including community owned PRE.



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We understand that limited trials of PRE placement and training have taken place in the city with varying degrees of success. The experience of Bath, Birmingham Brindley Place, Durham and section of the Thames in Westminster show that higher density city centre locations can benefit. We believe that a community-led approach which deploys at bars, venues and strategic public spaces, supplemented by training for key people, will add resilience against drowning within the city centre.

It is important to note that we are not advocating a single factor policy e.g. every x metres, or deployment of PRE along waterways beyond the Manchester city centre zone, or in any other city.

### Information and routing

Tourism and blue waymarking signage help to route people onto the river corridors from the highways. These waterways are frequently used as cycle/foot commuter routes. The increasing use of these spaces for exercise and connectivity within the city, and a more consistent footfall are something very much to be welcomed in our opinion.

We observed variable levels of wayfinding along the waterways and numerous ginnels and dead ends were noted leading from the main canal corridor. On a number of occasions our consultancy team were asked for directions from members of the public who were lost and we also identified people climbing over barriers to exit the canal corridor (on the off side).

Hazard warning signs are used sparingly but most consistently along the canals e.g. on the lock arms. Away from the canals, the age and condition of many signs that we observed was an issue. The placement and visibility of the signage and the information available to aid identifying location was not easily apparent (useful to assist emergency services).

The duty holders and locations such as bars and hotels near to the waterways have tended to use different signs and design language to communicate safety messages. This means that when approaching a location from various angles, different messages are communicated. When these messages are intermingled with advertising and other information, the safety messages are not easy to visually identify and therefore, we believe, for people to absorb and act upon.

New Islington Lock and Tib Lock were noted to be used as pedestrian connection and principal crossing points across the city canals. We noted that a well-designed, dedicated pedestrian bridge is provided across Tib Lock. Despite the temporary barriers in place at the time of our visits we noted about 1% of users used the lock gates to cross, (based on several hours of static observation at this location). A seating area near to the lock gate increases the use of the lockside area. Therefore, we believe that a desire line across the canal lock gate exists. The action in hand by the Canal & River Trust to introduce a suitable design of railing here as a permanent feature is to be supported, given the ongoing need to direct people to the footbridge.



## Other comments

Despite the efforts of the Canal & River Trust, Manchester City Council and local volunteers, during the visits we found that litter and detritus were common along the canal and river corridors. While Biffa staff were observed emptying bins etc. along the canal network in many locations, occasionally the items in the water and along the towpaths and paths were noted to be significant in volume, often discarded food and items of clothing, but also potentially hazardous (e.g. drug paraphernalia) and contaminating (e.g. used condoms). Items in the water generally collect around the locks due to the natural water flow. At four locations, our consultants made observations with regard to visitors' personal security.

Rough sleeping was noted in various areas, with tents and other bedding and possessions, clearly indicating sleeping locations, some very close to the water and across locks from the main towpath, apparently for reasons of personal security and/or weather protection. The location along the Irwell could easily be affected by flood/spate conditions.

The approaches within Manchester have been summarised within the following table.



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Theme	River Irwell	Bridgewater	Rochdale Canal	River Medlock	Ashton Canal
Consistency of measures	<p>Visitors on foot traveling alongside the river, despite the disruption of existing works; largely similar approaches to risk control. Barriers at significant fall height or change in levels; clear footpaths and regular egress routes.</p> <p>The main challenges sit at those locations that are not thoroughfares, and/or at the edge of building developments.</p>	<p>Although Castlefield is a different type of space from the footpath and Hulme Lock spaces, visitors will find consistent approaches to barriers, footpath conditions (if not width) and lighting.</p>	<p>Visitors on footpaths will find a largely consistent approach, albeit constrained in width/height in sections, and by building works at several points. The towpath was originally designed to aid navigation of boaters.</p>	<p>The river is largely canalised and not accessible.</p> <p>Measures to exclude visitors are the prime intervention.</p>	<p>Visitors on foot or cycle find a largely consistent and uniform section. Overlooked by housing.</p>



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Lighting	Space provides for good ambient lighting, supplemented by fixed street lighting.	Good ambient lighting, supplemented by street lighting. There was some question regarding lighting level/position on the footpath.	The section is overlooked and, in some parts, enclosed by buildings. Ambient light levels vary considerably in short spaces e.g. at Deansgate Locks. Some spaces require lighting for most part of the 24hr period such as the Dale St Undercroft. Street lighting is variable throughout section.	Town centre sections are mostly covered by ambient lighting, or adjacent street lighting.	Ambient lighting with street and spot lighting in sections. Hazards remain obvious on continues section. Jutland St. mooring arm/basin is secluded and not as well lit. Probably dark in the evening as overlooked by offices.
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<p>Edge protection and fencing</p>	<p>Extensive but not complete use of 1100mm barriers throughout section, along with walls and physical segregation. Led by the canalised approach to the river. Sections such as that opposite V&amp;A had change in height width without consistent barriers. Central areas such as Lowry Hotel frontage had high quality/consistent design in place. This design approach can also be seen at Spinningfields.</p>	<p>Use of catching rails at change in height, levels and direction. Exclusion security fencing used at Hulme Lock. Narrow section.</p>	<p>Typically, limited runs of fencing. Some catching feature applied consistently e.g. under bridges. Sections approaching bottom locks typically have catching rails; however, these are constrained by either head high or possible entrapment with lock mechanism (worth review). A small number of locations, such as change in level/direction, would benefit from minor changes. A permanent design scheme is proposed to aid routing around Tib Lock.</p>	<p>Exclusion approach in situ for most of the visible/accessible sections. Most viewable sections had drops of several metres into water. The new build accommodation at A34/Brancaster Rd should be reviewed</p>	<p>Edge delineation use of coping tone and texture/colour change. Bridges use a catching rail use several designs. At lower water level freeboard might be above 200mm, and difficult to egress.</p>
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<p>Pathway surfacing</p>	<p>Visitors enjoy paths several metres wide to approximately 2.5m at their narrowest. Tarmac surfacing with edge delineation applied.</p> <p>Surfaces with edge delineation variable near to HS2 works (Ordsall Chord) does vary in quality.</p> <p>Bankside sections opposite/adjacent to Lowry and behind NCP car park in poor condition, although not a main thoroughfare.</p>	<p>Several types of surfaces including cobblestones. Some locations at Castlefield require remedial work to reduce slip/trip/fall hazards.</p>	<p>Mixture of surfaces including brick and cobblestone/flags. Edge delineation is maintained with the use of coping stone. There are small sections that could present trip hazards, and signs of wear at a limited number of edges.</p>	<p>Highways overlook water. Barriers typically 1100mm or greater.</p>	<p>Flat, level and largely free of damage and wear.</p>
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<p>Rescue and recovery</p>	<p>Not consistent use of PRE. Application at Spinningfields and Lowry, and in town centre is good practice.</p> <p>Fall heights along section are significant in many places, therefore deflection/exclusion is the principal tactic.</p>	<p>PRE in situ at location around Castlefield. Not sited beyond ring road, except at Hulme Lock.</p> <p>Most of the section has a low freeboard; where there is higher drop, this has catching rails in situ.</p>	<p>Along the level sections between locks, egress in daytime/good weather conditions is possible with lower freeboard height.</p> <p>Approaching lock and inside arms, fall height can be 3m+. Ladders are main aid to egress.</p>	<p>Specialist rescue teams have aided egress.</p> <p>There have been incidents near Princess St/Charles Street however, we cannot see any obvious location/scenario beyond scaling a wall/barrier to gain access to riverside.</p>	<p>Some PRE on site emergency call box that did not seem to work. Alarms (for residents?) could be used to get help.</p>
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<p>Information and routing</p>	<p>Indications of scheme in place that has degraded/needed review once out of town centre.</p> <p>Building work have impacted egress points, and route is currently disrupted, which could lead to unwanted behaviours e.g. access at Regent Road bridges towards town, no indication of footpath closed at entry point.</p>	<p>Castlefield has tourism centre and signage/waymarking. Less clear on safety information. Warning signs used sparingly e.g. Hulme Lock, low bridges.</p>	<p>Visitors are encouraged by blue tourist signs. In addition, the Manchester heritage trail does use the canal path. Temporary closures are not signposted, if at all e.g. the wooden foot egress at Deansgate Lock is not indicated as being closed. There is warning signage and information around locks, mostly for boaters. The approach is comparable with the CRT national approach e.g. white edges/Hazard warning signs and painted cill marker/ladders.</p>	<p>Little to none, no active encourage of access.</p>	<p>Occasional waymarking signs.</p>
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<p>Other comments</p>	<p>Signs of drug use and rough sleeping at several quieter locations e.g. Mark Addys pub. These are also within flooding zone.</p> <p>Two locations posed personal security concerns for assessors.</p>	<p>Signs of rough sleeping in quieter parts of Castlefield.</p>	<p>There is significant evidence of the canal being used for rough sleeping, and shelter for Homeless people. This can be seen by the amount of debris and faeces along the sections, particularly underneath covered sections. We understand that the Undercroft and Dale Street areas have been locations for criminality and prostitution, and signs of sign of drug paraphernalia.</p>	<p>River Place/City Road east was a rough sleeping location (into back of Castlefield). Possible signs of debris/access riverside along this section.</p>	<p>Mooring arm/basin below Jutland St (from Dale St/Rochdale Tow path) was more secluded and had pinch points/blind spots.</p>
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Table 2. Overview of findings by waterway



## Conclusions

The risk ratings of the canal navigations and River Irwell are broadly similar to those found in other locations across the UK.

Equally, characteristics and controls on the River Irwell are similar to those found in many locations across the UK. The canal features running through the city centre have similarities to many other cities in the UK. There are a number of areas where usage and space constraints have resulted in an increased risk rating. There appear to be multifaceted reasons why these hazards exist and that risks are increased. These include the presence of developments along the canal, the behaviour of the local populace and visitors, and the use of the canal corridor as a commuter route.

Between 2007 and July 2018, 28 people drowned in Manchester city centre zone. An overwhelming number of these drownings happened during the hours of darkness. These individuals, all bar two, were men and inebriation played a part in a significant proportion of the events that led to their deaths. There has been an average of between 2 and 3 fatalities a year over the period, and a further 5 non-fatal incidents over the shorter period. Our experience in other cities suggests this scale of harm is not unique to Manchester. The MWSP uses incident data to good effect, and fosters open discussions whilst reviewing incidents. Further use of tools such as checklists for data completeness may improve structured data held, and importantly help to capture/refine the information discussed in event reviews.

Lighting along the canal routes is not consistent and areas of antisocial behaviour and crime were apparent during our visits. A programme of actions which improve physical safety, alongside reducing antisocial behaviour, passively reducing crime and providing benefits for the general environment and users, are considered to be preferential as the city develops and grows.

A number of physical changes that will benefit public safety in the future have been identified. These need to be addressed in a strategic way, including fencing as a catching feature at junctions, lighting improvements and education of routes around Manchester, particularly at night.

The use of the waterside areas for rough sleeping was obvious during our visits; people who rough sleep are a particularly vulnerable group, sometimes sleeping in higher risk locations prone to flooding. We expect the locations observed to be comparatively dry/warmer and secluded from passers-by, particularly in winter. We suggest that locations, particularly those in the flood zone and at expected higher water periods, should be a focus for observation/visits. The broader actions taken by the city to address the underlying issues should be commended.

The use of the canal areas at night, and particularly by students and younger males, needs to be addressed so that more appropriate routes and behaviours are encouraged around the waterways in Manchester.



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Coroners have previously recommended that improvements to information and PRE may be beneficial to preventing future deaths. A community-led approach which deploys at bars, venues and strategic public spaces, as well as training for key people will, we believe, add resilience against drowning within the city centre.

We noted that a well-designed, dedicated pedestrian bridge is provided across Tib Lock – the action in hand, by the Canal & River Trust to introduce a suitable design of railing here as a permanent feature is to be supported, given the ongoing need to direct people to the footbridge.

The city should be commended for having an established water safety partnership. The leadership for the actions and changes across the city needs to be coordinated closely so that the group can work proactively and in step with the fast pace of change across the city. This would be greatly improved if there were a refined focus brought to the political oversight and executive support.



## Recommendations

Ref.	Action
1.	Whilst we commend the city for the development of a water safety partnership. Leaders in the City and Combined Authority should define further the executive reporting route(s) and political oversight of the MWSP and its work.
2.	Subject to recommendation one, the MWSP terms of reference should be updated to reflect these changes. The new terms of reference should be signed off by executive level staff in all organisations. Entry into the MWSP by new organisations, should be conditional on their signed acceptance of these terms of reference or documents on the above terms.
3.	Improve the lighting scheme along the length of the waterways in the city centre zone. Particularly along the canals.
4.	Provide barriers where right angle entry points intersect with the towpath close to the waterway edge in locations where they are not already sited. All landowners should ensure they have a consistent approach to the implementation of barriers at intersection points.
5.	Review the wayfinding and safety information that guides people towards the waterways, and in particular dedicated crossing points.
6.	Create a development standard/policy for Manchester to control public safety developments alongside water bodies, both on a temporary basis (during construction phase) and permanent (once constructed, at adoption). Ideally this should be at the planning authority level so that the council or partners do not adopt unsafe situations or developments unknowingly, and that potential conflicts caused by other policies such as 'Safer by Design' are recognised at an early point. An early first step to achieving this could be the hosting of a city workshop to consider the impacts of the above policy on the waterways.
7.	Develop an action plan that enables the provision of rescue equipment - at scale across the city centre zone. This needs to be aligned with design/informational recommendations. It is envisaged that a community approach will be required to achieve this, including private landowners, bar/leisure venues and watersides, underpinned by key staff training.
8.	The MWSP should consider further use of structured methods i.e. data completeness checklists to improve completeness and coverage of data captured.
9.	Continue with and refine the behaviour/awareness programme relating to the use of the canal areas at night. Within this students and younger males need to be a priority. Support should be sought from community groups and Universities to aid delivery.
10.	The role of licensing should be explored to enhance the safety of night visitors; in particular training and awareness for door staff, including the use of rescue equipment; awareness training to help improve identification of vulnerable adults, particularly lone males; provision of publicly accessible rescue equipment at bar/venues within a set distance
11.	Within existing plans for severe weather events, particularly flooding, MCC should prioritise contact with those rough sleeping along the waterways.





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## Manchester Water Safety Review



## Version control

Version	Date	Originator	Reviewer	Authority	Details
Working	30/10/18	DW	ND	RoSPA	Incomplete version for fact check
Full draft	16/11/18	DW	ND	RoSPA	Draft for MWSP
Final	30/11/18	DW		RoSPA	Draft for MWSP
Issue	07/12/18	DW	ND	RoSPA	Typo check

## References and footnotes

<sup>i</sup> Manchester's Local Development Framework Core Strategy Development Plan Document, published July 2012. (Section 2.30)

<sup>ii</sup> [www.nationalwatersafety.org.uk/waid](http://www.nationalwatersafety.org.uk/waid)

<sup>iii</sup> <https://www.rospace.com/leisure-safety/statistics/drowning/>

<sup>iv</sup> E.g. In *Staples v. West Dorset Council* (1995) PIQR P439. The judge concluded that the risk of the wall being slippery when wet was so obvious that no duty existed. They also concluded that even if a warning sign had been in place it was unlikely that the claimant would have acted differently. A warning sign was not therefore necessary.

<sup>v</sup> [https://www.manchester.gov.uk/info/500230/joint\\_strategic\\_needs\\_assessment](https://www.manchester.gov.uk/info/500230/joint_strategic_needs_assessment)

<sup>vi</sup> [https://naturalcourse.co.uk/uploads/2017/10/Manchester\\_Green\\_and\\_Blue\\_Strategy.pdf](https://naturalcourse.co.uk/uploads/2017/10/Manchester_Green_and_Blue_Strategy.pdf)

<sup>vii</sup> [https://secure.manchester.gov.uk/downloads/download/3871/strategic\\_flood\\_risk\\_assessment-manchester\\_salford\\_trafford](https://secure.manchester.gov.uk/downloads/download/3871/strategic_flood_risk_assessment-manchester_salford_trafford)

<sup>viii</sup> <https://www.manchesterfire.gov.uk/media/3430/irmp-supporting-documentation-2016-20.pdf>

<sup>ix</sup> [http://www.makingmanchestersafer.com/downloads/file/133/community\\_safety\\_strategy\\_2018-21](http://www.makingmanchestersafer.com/downloads/file/133/community_safety_strategy_2018-21)

<sup>x</sup> [http://www.makingmanchestersafer.com/homepage/27/night\\_heroes](http://www.makingmanchestersafer.com/homepage/27/night_heroes)

<sup>xi</sup> [http://www.makingmanchestersafer.com/homepage/3/safety\\_advice\\_for\\_students](http://www.makingmanchestersafer.com/homepage/3/safety_advice_for_students)

<sup>xii</sup> <https://www.gov.uk/government/publications/safer-places-the-planning-system-and-crime-prevention>

<sup>xiii</sup> [https://www.greatermanchester-ca.gov.uk/news/article/369/panel\\_to\\_support\\_greater\\_manchester\\_s\\_night-time\\_economy\\_adviser\\_unveiled](https://www.greatermanchester-ca.gov.uk/news/article/369/panel_to_support_greater_manchester_s_night-time_economy_adviser_unveiled)

<sup>xiv</sup> [https://www.greatermanchester-ca.gov.uk/news/article/411/funding\\_secured\\_for\\_150\\_extra\\_staff\\_to\\_help\\_keep\\_people\\_safe\\_on\\_nights\\_out\\_across\\_greater\\_manchester](https://www.greatermanchester-ca.gov.uk/news/article/411/funding_secured_for_150_extra_staff_to_help_keep_people_safe_on_nights_out_across_greater_manchester)

<sup>xv</sup> <https://www.wigan.gov.uk/Docs/PDF/Resident/Planning-and-Building-Control/Planning-guidance/Greater-Manchester-Canals-Heritage-Partnership-Agreement.pdf>

<sup>xvi</sup> <https://www.wigan.gov.uk/Docs/PDF/Resident/Planning-and-Building-Control/Planning-guidance/Greater-Manchester-Canals-Heritage-Partnership-Agreement.pdf>

<sup>xvii</sup> <https://www.swimming.org/swimengland/new-requirement-schools-publish-swimming-levels-welcomed/>

<sup>xviii</sup> <https://www.gov.uk/guidance/pe-and-sport-premium-for-primary-schools#swimming>

<sup>xix</sup> <https://www.nationalwatersafety.org.uk/strategy/info/uk-drowning-prevention-strategy.pdf>

<sup>xx</sup> [www.nationalwatersafety.org.uk/waid](http://www.nationalwatersafety.org.uk/waid)

<sup>xxi</sup> <https://www.rospace.com/leisure-safety/statistics/drowning/>

<sup>xxii</sup> <https://www.cps.gov.uk/legal-guidance/coroners>

<sup>xxiii</sup> [www.nationalwatersafety.org.uk/waid](http://www.nationalwatersafety.org.uk/waid)

<sup>xxiv</sup> We undertook no engineering or load-bearing testing of any barrier during our assessment. Non-destructive visual testing only.



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<sup>i</sup> <https://www.judiciary.uk/wp-content/uploads/2013/09/guidance-no-5-reports-to-prevent-future-deaths.pdf>

<sup>ii</sup> [https://www.manchester.gov.uk/downloads/download/6342/proposed\\_public\\_space\\_protection\\_order\\_-\\_rochdale\\_canal\\_undercroft\\_piccadilly](https://www.manchester.gov.uk/downloads/download/6342/proposed_public_space_protection_order_-_rochdale_canal_undercroft_piccadilly)

<sup>iii</sup> [https://secure.manchester.gov.uk/news/article/7665/rochdale\\_canal\\_undercroft\\_public\\_space\\_protection\\_order\\_comes\\_into\\_force](https://secure.manchester.gov.uk/news/article/7665/rochdale_canal_undercroft_public_space_protection_order_comes_into_force)



accidents don't have to happen



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## APPENDIX 4: OPERATIONS REPORT

Julie Sharman - Chief Operating Officer

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### 1 PURPOSE

1.1 This paper provides an update on waterway operations and customer service team activities.

### 2 OPERATIONS

#### 2.1 Operational incidents

- 2.1.1 Fortunately, there were no major incidents to report over the festive period however on 22<sup>nd</sup> November **in the Yorkshire & NE**, we received a report of a large sink hole in the bund wall of the navigation near Pollington Lock on the Aire & Calder. Colleagues from several teams worked through the night to initially assess the situation then carry out repairs to stem the significant leak. The initial works by our own teams were followed up with Kiers attending site the following day to undertake further works.
- 2.1.2 In **Wales & SW**, a planned inspection of **Harris Lock 16 on the K&A Canal** in early December revealed a large void in the chamber approach wall and a badly damaged lock invert. This initially closed the lock whilst we assessed the risk of passage, we had several frustrated customers who were waiting to return to their home bases for Christmas. We were able to provide a special one off passage to get the customer through. The lock is now closed for permanent repairs.
- 2.1.3 In **Yorkshire & NE** a canal wall failure at **Standedge Visitor Centre** required the regional reactive team to take prompt action and with the help of volunteers the wall repair is now nearing completion.
- 2.1.4 **3 Mills Lock in London & SE** on the River Lea suffered a failure of a backup generator just before the Christmas break and a replacement was procured and installed at short notice. The generator is integral to the flood control obligations that the site carries.
- 2.1.5 In the **West Midlands**, we continue to suffer from targeted vandalism on Ryders Green locks, which resulted in the Mainline (over 50 miles long) losing 130mm water level in one night. SCADA alarms have been adjusted to ensure earlier alerts allowing a more immediate response to be deployed through our on-call teams.
- 2.1.6 In the **North West** on the Peak Forest Canal we have ongoing issues with thick white oil deposits appearing in the canal, over a length stretching up towards the Ashton Canal. Local team with environmental colleagues and volunteers have been working on locating and cleaning up the pollution over the last month. A specialist contractor has been commissioned to clear the remaining substance. The environment team are working closely with the EA to determine the source and prevent future incidents.

### 2.1.7 Redacted.

## 2.2 Water resources

- 2.2.1 Recent rainfall has significantly eased the water resources position, with no restrictions or closures in place at present.
- 2.2.2 The Oxford & Grand Union hydrological unit remains a concern with significant winter refill still required. On the Leeds & Liverpool Canal, we have continued to prepare applications for temporary abstraction licences which were started last year (in case they were required). Some pressure remains in Yorkshire as well. Discussions continue with Yorkshire Water and United Utilities regards entitlements to water on the Rochdale Canal and Huddersfield Narrow Canal in 2019.

## 2.3 Water Act licensing update

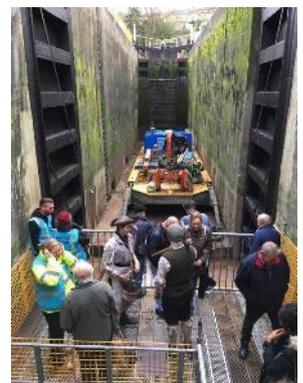
- 2.3.1 The abstraction licence application period runs until 31 December 2019. Our Water Management Team expect to submit around 80 out of the 171 confirmed applications required before the end of March. The number of applications is expected to increase due to ongoing discussions with the EA around inclusion of dry docks. We are also still finalising our decision as to whether to apply for full or transfer licences which have different costs and conditions attached.
- 2.3.2 This project will continue for the remainder of 2019. Additional resource is expected to join the team in February for six months, seconded from the Environment Agency in a resource swap. A reverse secondment is planned in late 2019, with a couple of our hydrologists joining the EA to help with their resource-intense period of issuing abstraction licences/permits.

## 2.4 Open Days

- 2.4.1 **Napton Lock 9** open day on the Oxford Canal was held on 25 November and was very well received by visitors. The works involved a full rebuild of the lock wall due to movement and reducing the available navigational width. Customer reaction to the work has been very positive. The photograph shows the first boat through the lock being steered by Richard.



- 2.4.2 **Bath Deep Lock Open Day.** The open day on 8<sup>th</sup> December was very successful and provided an excellent engagement opportunity with approximately 600 visitors, and 16 new Friends enlisted. Notable attendees included the Mayor of Bath and local councillors. Three members of the Avon River Safety Forum were also in attendance and water safety messages were prominent throughout. Two visits from Widcombe Primary School also enabled us to engage with 90 pupils. The Facebook Live session on 7<sup>th</sup> December was a great way to promote the event and engaged with 10,330 people. The total event reach for Facebook was 39.4k people and for Twitter prior to the event and on the day, we reached 45.7k people. There was also wider press activity which included stories from BBC Radio Bristol, BBC Radio Somerset, BBC Points West, and ITV.



- 2.4.3 Future diary dates for open days;

- Anderton Boat lift Open Weekend 16/17<sup>th</sup> February
- Cowley Lock Open Day, Uxbridge 24<sup>th</sup> February
- Chester Northgate Locks Open Day 1/2<sup>nd</sup> March
- Burnley Finsley Gate Open Day 3<sup>rd</sup> March TBC

- Northampton Lock 17 Open Day 9<sup>th</sup> March

### 3 ORGANISATION

#### 3.1 Redacted

#### 3.2 Advisory Boards

- 3.2.1 It was with great sadness that we report the death of Walter Menzies, interim Chair of our North West Advisory Board. As one of the original Partnership Chairs, Walter made a major contribution to the development of the Trust's devolved Governance and in connecting the Trust to the wider networks and opportunities in the local area. There will be a memorial service at the Home Arts centre in Manchester on 2<sup>nd</sup> February. Timing to follow.
- 3.2.2 The Appointments Committee has been reviewing applications for the North West chair position and further shortlisting is underway.

## 4 STRATEGIC PROGRAMMES - DELIVERING THE SERVICE

### 4.1 Beauty on the Doorstep

#### 4.1.1 Green flag Award progress:

- 4.1.1.1 In the **North West** our **Green flag** works are ongoing on the **Lower Peak Forest Canal** in time to add this section to the Upper Peak Forest and Macclesfield Canal applications in January, the aim is to have the whole Peak Forest Canal as a Green flag site.
- 4.1.1.2 In the **East Midlands** an application for **Green Flag status for the Erewash Canal** (12 miles) will be submitted in January. Stakeholder consultation is underway and a visitor survey is being developed in consultation with the Trust's insight, performance and evaluation data team to ensure alignment with the outcomes framework.
- 4.1.1.3 In **Yorkshire & NE** an application for Green Flag for 6 miles of **Sheffield & Tinsley Canal** from Victoria Quays in Sheffield to Rotherham Lock has been prepared for submission in January. This section is one of the Trust's priority areas for community engagement. A second Green Flag application is to be submitted in January for the **Leeds Liverpool Canal**.
- 4.1.1.4 In **London & SE** Two Green Flag submissions are proposed for the end of January: Stonebridge Lock on the Lee Navigation and Hanwell Flight on the Grand Union Canal.
- 4.1.2 In the **East Midlands** on the **Notts- Beeston Canal** we are seeking to tackle anti-social behaviour and rough sleeping in the city through a new adoption by the Nottingham Automotive College. The focus will be to improve the environment, many young students at this college are from the most deprived areas of Nottingham.
- 4.1.3 The **West Midlands** emerging regional strategy has identified Greater Digbeth as one of two priority areas in Birmingham. To this end, early work has included a trial for a litter/sharps collection around Fazeley Street.
- 4.1.4 In **London & SE; Oxford Canal**, around Oxford city we have challenges with abandoned and squatting boats as well as tension between residential boaters and adjacent home owners. Initial work is underway in partnership with Oxford City Council to establish a baseline for the development of a waterspace strategy, addressing the canal as a visitor destination and improving its attractiveness to boating visitors. We are also partnering with the EA and Network Rail, on overstaying issues with a long-term plan for a waterside mooring with residential permission.
- 4.1.5 In the **North West** the reactive team are tackling many issues which are important to demonstrate to our customers that we are caring for the canals, such as repairs to safety fences, parapet wall repairs, gate mitre boards and stop plank shelter rebuilds.

### 4.2 Community Safety including crime prevention

- 4.2.1 In **London & SE, on the River Lee Navigation** - A highly visible fly-tipping site near the Queen Elizabeth Olympic Park below the **A12 Flyover**, has been the subject of concentrated action by the Trust with local partners to provide a safer and cleaner visitor experience. The site, largely owned by Transport for London under the A12 Eastway fly-over, was used as a store and open-air workshop without permission significantly affecting the Trust's adjoining towpath, its cleanliness and safety perceptions. A joint agency operation to clear the site is complete, discussions continue re future management.
- 4.2.2 In the **North West**, we have suffered several incidents of vandalism in urban areas and continued our community safety campaigns;

4.2.2.1 On 20<sup>th</sup> December, we had a flooding incident on the **L&L Canal at Blackburn Locks**, the vandals opened paddles at top lock (similar to what we believe caused the Middlewich breach) leading to flooding and overtopping at Lock 53 (Bolton Road / Highfield Road). Four local business have been affected by the flooding. A review is underway to prevent reoccurrence and the local Police are involved.

4.2.2.2 **Manchester city centre** has suffered multiple instances of anti-social behaviour and paddle misuse which had left many areas drained. An increased focus on the city centre is a key priority for the Region and we continue to focus on community safety through the National Don't Drink & Drown Campaign, we hosted and supported several events across the North West, mainly in Merseyside and Manchester. In the evening targeting drinkers to the city, a training session for over 20 businesses from the night time economy gained insight into how to care for their customers and how to use a throwline, banners were put up locally, including the new banner promoting 'Charlies Code' by lock 89. Media coverage was targeted throughout the week, including social media and local radio coverage.



4.2.3 In the **East Midlands in Leicester** we have also promoted the RLSS don't drink and drown campaign as part of a concerted programme of water safety which includes a focus on students, as well as developing education materials to promote water safety in schools. The programme titled "Warning Zone" has developed interpretation for being safe around rivers, lakes, reservoirs and canals. The KS1 &2 water safety programme in schools has also targeted Nottingham, Grantham and Newark. Initial discussion with Nottingham City Council to discuss potential projects to improve towpath lighting and access improvements on the Nottingham-Beeston Canal have been held. NCC have funding for an initial project to improve one access point and are working towards an ERDF bid (c£0.5m) to deliver blue / green infrastructure schemes including reducing negative perceptions of safety.

4.2.4 In **Yorkshire & NE** we launched our regional 'Don't Drink and Drown' campaign at Victoria Quays in Sheffield. The family of the young man who tragically drowned last summer backed the campaign.



### 4.3 The Visitor Experience

#### 4.3.1 Customer Service Improvements

4.3.1.1 **Money Penny** our Customer Service call centre are re-aligning their resources to more closely follow forecast call levels based on historic demand enabling us to be more flexible and efficient. We have started to benchmark Money Penny against other providers and an in-house option, to review the future of this service to deliver best value to the Trust.

4.3.1.2 **The East Midlands Team on the Grand Union, Leicester Line** have been targeting works on bankside erosion, voids, potholes and wash holes, the capacity has been created through the recent reorganisation to undertake these works within the regional teams. Alongside the work completed at Standedge Visitor Centre (2.1.3), these are good examples of the capability of these teams to deliver reactive works which are important to our customers. We also recently produced a joint message with the Environment Agency concerning issues of weed control, flood risk and invasive species on the **River Witham**. Weed levels have been high last summer, making navigation and boating difficult. The region is working with partners to disseminate information to try and control the spread on the Witham.



4.3.1.3 The **NW regional team** worked alongside Kier contractors to complete repairs to bridge abutments whilst they were dewatered as these were outside the works site and not included in the main contract for **Middlewich Breach Repairs**. A good example of maximising the work done whilst the opportunity was available.



4.3.1.4 In **Yorkshire & NE at Standedge Tunnel** recruitment of **Volunteer Boat Chaperones** is underway. We have interviewed 8 prospective volunteers and are offering the role to 7 of them. Their training will start in the January.

4.3.1.5 In **London & SE on the Regent's Canal**, water resources greatly improved following Acton's and Old Ford Lock relining works. Customer complaints have all but stopped about low water levels, easing our reactive response requirements.

#### 4.4 Boating & Mooring

4.4.1 Our geographic information system (GIS) is a framework for gathering, managing & analysing data, it is now being used to help standardise information relating to vegetation works and improve how multiple internal teams communicate. The long-term goal is to publish this information on our website for customers

4.4.2 **London Mooring Strategy (LMS)** – The L&SE team are delivering a package of improvements aimed at improving boating and visitor experience including six new or improved water points, five new or improved refuse disposal sites, and one improved Elsan sanitation disposal point. In addition **Pre-bookable mooring sites** are being developed at King's Cross and Paddington Basin with Argent and European Land respectively. Draft signage has been developed and management proposals are being discussed with the partners, including monitoring of visiting boats by partners using our Boat Sightings Application, with a view to implementation from April 2019.

4.4.3 A summary of progress on actions from the Boat Owners Views survey is included in Appendix 1.

#### 4.5 More activity on the water

4.5.1 In **London & SE two Water Sports Zones on the Lee Navigation** are being developed for agreement with stakeholders and presentation to the All Party Parliamentary Group on Rowing at the next meeting. This also includes discussion with Lee Valley Regional Park Authority over long-term moorings they propose on their riparian land ownership at Broxbourne, as a means of reducing poor mooring practices.

4.5.2 **Wales & South West region** has been partnering in the **Great West Way Touring Routes** in a Visit Wiltshire programme which aims to create one of the world's premier touring routes and the only touring route in the world to be multi-modal, focusing on the K&A waterways. It will help the Trust develop and distribute engaging content, drive domestic and international visits and connect us with key GWW influences. Further information can be found at <https://www.greatwestway.co.uk/>. In **Gloucester we will be welcoming the Tall Ships Festival 2019** on 25 May–27 May. preparations are underway which has included dredging in the docks this month. The festival is expected to attract over 100,000 visitors and there are a number of marketing, PR, volunteer, fundraising and engagement opportunities for the Trust to capitalise on.

#### 4.6 Attractions Development

4.6.1 **Pontcysyllte Aqueduct & Canal WHS, Llangollen Canal** - Working with the local authorities, Destination Management Partnerships and Clwydian Range & Dee Valley AONB the Trust has been invited to submit a full bid following a successful expression of interest to Visit Wales under their Regional Tourism Engagement Fund (RTEF) for the 10-year celebrations of being a WHS in 2019. The bid value is £86,000 with a £3,000 contribution from the Trust.

4.6.2 The **Roundhouse development** works are due to start next month and **the** business plan is underway in preparation for the new sites Operational Manager to pick up following their recruitment.

#### 4.7 Connectivity

4.7.1 The Y&NE Regional Advisory Board member Hilary Brooke is pictured at the opening of an £80k access ramp at Mirfield on the Calder and Hebble Navigation which has helped to make the towpath accessible to all. This has been achieved through partnership working with developer Darren Smith Homes.



4.7.2 The Trust has submitted a proposal to Transport for London to fund 80% of the Project Coordinator Walking & Cycling role for 2019/20. This supports our work on the Quietway project.

#### 4.8 Restoration and expanding the network

4.8.1 Our **Grantham Restoration project** works are going well but due to the poor lock condition at the recently commenced Lock 14 the project will take longer than planned, one aspect outside the project with HLF is to dredge a short pound to allow the canal society boat to reach the restored lock, we have now secured funding and have a plan for carrying out this work.

4.8.2 **On the Montgomery Canal Restoration**, an issue with established rights has resulted in land claim of the canal bed. We are seeking to resolve this through negotiation to ensure there are no barriers to future restoration. In the long term the restoration movement will need to construct a new bridge.

4.8.2.1 As part of the £4m HLF project, the recently expanded Aston Nature Reserve is now complete with a period of monitoring to track changes in the biodiversity of the new waterspace. The Shropshire Union Canal Society have completed the rebuild of 800m of dry channel in Shropshire opening up a further 2km of navigation in England when fully complete.

4.8.2.2 In November, we launched the short film "[Life on the Monty](#)", celebrating the heritage, people and wildlife on the Montgomery canal. This is part of the HLF activity plan. The film will also be used as a resource by volunteers to promote the wider restoration effort, and as an educational resource by local schools.



4.8.3 As the HLF project on the Pocklington Canal is drawing to a close the Society are keen to progress with the restoration of Sandhill Lock.

4.8.4 Meetings have also taken place with Chesterfield Canal Trust to investigate the potential of opening a section of the canal at Kiveton.

4.8.5 As part of Buckinghamshire County Council's bid to the Housing Growth Fund, we have included a contribution of around £100k to the Wendover Arm restoration.

#### 4.9 [Redacted](#)

#### 4.10 [Business Boating](#)

4.10.1 Following the sale of BWML they will continue to operate as a customer of the Trust with the relationship largely the same as other operators with standard Network Access Agreements and long leases.

### 5 STRATEGIC PROGRAMMES - WELLBEING

#### 5.1 [Personal Health & Wellbeing](#)

5.1.1 In the East Midlands we have met with Nordic Walking UK (NWUK) to continue exploring the potential of a two-strand partnership proposal, with scope to support each other's health and wellbeing agenda. A pilot project is to be developed to trial this partnership in Wales and South West with the potential for broader growth.

5.1.2 In the North West;

5.1.2.1 Our Active Ageing, project based on the Cheshire Canals has now received written funding confirmation from Sport England. Project value £191k includes 2 funded posts.

5.1.2.2 We have also met with local GP surgeries recently to upload our volunteer opportunities into a piece of software called "Elemental". This allows GP's to prescribe wellbeing activities to patients directly to the Trust. Although in its early stage this is growing in popularity and we are seeing a lot interest from areas such as local citizen services.

5.1.2.3 In December, we held two days of men's mental health events. Local NHS staff attended along with Lancashire CC (head of social care), Service Six and community CVS. From the day, we received 4 new referrals signed up as volunteers via NHS social prescribing. We are also seeing social prescribing growing in Burnley, Blackburn and Sefton.

#### 5.2 [Community Wellbeing & Ownership](#)

5.2.1 Filming took place to promote volunteering using the quirky fact that 'Dave' is the most popular name among our volunteers to encourage diversity! The film features staff and volunteers from North West and West Midlands, including WM regional director Adnan Saif. [Join the Dave's](#)



- 5.2.2 Volunteering hours totals to the end of December are 426,000 hours against end of year target of 670,000. There are 221 partner groups with adoption agreements and a further 15 in development against 260 end of year target.
- 5.2.3 We are researching the differing ways that teams capture time for entry to thankQ to help with streamlining. An app is being developed to make it easier for volunteers, task managers and partner group leaders to record their volunteering contribution.
- 5.2.4 **Employee (corporate) Volunteering** development for 19/20 continues to grow with 1,070 volunteer days and £46,500 committed for the year already with relationships with HSBC, Severn Trent and Morgan Stanley. Employee volunteering delivered and committed for 18/19 to date are 2,040 days and valued at £107,200.
- 5.2.5 **Brian Scott, volunteer lock keeper at Sykehouse Lock in Yorkshire & NE**, was the first volunteer at the Canal & River Trust to reach 10,000 hours. Brian volunteers 7 days per week and has accumulated this outstanding achievement in just 4 years.
- 5.2.6 Colleagues from the **Department of Education joined us in Sheffield** for some clean-up activities. They would like to increase their volunteering with us and join us a few times per year.
- 5.2.7 **In the West Midlands, our Coventry Community Roots officer** has attended a student volunteer recruitment day at Coventry university and signed up 20 students for volunteering projects on the Coventry Canal. We attended the launch of Coventry City of Sport 2019 and are currently planning a series of events in the Canal Basin for this 2019 year of wellbeing. We have re-focussed Community Payback on waterborne litter and fly tipping clearance.

**5.3 Connections with nature, arts and culture**

- 5.3.1 In **Yorkshire & NE On the Sheffield & Tinsley Canal**, we hosted our first 'taster' event for volunteering and educational workshops like 'tea with nature' demonstrating the wealth of biological diversity on our canals in urban areas. It was a well-attended day with 35 people joining us, mostly from the BAME community.
- 5.3.2 So far, this year we have held 147 **Let's Fish** angling participation events with around 3,500 attendees. The Angling Trust have confirmed funding for 2019 again at £25,000. This programme which has been hugely successful will be continued.
- 5.3.3 **In the North West at Anderton Boat Lift** we hosted a Poppy tribute to the lost waterway men of the first world war. National Media coverage was gained including ITV National and German News Channels.



**5.4 Connections: Education & Youth Engagement**

- 5.4.1 The number of children directly engaged in face to face participation sessions is 45,253 to date exceeding our part year target of 40,000.
- 5.4.2 The Trust's 'Georges Journey' programme has come to an end this month leaving a legacy of strong community and professional partnerships; Over 4,000 children engaged with local history and a contribution of 2,000 volunteer hours.

5.4.3 The Trust took part **#iWill week in the North West and Wales & SW**, encouraging colleagues to engage young people in social action along the waterways. Students from Sefton took part in a session alongside a Towpath Taskforce group, Youngsters from **Burnley FC** worked on John Muir awards as part of a DFCT supported project; Students at Cheltenham College volunteered on the **Gloucester & Sharpness Canal** Young people from One Vision in **Wigan** worked on a community garden project and Students from **Bury** College carried out a clean-up project as part of their community adoption at Elton Reservoir.

Proudly supporting  
youth social action



5.4.4 We have appointed a funded part-time **Youth Development Project Officer based in Devizes** with a remit to create a youth engagement hub around Caen Hill and Jubilee Wood, on the K&A Canal. The project will deliver a range of activities and interventions for children and young people.

## 6 BRAND, SUPPORTERS & INFLUENCE

6.1 Following the parliamentary reception in November all the Regional Directors are following up with attendees and non-attendees and this has resulted in a number of meetings:

6.1.1 **In Y&NE** Sean McGinley met with Andrew Percy MP (pictured) to discuss the now funded Goole towpath works, and we are arranging to meet with Barry Sheerman MP for Huddersfield.



6.1.2 **In London & SE**, John McDonnell, Shadow Chancellor and MP for Hayes & Harlington - attended the most recent Hillingdon Canal Partnership meeting, commenting on the success of the Hayes Canal Festival and thanking the Trust for our efforts.

6.1.3 **In the West Midlands** The Andrew Mitchell MP contacted the Trust about graffiti on a bridge and following our response and offer for him to join us in removing it he has accepted. Planned date in early February.

6.1.4 **In Wales & SW** the Minister for Culture, Tourism and Sport Lord Dafydd Elis-Thomas visited the Montgomery Canal in November along with the local Assembly Member and Chair of the Economy, Infrastructure and Skills Committee, Russell George AM. The Montgomery Canal Partnership gave a presentation on the works and the benefits of restoration. The meeting also gave an opportunity to highlight the emerging Masterplan for Trevor Basin, the focal point for visitors to Pontcysyllte Aqueduct & Canal WHS.

6.2 In the **Yorkshire & NE** we have had a very positive meeting with **Northern Rail** in December who have agreed, on the back of their health agenda, that we can install **branded interpretation and signage at every local Yorkshire station to promote our network**. The brand reach of this is in the millions and will be our major brand project for 2019.

6.3 **Trust contributed to an International Heritage Conference** promoting our approach as best practice at an international forum. Kate Lynch, Heritage Advisor presented a paper titled - Canal & River Trust – Conserving our Waterways Heritage: Anderton Boat Lift and Pontcysyllte Aqueduct, John Dodwell, former trustee, spoke about the Montgomery Canal and its ongoing restoration.

## 7 FUNDING & FINANCE

- 7.1 Swansea Canal. £256k RCDF (Welsh Government) funding has been confirmed to undertake dredging work on the Swansea Canal. The £320k project will deliver important capital works for the Trust and help safeguard the future supply of water for the Mond Nicol works. It will also generate significant volunteering activity to work closely alongside the Swansea Canal Society on conservation repairs.
- 7.2 £239k of LEP funding has been secured for towpath improvements along the Erewash Canal in Ilkeston, Derbyshire following work between the Enterprise Manager and officers at Derbyshire County Council. The proposals will infill a gap between previous projects, funding agreement to be signed in the new year.
- 7.3 £166,000 secured for the delivery of Manchester Bolton and Bury towpaths phase 3 from Transport for Greater Manchester. 1.2km towpath upgrade.
- 7.4 Funding secured from Cheshire & Warrington LEP Growth fund for investment in the towpath between Chester & Ellesmere Port. Funding level to be agreed.
- 7.5 Following a year-on-year programme of towpath improvements along the Montgomery Canal in Wales, a further £100,000 has been secured from Powys County Council's Active Travel programme. The Active Travel initiative is a Welsh Government sponsored programme resulting from The Active Travel (Wales) Act 2013 which requires authorities in Wales to continuously improve facilities for pedestrians and cyclists. The delivery programme is still to be finalised.
- 7.6 The Trust is a delivery partner in a £3m multi-agency HLF Landscape Partnership bid called the Transforming the Trent Valley (TTTV) which was submitted to the national HLF board in Sept 2018. HLF have just now confirmed that this has been approved although the announcement is embargoed until mid-January 2019. The Trent & Mersey Canal will benefit from a £767,500 programme of improvements to the towpath at 5 locations.
- 7.7 A bid to the Heathrow Public Transport Levy has been submitted for £850k. The project will complement TfL funding for the final phase of the Paddington to West Drayton Quietway towpath improvements.
- 7.8 Grand Union Canal Activation bid for £1.2m, via Old Oak and Park Royal Development Corporation to the Mayor's Good Growth Fund has been successful. It will deliver an investment of £1.2m on our network.
- 7.9 Over £800k towpath improvements will be delivered this year in London & South East by third parties.

# COO REPORT - APPENDIX 1 BOAT OWNERS VIEWS SURVEY ACTION PLAN SUMMARY

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1. Our Action Plan responds to 4 key areas identified following the recent Boat Owners Views Survey undertaken in 2018. These are;

- Improving Communication
- Responding to Areas of Low Satisfaction
- Increasing Participation
- Improving Insight and Managing Facilities

## 2. Improving Communication

- 2.1. Developed additional boater relevant summary of annual maintenance expenditure to help boating customers understand true cost of maintaining navigation and their contribution to it. Purpose to help build support for Trusts wellbeing agenda in long term. Draft copies of final design will be reviewed by the executive in January.
- 2.2. Undertaking series of targeted regional articles with the boating press to introduce Regional Directors and regional attractions for boaters along with specific boating challenges and ambitions in the region. East Midlands will be the first.
- 2.3. Secured regular "Ask the Trust" column in Towpath Talk (Highest circulation boater publication) to address boater questions and create opportunity to respond directly. Runs from this month.
- 2.4. We are developing - and will deliver specific boating focussed events to support the regions during 2019

## 3. Responding to Areas of Low Satisfaction

- 3.1. Continuing work with AINA and Defra on issues associated with change in use of waterways and specific challenges associated with some liveaboard boaters. Legal / planning completed review of challenges with current legal and planning frameworks. Advised AINA who are leading the review. original multi agency meeting was 12 months ago.
- 3.2. Continuing implementation of London Mooring Strategy.
- 3.3. We are undertaking a review of the challenges associated with growth in wide-beam craft. Ombudsman has recently supported our response to a recent complaint which detailed the approach we are taking.

## 3.4. Increasing Participation

- 3.4.1. Boating Buddies relaunch successful. Regional Directors / others taking 2 visits on the water with boating customers before end of March. Everyone followed up with contributions from Regional Directors shared through Boaters Update. Several re-posted on forums with positive responses.
- 3.4.2. Focus on younger boaters in Boaters update following recent visit to Leeds and Liverpool with two liveaboard couples. They are helping us develop more targeted communication to build support of younger boaters and they will be joining us to share experiences at Crick.
- 3.4.3. Met British Marine to review opportunities for partnership working. Possibility of further long-distance canoe trails discussed. Follow up meeting planned to explore opportunities to target younger people.

### **3.5. Improving Insight**

- 3.5.1. We have reviewed our approach to gathering Boaters views and are establishing costs for a revised annual survey of Boaters (smaller but representative sample) seeking views about the Trust, our focus and the effectiveness of our care.
- 3.5.2. Subject to affordability we plan to supplement this with a monthly survey - between April and September - designed to give reliable regional information on service, experience and how well we are maintaining the navigation.
- 3.5.3. A date for the National boater census (full population) exploring how boaters use our waterways, their boats and demographic etc is to be agreed.
- 3.5.4. The next UK National Census takes place in 2021. Its suggested it may be helpful to align ours. Our revised surveys will give richer information about boaters views of the Trust along with regional and national priorities and opportunities to take action and respond."

### **4. Managing Facilities**

- 4.1. We are working with the IWA, customers and their representatives to better understand boating customer needs in terms of facilities and services. The IWA will be sharing their recent survey in February and we are working with the property team to develop the most efficient and effective response to develop and manage services which meets our customers' needs.

## APPENDIX 5: ASSET IMPROVEMENT REPORT

Simon Bamford, Asset Improvement Director.

### 1 PURPOSE

1.1 This appendix provides an update on the activities of the Asset Management function and the Asset repair and maintenance programme

### 2 ASSET MANAGEMENT

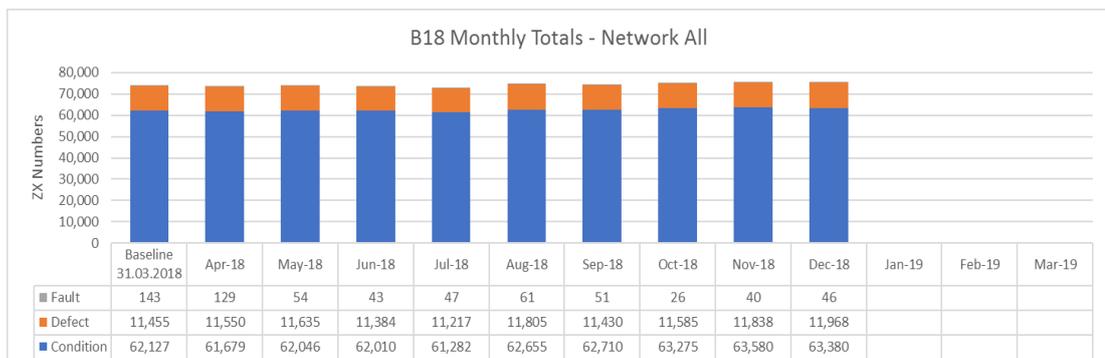
#### 2.1 Asset Strategy

2.1.1 The new asset health index measure, which will in due course replace the network stewardship score index, continues to be developed. The measure will be reported in draft form through January to March and will be a combination of 3 factors; condition, consequence of failure and availability.

2.1.2 A trial was recently undertaken with sonar technology adapted to undertake a wall inspection of Islington Tunnel without having to remove the water. The trial was successful producing quality images suitable for assessing the wall condition and the tunnel inspection cost was reduced by circa £75k with the benefit of minimal customer impact. Given the success of the trial future tunnel inspections can use the technology which has the potential for the inspection of other underwater walls and structures without removing the water.

#### 2.2 Asset Management

2.2.1 Work on notifications continues with the classification into faults, defects and condition enabling resources to be focused on issues that impact customers and safety. The table shows the current open notifications in SAP.



2.2.2 The current trend for faults continue to fluctuate around 50 per month with work teams able to effect timely repairs whilst the number of condition notifications have remained generally flat. The number of defects

has increased slightly, but they are expected to reduce slightly over the next few months as works are completed in our stoppage programme

### 3 PRIORITY PROJECTS

- 3.1 The arising works that were impacting boating customers at Middlewich breach were completed and the canal reopened before Christmas and good progress has been made with the works at Marple Lock 11. Plans are in place for the repair of the damaged lock gate at Marsh Lock on the Weaver Navigation but in the meantime the lock can be used.
- 3.2 However, two further significant arising works with a leak at Culvert 35 on the Macclesfield Canal and approach wall movement at Harris Lock in the Kennet and Avon Canal were identified just before Christmas. Both are being repaired under stoppages with Culvert 35 completed before Christmas and Harris Lock on site in mid-January with reopening planned for mid-March.
- 3.3 At the end of December, £20.10m of works had been delivered with a further £10.03m of project outputs before the end of the year. This is in line with previous years spend profiles.
- 3.4 Marple Lock 11
- 3.4.1 Works started on site on the 29th October; setting up the compound, access to the lock and temporary works; dams, temporarily filling the lock and the piling mat. Permanent works piling started on the 19th November and this element is due to finish by 18<sup>th</sup> January. Significant constraints to working hours imposed by the Party Wall agreement and close neighbours and heritage requirements, have made the programme challenging and put the completion date of the end of April 2019 at risk; work is ongoing to establish the shortest realistic programme.



### 3.5 Middlewich Breach

3.5.1 The canal was refilled and tested the week before Christmas and the canal and towpath reopened on the 21<sup>st</sup> December 2018. Finishing works and clearing site will continue until the end of January.



### 3.6 Marsh Lock, River Weaver

3.6.1 The lock is now available for restricted passage under the controlled operating regime agreed. The repair works are planned for the January to March stoppage window using divers to unstep and float the damaged gate out for repair. The gates will then be repaired in a temporary workshop, to be set up on the banks of the R Weaver, by a team from the Stanley Ferry Workshop.

3.6.2 Redacted

### 3.7 Napton Lock 9

3.7.1 The reconstruction of the failing towpath side lock wall at Lock 9 was completed on time and the canal reopened on 21<sup>st</sup> December 2018 albeit that a further short-term closure will be required in March to install the permanent coping stones. The solution development for this project was

challenging but, after a value engineering exercise, the project team were able to identify an acceptable and affordable solution.

- 3.7.2 An open day was held at the end of November and was well attended by locals and many of the large number of boaters in the area with positive feedback received.



### 3.8 Hurlleston Lock 4, Llangollen Canal

- 3.8.1 Work commenced on 7<sup>th</sup> January 2019 on the reconstruction of the towpath side waterway wall at Hurlleston Lock 4 at the entrance to the Llangollen Canal. The narrowing of the lock has long been a problem to customers with boats getting stuck on a regular basis, so the resolution of this problem will be a significant improvement for boaters. The ground conditions at this site are particularly challenging because of ground water under pressure and requires additional temporary works to what would ordinarily be expected. The lock is planned to be reopened for Easter.

### 3.9 Stainton Aqueduct

- 3.9.1 Unfortunately works to the £2.0m HLF and Rural Payments Agency funded repair of Stainton Aqueduct were severely impacted by the wet weather in the weeks prior to Christmas. We have therefore taken the decision to pull off site and return when the weather improves in March. This has the consequence of extending the overall project programme to late July 2019 and has increased cost in the order of £450k. Discussions have taken place



with the funders and HLF and RPA, at a local level, have accepted the need for the extended programme.

### 3.10 Montgomery Canal Restoration

3.10.1 Works are progressing well to the c£3.9m HLF, ERDF and PPL funded restoration of 725m of the Montgomery canal and associated works.



*Lake constructed as part of project*



*Channel lining*



*New winding hole and mooring site*

### 3.11 Soulbury Pumping Station

3.11.1 Work are progressing well to the HLF funded restoration of the Soulbury Pumping Station and will be finished late spring 2019. In its initial stages the project suffered from significant delivery and consenting issues that put the budget at risk and so the project was stopped and an alternative approach developed to meet the budget. The works are now being undertaken by our direct services team with support from our heritage masonry and carpentry apprentices, as part of their training. The roof

trusses which are a key element of the restoration were restored in the Stanley Ferry workshop also with input from carpentry apprentices.



### 3.12 Grantham Canal Heritage Initiative

3.12.1 Works to the HLF funded, volunteer delivered restoration of locks 14 and 15 on the Grantham canal are progressing well. A milestone was reached last summer with completion of the restoration of Lock 15.



*Completed Lock 15*

3.12.2 However, Lock 14 is in worse condition than anticipated during the feasibility stage and even worse condition than Lock 15. So far, the volunteers have dismantled the structurally unstable areas of the lock walls.



#### 4 PRIORITY WORKS

- 4.1 In the first nine months of the delivery programme the Direct Services Construction Teams have completed 641 packages of work – including approved changes. The original plan was to complete 640 packages of work in the same period.
- 4.2 All 54 planned pre-Christmas stoppages were completed on time and the navigation re-opened on 14th December. Boating customers were able to enjoy unrestricted access to the canals for two weeks over the festive period. Winter stoppage programme recommenced on 2nd January 2019.
- 4.3 Direct Services helped facilitate a successful open day at Bath Deep lock on the Kennet & Avon Canal in early December.
- 4.4 The construction teams are maintaining the drive for efficiency savings which results from the use of materials from stock, recycling, contract lift savings and method related savings etc. In the first nine months of the new financial year the team have saved around £520k



*Leeds & Liverpool Canal – Rufford Branch Lock 3 – ladder repairs and extensions*



*Bath Deep Lock, Kennet & Avon Canal – Lock Gate Repairs*



*Lock 13, GU Aylesbury Arm – Emergency work to repair void under lock quadrant*

## 5 UNLOCKING THE SEVERN

### 5.1 Severn Rivers Trust

5.1.1 There are emerging issues over the transfer of LIFE funds from SRT that are currently being addressed.

### 5.2 Diglis Lock Fish Pass

5.2.1 Design of all the principle elements has been completed by Arcadis and the Works Information Package has now been completed and has been passed to Kier for pricing. Construction work is due to commence on site in late April.

5.2.2 With sheet pile design and specification complete, piles that can only be supplied from Europe are being advance ordered for Bevere and Diglis and will be placed in storage to mitigate any import delays caused by Brexit.

### 5.3 Bevere Lock Fish Pass

5.3.1 Design development and value engineering have been completed with the redesign offering cost and programme benefits with work due to commence on site in late April.

### 5.4 Activity Plan / Interpretation / Communications

5.4.1 The website brief has been out to tender, and 4 tenders were received. Following evaluation, Big Helping, a local company based in Worcester has been appointed. Our communications plan is being refreshed in advance of start on site in spring.

## APPENDIX 8: STRATEGY, ENGAGEMENT & IMPACT REPORT

Heather Clarke, Strategy, Engagement & Impact Director

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### 1. Strategy Development – Repositioning & Business Planning

#### 1.1 Repositioning

Four *Re-positioning the Trust* ‘sweep-up’ sessions were held at both Museums, and in the West Midlands at Stourbridge and Birmingham, primarily for our volunteers. The trailer team also supported local volunteer managers to deliver an abbreviated version of the Trailer Tour session at some of their end of year get togethers.

A further engagement programme, to build on the re-positioning/re-branding, and the positive local engagement achieved via the ‘Trailer on Tour’, is being developed by the Organisation Development Team for 2019.

#### 1.2 Business Planning & Strategic Programmes

The broad suite of three-year strategic core, transformation and improvement programmes (from 2019/20 to 2021/22) were outlined and discussed at the November 2018 meeting. Since the November meeting, the Strategy, Engagement & Impact Director has been working with the Chief Operating Officer and the six Regional Directors to scope in detail the proposed strategic transformation and improvement programme deliverables and to identify potential pilot projects. The outputs from this work including performance monitoring and reporting proposals (with KPIs) and associated regional targets will be incorporated within the full detailed business plan which will be presented to the Board for consideration in March 2019. Further detail is included within the business plan update report from the Finance Director.

### 2. Brand and Marketing

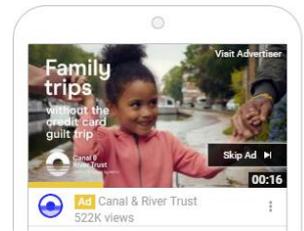
#### 2.1 Re-Brand Update

The Trust’s rebrand has been shortlisted in the *‘Best Visual Identity by a Charity, NGO or Not-For-Profit’* category in ‘Transform Awards Europe 2019’, a prestigious Brand Design Award. The winner will be announced in March

We are continuing to roll-out newly branded signage, work boats, vehicles and uniforms, as well as update literature. To date, 40 new vehicles have been fully wrapped in the branding; 32 new vehicles have new logo graphics and 25 old vehicles have new logo vinyl applied. The Team is initially focusing on those that have the longest ‘shelf life’, with arrangements being made for others to have old logos removed and new ones applied over a longer period.

The next wave of over 40 Project Compass ‘silver sites’ for new signage across the country is currently being audited. Rebranded signs have already been installed in several locations with the remainder to be installed before the end of this financial year.

Branding opportunities are being developed for high-profile initiatives such as Coventry City of Culture 2021 and several bicentenaries which are taking place this year, including Sheffield & Tinsley Canal Bicentenary. We are working with partners to seek opportunities for branding on development hoardings adjacent to our land – new opportunities are being worked up for Bulbourne Yard, Canary Wharf and Leeds; and to rebrand promotional material for our museums and attractions, with external signage due to be installed at Anderton, Standedge and Stoke Bruerne by the end of March.



## 2.2 Brand Campaign

The autumn campaign which ran in October half-term reached an estimated 7.5 million people and led to us acquiring 10,500 new supporters (through new followers on social and email channels).

## 2.3 Digital

For the first time, our website traffic from mobile and tablet devices exceeded the level of use from desktop PCs (and is now around 64%). This indicates the growing importance of ensuring our website is optimised for the changing ways that audiences are searching our content. The Trust has invested in new mobile optimisation techniques such as 'Progressive Web App' technology (PWA), which allows us to deliver a fast, mobile-optimised web page which will work offline, even if there is no network signal available, which will be used this month at our open day events.

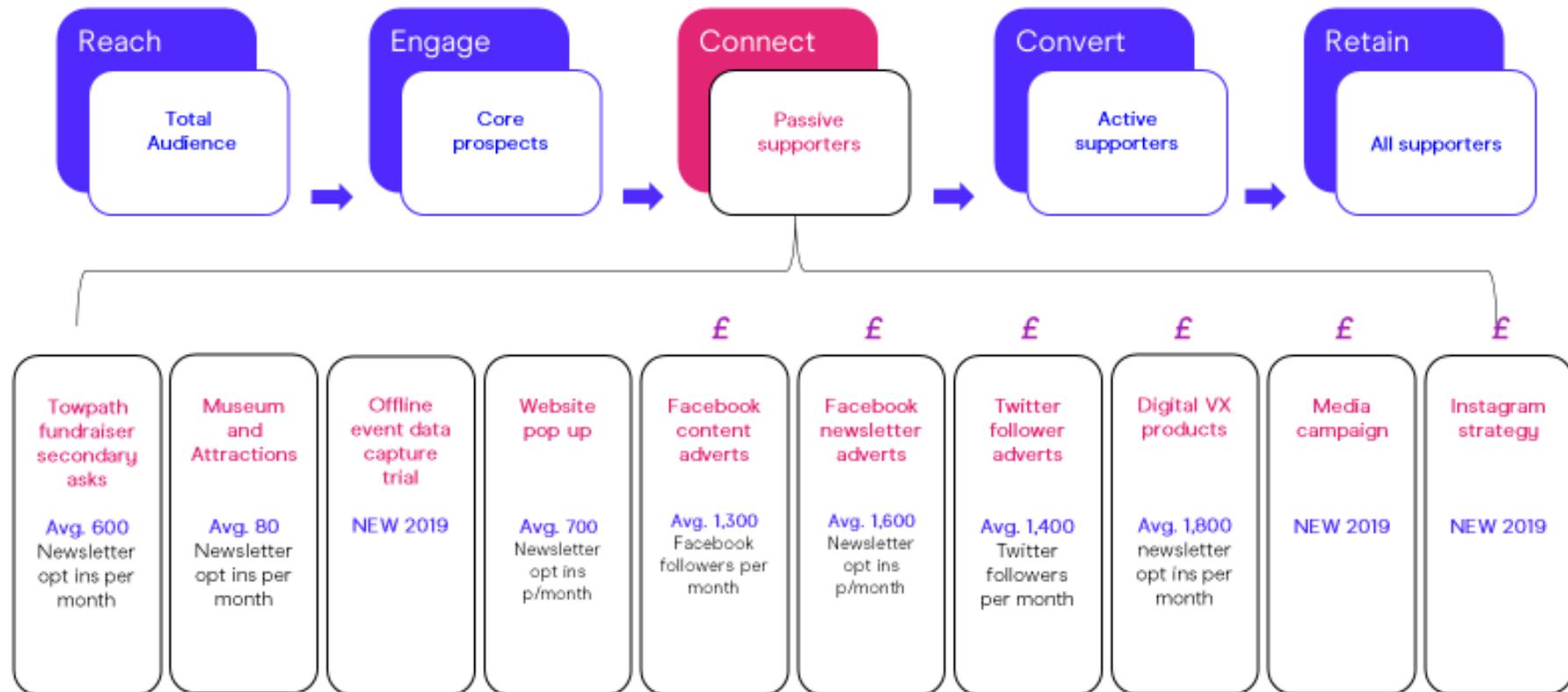
We are commencing a project to re-structure our website navigation and content, auditing our current site and conducting audience research to gather evidence on how best to ensure our website supports our 'U2S' model, with an agency appointment imminent.

## 2.4 'User to Supporter' (U2S)

Our online value exchange programme and towpath newsletter sign-up initiatives aimed at increasing our supporter pipeline continue, reaching our short-term target of 360,000.

The chart outlines the average supporter numbers gained using different channels, and shows we are making most of our supporter gains through digital acquisition. A new system will be trialled to encourage email sign-ups at the Open Days in February with a view to rolling this out at events being held throughout the year. Our use of welcome and 'first emails' programme is minimising attrition rate (of 0.18%), which is on a par with best industry standards.

## Digital and marketing supporter acquisition plan 2019



£ Paid activity is indicative of average paid for results, not including organic results. Paid for generally account for 80% of total acquisition each month

## 2.6 New framework & campaign

We are working on the development of a new programme and campaign which will, under one umbrella, support our strategic improvement programmes (most notably Beauty on the Doorstep and Community Safety) and help to scale up our user to supporter programme, whilst delivering community and personal wellbeing (outcomes). We are looking to offer local people a way to get involved in the Trust's work and make a difference to their local area by giving them a suite of opportunities.

We will be looking at auditing existing products/services and repurposing or rebranding them if appropriate (e.g. towpath taskforce and adoptions) and introducing new products (e.g. micro volunteering and hands-on experiential events) which can deliver on meeting an audience need, the Trust's outcomes and create greater support. We have shared this approach in more detail with Trustee, Sue Wilkinson.

## 3. Promotional Campaigns

**Open Days** - Our remaining seven winter open days, (and one virtual open day), will take place in February and March, with activities that will focus around water safety and litter.

**'#ThanksToYou': Heritage Lottery Fund (HLF)** - To help build and maintain our excellent relationship with HLF, the Trust supported their '#ThanksToYou' campaign in early December, using social media and our website to promote our heritage lottery funded projects. We also offered ticket-holders a free goodie bag and drink at our museums and attractions. The HLF retweeted our posts and quoted our events in at least one of its Heart radio adverts.



Free hot drink & goodie bag for every lottery ticket holder #ThanksToYou 4-9 Dec\*

**'This Girl Can' (TGC): Sport England** – The Trust supported Sport England's 'This Girl Can' campaign which went live in late October 2019. It provided us with an opportunity to showcase our waterways as a place that can enable women to exercise, including an internal promotion in which female colleagues submitted their pictures exercising on the waterways and we re-tweeted them.



**Royal Life Saving Societies (RLSS)** - We supported the [RLSS UK's Don't Drink and Drown](#) campaign in December at key locations Gloucester, Bath, Liverpool, London, Sheffield, Leicester and Manchester, with on-the-ground events to reach out to people with the key messages. We will continue to promote water safety and 'Don't Drink and Drown' throughout the winter.

**#YouMadelItHappen: National Council for Voluntary Organisations (NCVO)** - On 19 November, we joined with other charities to say a big thank you to our supporters, supporting NCVO's '#YouMadelItHappen' social media campaign. We created a dedicated [webpage](#) which was promoted on social media with an average reach of 6000 per post. The tweet that achieved the best reach was one talking about the Middlewich breach showing that relating campaigns to relevant Trust content increases our reach.



**'#Giving Tuesday'** - The Trust supported [#GivingTuesday](#) on the 27<sup>th</sup> November; our aim being to use this day to thank Friends and volunteers. We used our social channels to post content (including videos) and reached just over 15k people.

## 4. Research & Measurement

### 4.1 Redacted

### 4.2 GIVERS Volunteering Research

We have been working with Jump, a consultancy specialising in the social impact of volunteering to apply the 'GIVERS' segmentation framework (to identify participants' primary motivations) to the Trust's volunteering programme. The behavioural insights underpinning these segments can subsequently be used to help recruit, retain and realise the potential of volunteers with a diverse range of motivations. A core deliverable of this work has been a series of in-depth qualitative research interviews with Trust volunteers, allowing them to express how volunteering with the Trust has impacted them personally. These testimonies will feature in forthcoming Outcomes Report.

## 5. Redacted

## 6. Redacted

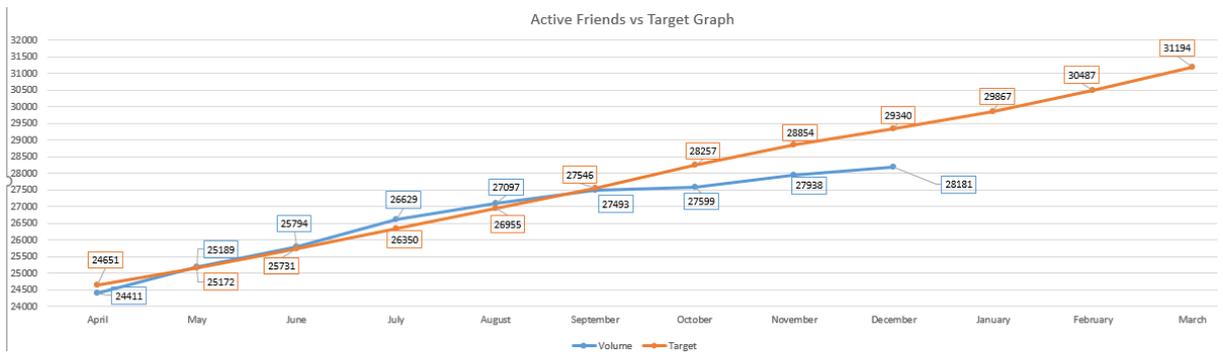
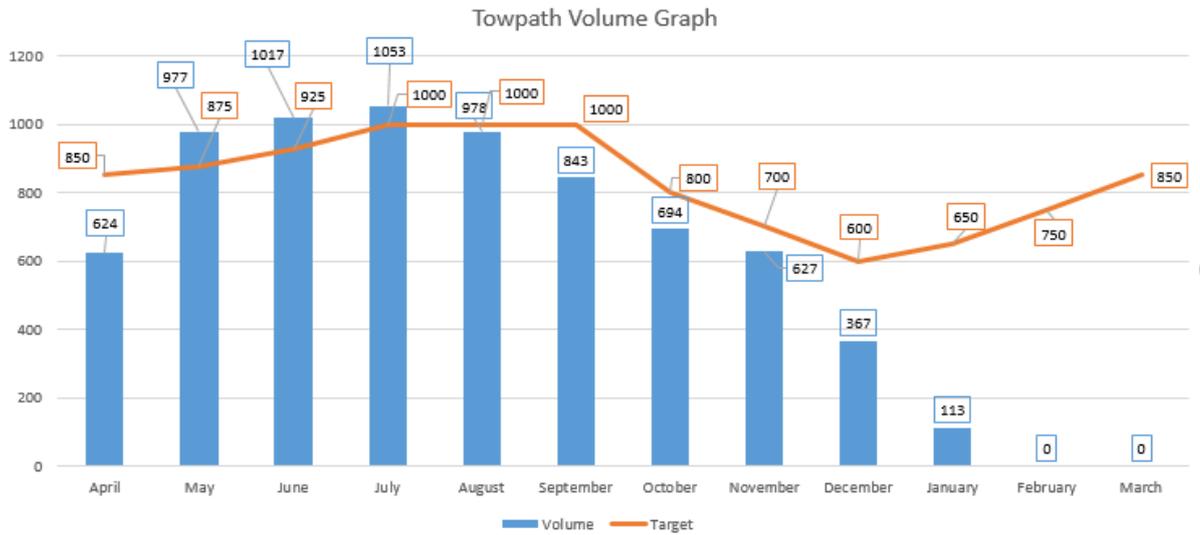
## 7. Voluntary & Statutory Funding

### 7.1 Society Lotteries & Corporate Fundraising

The People's Postcode Lottery (PPL) have confirmed to the Trust that we should plan for a further £2.9 million in funding for 2019/2020 (dependent on final ticket sales for respective Lottery draws). We are currently demarcating the portfolio of projects in line with our strategic programmes to present to PPL over the next few weeks.

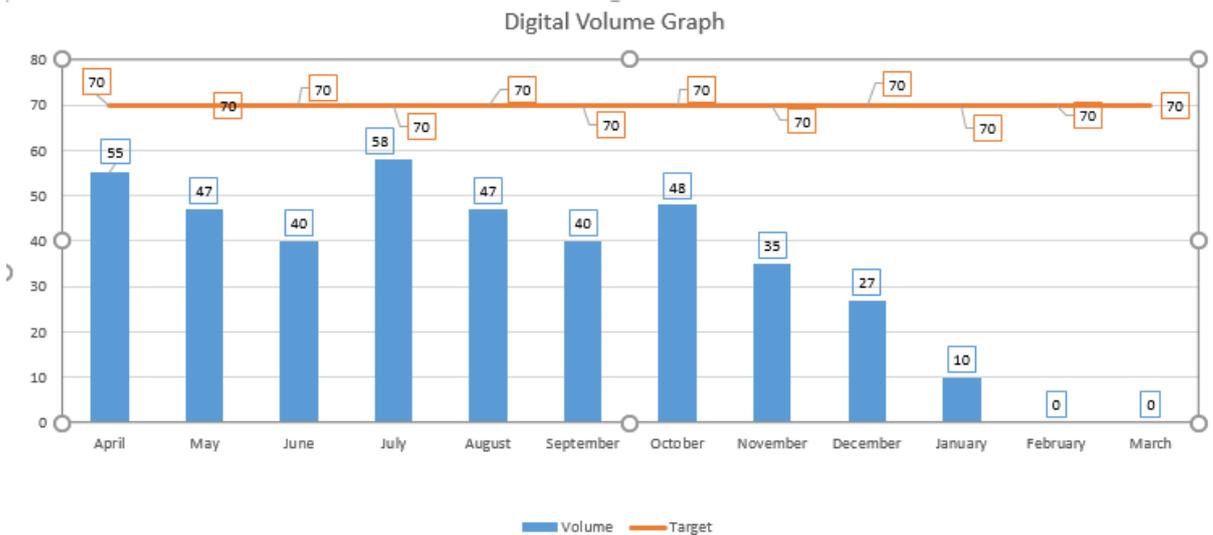
### 7.2 Individual Giving – Active Friends

At the end of December, we had 28,181 active Friends supporting the Trust, slightly short of our annual 30k target; we remain cautious about securing this given the slow-down in recruitment, shown below.



## 7.4 Individual Giving – Digital

The Team has experienced a similar downturn in Friends recruited online over the last two months, with a lack of online advertising starting to take its toll on our overall performance. The limited promotion of our ‘Gifting of Friendship’ across December did not have the desired impact on our acquisition figures.



## 7.5 Individual Giving: Newsletter Subscribers

2,657 Newsletter subscribers have been recruited over the last 15 weeks via the Towpath programme, averaging 177 per week. The West Midlands Towpath region is responsible for 47% of all new subscribers recruited, followed by London being responsible for 24%. Over

the last ten weeks, the three Museum & Attractions participating in this test have recruited 111 Newsletter subscribers (mostly at Ellesmere Port).

## **7.6 Individual Giving – Legacy Fundraising**

The Trust's first Gifts in Wills direct mail pack was issued in November. Just over 5k long-standing donors were contacted and indications are promising, with a positive response rate of 0.73%, exceeding target of 0.5%.

- 33% stated they would like information on including a gift in their will
- 46% stated they intended to include a gift in their will, *as well as* wanting further information (a figure higher than sector average), and
- 21% stated they had already included a gift in their will.

The next stage of the programme is the reminder pack mailing in mid-February to non-respondents (from the November mailing) as, generally, reminders can typically increase the number of responses to the original mailing by around 25%, and legacy-giving programmes traditionally see an uplift in enquiries for will-making services during this quarter. (Hard copies of the Enquirer Booklet will be available at the Board meeting.)

## **7.7 Major Gifts, Charitable Trusts & Foundations**

We have received a tentative enquiry from the Hamish Ogden Foundation with regards to a £1.5m gift for a project(s) in the Yorkshire Area.

A £100,000 bid has been submitted to the Fidelity Foundation towards the Roundhouse project. A decision on the funding bid is expected shortly.

We have submitted a Stage One application (£50k) to the Rayne Foundation for our next phase of flagship Arts project, Hinterlands, and we are looking at other prospects.

A modest £7,500 bid has been submitted to the Hillingdon Community Foundation to support the Hayes Festival 2019.

## 7.8 Gift acceptance & due diligence policy

A speculative bid to 'Aramco Overseas' Education fund secured a £150k award to fund a STEM programme for the London area. As this is an arm of the Saudi Arabian national oil company, we have consulted a group of trustees (including the Audit & Risk committee Chair) on the merits of accepting this, and it has raised the wider question of how we make gift acceptance decisions.

After guidance from trustees, we propose to submit a paper for the Audit & Risk Committee for consideration at the next (February) meeting.

## 7.9 EU Funding Programme

The Government's guarantee for EU-funded programmes if there is no Brexit deal has been re-affirmed in a statement on You GOV website before Christmas. Our flagship EU Interreg Project, Green WIN (greener pumping solutions) commenced in October. Green WIN will provide c.€800,000 towards our pump replacement programme as well as contribute to our Green Plan and generate revenue cost savings.

## 8. Statutory Consultee Performance

We received 1733 planning application consultations in England & Wales up to the end of December, achieving 95% compliance (response within 21 days) in England and 98% in Wales.

## 9. **Redacted**

## 10. Planning & Design Delivery

We have negotiated/secured 22 planning and related permissions for the Trust and/ or our Joint Venture partners this year so far, and prepared and submitted 25 planning applications.

### 10.1 External Awards

In December, the Trust's Property Joint Venture "Waterside Places" won the Inside Housing 'Design Quality' Award for the waterside block of Brentford Lock phase 2. The Trust's Principal Architect, Peter Chowns has been central to the scheme design and represented the Trust at the Awards. This latest award joins the RIBA London region award, and 'Apartment Development of the Year' and 'Development of the Year (up to 100 homes)' at the Sunday Times British Homes Awards with Waterside Places named 'Homebuilder of the Year'.

### 10.2 Supporting the Strategic Transformation Programme – Outcomes Focus

The initial Critical Corridor Study, Coventry, (CCS#1) has been completed and is being taken forward locally by regional team. The initial review and consultation for CCS#2 (Sefton) has been completed and the Team is beginning to investigate and develop approaches for those intervention areas. CCS#3 (Leicester) is planned to commence in February.

## 11. Water Management

### 11.1 Water Act 2003

Further to the last report, we are in discussion with the EA regarding a secondment from its EA National Permitting Service to work within the Water Management team for 4-6 months (February to July, inclusive) assist in delivering Water Act applications. The Trust would then reciprocate with staff from the Water Management team working at the EA (from August) to assist the EA with the validation activities.

## **11.2 Water Resource Management Plans (WRMP'19)**

Further comments have been submitted to the Secretary of State (SoS) on the Thames Water revised draft Water Resource Management Plan. Thames Water is proposing to bring forward the Oxford Canal transfer scheme, planned to start in 2025 for implementation in 2030. This scheme would represent a very significant achievement for the Trust to deliver such a major new scheme (15+ million litres per day from Birmingham towards the London Water Resource Zone). However, in its response to the SoS, the EA has set out a number of concerns. Considerable further work is needed by Thames Water and the Trust to ensure this scheme remains viable, and the regulator's concerns are addressed.

## **11.3 Sustainable Drainage Systems (SuDS) in Wales**

From January, all new developments in Wales of more than one dwelling, or where the construction area is 100 m<sup>2</sup> or more, will require SuDS for surface water. SuDS Schemes must be approved by the local authority before construction work begins. The Trust will be a statutory consultee and we will produce standing advice to support this process.

## **11.4 Water Resources Strategy Annual Progress Update**

In November, we published our latest annual update on progress relating to the Trust's Water Resources Strategy, 'Putting the water into waterways'. This sets out the work completed in the past year against the 14 strategic actions in the strategy.

## 12 Arts & Filming

### 12.1 Arts

The Arts on the Waterways' Hinterlands project has been awarded £60k from Arts Council Wales for innovative participatory arts projects in Pontymoile/Torfaen – to be delivered with our partner, Peak Arts. Two further bids worth £120k were submitted to Arts Council England for Hinterlands projects in Sheffield and Enfield.

The Trust attended a small stakeholder consultation event to contribute to Arts Council England's 'Ten Year Strategy' – strong alignment with our strategic direction and priorities.

### 12.2 Redacted

January 2019