

Broads Authority Safety Management System Internal Audit Findings
Report by Head of Safety Management

Summary: This report sets out findings from the recent audit of the implementation of the Hydrographic Policy contained in the Authority's Safety Management System.

1 Background

- 1.1 The Broads Authority, as a Competent Harbour Authority under the Pilotage Act 1987, is required to comply with the duties and responsibilities set out in the Port Marine Safety Code (PMSC)¹.
- 1.2 The Code requires that all harbour authorities base their powers, policies, plans and procedures on a Formal Safety Assessment (FSA) and that they maintain a Safety Management System to ensure that risks are reduced to a level which is as low as reasonably practicable (ALARP).
- 1.3 In 2016, the Authority published a Safety Management System (SMS)² to meet the needs of the updated PMSC.
- 1.4 The SMS requires that the Authority is monitored and audited to ensure that it continues to meet the requirements of the SMS

2 Audit

- 2.1 The Audit was carried out by the PMSC designated person and took place on the 17th May 2017.
- 2.2 The scope of the Audit was to obtain evidence that each element of the Hydrographic Policy was being delivered in accordance with the policy.
- 2.3 The Audit reviewed version 6 of the Safety Management System which was issued in April 2016.

3 Audit Report

- 3.1 The report which sets out the audit findings and recommendations is set out in Appendix 1

¹ Port Marine Safety Code, dated December 2012

² Broads Authority Port Marine Safety Code Safety Management System, Issue 6, dated April 2016

4 Next Steps

- 4.1 The Audit findings will be reported to the Broads Authority, the duty holders, for consideration.

Background papers: None

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Date of report: 27 March 2018

Appendices: APPENDIX 1- Hydrographic Policy audit 2017

Internal Audit Report of PMSC SMS Hydrographic Policy
April 2016

Reference SMS version 6 published

Audit conducted by Steve Birtles, Head of Safety Management and PMSC Designated Person

Date of Audit 17 May 2017	Staff involved: Dan Hoare, Head of Construction Maintenance and the Environment Tom Hunter, Rivers Engineer
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Requirement	Comment	Evidence	Recommendation	Priority
Maintain a 5 year programme of hydrographic surveys, conducted in accordance with Broads Authority specification, of the navigation area, covering the navigable extents of the Broads;	<p>Surveys previously supplied by BESL 2005 to 2009, survey done in 2011 of the entire length of the River Bure and associated broads. Then 3 year survey contract developed and budget allocated.</p> <p>All of the entire network has been surveyed in line with the 5 year rolling programme</p> <p>Annual post dredging surveys are included in the dredging contract to verify finished depths.</p>	Programme of surveys, planned and achieved.	None	

Requirement	Comment	Evidence	Recommendation	Priority
<p>Use the outcome of the surveys to prioritise and inform the dredging programme detailed in the Sediment Management Strategy Action Plan, in accordance with the waterways specification;</p>	<p>Survey data mapped into the Authority's GIS system and Autocad – output non-compliance area when compared against the Waterways specification from the Sediment management strategy. This gives a very basic priority which is further refined when additional considerations are made from the matrix in the Sediment Management Strategy is applied which considers additional criteria such as available disposal areas, reported groundings, boat traffic, etc. Clear method of prioritisation on scoring from the Sediment Management Strategy Action plan. This output feeds into the 5 year dredging programme</p>	<p>Priority Matrix, Sediment Management Strategy Action plan. 5 year Dredging Programme</p>	<p>The Sediment Management Strategy and action plan needs to be reviewed and updated to recognise new data, change in some drivers, disposal cost and opportunities and dredging methods etc.</p> <p>A new action plan will further influence the development of the dredging programme going forward.</p>	<p>Med</p>

Requirement	Comment	Evidence	Recommendation	Priority
<p>Mark safe channels in areas of particular danger, but with due regard for conservation of the natural beauty of the area;</p>	<p>Marked Channels exist on Barton, Hickling, and Rockland Broads, the Lower Bure and Yare and on Breydon Water.</p> <p>Some Lower Bure marks have been added in response to shoals developing. Temporary Marker buoys have been installed on occasion as posts become damaged on Breydon Water.</p> <p>Constant consultation with the RSPB regarding any works on Breydon water with a longer term management plan for Breydon water being developed with Natural England.</p>	<p>GIS and physical identification.</p>	<p>None</p>	
<p>Ensure that those conducting hydrographic surveys, whether Broads Authority employees or third party contractors, are appropriately equipped, trained and competent to undertake the work;</p>	<p>The tender process for selecting contractors sets out the specification for the surveys and competencies of contractors.</p> <p>Tender evaluation process assesses the contractor's competencies via a weighted scoring system. The evaluation process also includes price, technical specifications, methodology etc. to select the most suitable contractor.</p>	<p>Evaluation process document</p>	<p>None</p>	

Requirement	Comment	Evidence	Recommendation	Priority
Maintain forecast tidal data information via the Broads Authority website, and at yacht stations and visitor centres	<p>Forecast Tidal data is published on the Broads Authority Website, also in hardcopy "Tide Tables" available from the Tolls Department of at Tourist information centres.</p> <p>Tide Tables are published in the free visitor newspaper "Broadcaster" available throughout the Broads</p>	<p>Tide Tables 2017-18</p> <p>Broadcaster</p> <p>BA Website view</p>	None	
Publish Hydrographic survey data and cruising notes on the Broads Authority Website	Hydrographic survey data and cruising notes are displayed on the Broads Authority website	http://www.broads-authority.gov.uk/boating/navigating-the-broads/water-depths	None	