

Black Drain Drainage Board

Trinity Academy

Church Balk

Fieldside

Thorne

Doncaster DN8 5BY

Meeting Papers

Thursday 21 January 2016


Meeting 6.00pm


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Meeting Papers

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Clerk to the Board

Purpose

These meeting papers have been prepared solely as a record for the Internal Drainage Board. JBA Consulting accepts no responsibility or liability for any use that is made of this document other than by the Drainage Board for the purposes for which it was originally commissioned and prepared.

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1. Governance

1.1 Apologies

1.2 Declaration of Interest

1.3 Casual Vacancy

A Casual Vacancy has arisen following the untimely death of a Board Member.

1.4 Minutes of the Meeting held on 12 November 2015

Present

	27.6. 13	14.11. 13	23.1 .14	26.6 .14	13.11. 14	22.1 .15	18.6 .15	12.1 1.15
David Backhouse DB					x	X	X	Appointed
Michael Conroy MC	x	x	x	X	x	X	-	x
David Hinchliffe (Chair)					x	X	X	x
Richard Hinchliffe RH					x	X	X	x
Walter Ketteringham WK	x	A	x	X	x	X	X	x
Sam Longthorp SL	A	A	x	X	x	X	X	A
Don Parkinson DP	X	x	x	X	x	X	X	x
Richard Ketteringham RK	X	x	x	X	x	X	X	A
Kim Parkinson				Not Mbr	x	X	X	x
Arthur Allott AA	X	x	x	X	x	X	X	x
Richard Ward	Not Mbr	Not Mbr	A	X	x	A	A	x
Martin Oldknow MO	X	x		X	x	X	X	x
David Oldroyd DO	X	x	X	X	x	X	X	x
Mick Barron (MB)	Not Mbr	Not Mbr	Not Mbr	x	A	A	-	-
Linda Curran LC	X	A	X	X	A	A	A	Resigned
Jeff Bloor JB	X	x	X	X	x	A	Res	Vacancy
Peter Jackson								A
Kevin Abell	Not Mbr	Not Mbr	Not Mbr	-	A	-	-	-
George Derx GD	x	x	-	x	x	-	-	-

In attendance on behalf of JBA Consulting, Clerk, Finance officer, Engineer and Environmental Adviser:

Ian Benn CEO	x
Craig Benson FO	x
Alison Briggs EO	x
Paul Jones Eng	x

Governance

Apologies

2015.70 Apologies were received from Richard Ketteringham, Peter Jackson, Sam Longthorp

Declaration of Interest

2015.71 None received.

Casual vacancy

2015.72 Following the untimely death of Member Stephen Backhouse DH informed Members it was understood from his widow that it was Stephens wish his eldest son David be able to take his place on the Board. Members moved David Backhouse be appointed to fill the Casual Vacancy. Stephens passing and the appointment of David would be noted in the ADA Gazette.

ACTION: DH and Clerk to arrange

Minutes of the Meeting 18.6.2015

2015.73 AA moved they be accepted as a true record. All in agreement.

Matters arising

2015.74 Noted

Complaints and FOI requests

2015.75 None received.

Engineer's Report

2015.76 Engineer reported no recommendations but had updates associated with Agenda item 4.1.1. Eng set picture of Board as an Infrastructure Manager. Asset Management is an understanding of what the Board manages, not necessarily owns. Moving forward Asset Management would look at an asset's whole life cost, not simply the up-front capital cost that formed a small % of overall life cost. Board Management would use the concept outlined in ISO55000. Members agreed.

2015.77 Inlet PS – Eng advised contractors were stripping the gantry and beam that day and would deliver straighter sections. Contractor would be advised trolleys jumped off the track.

2015.78 Outlet PS – Quotations had a 2-3 week lead in time, updated quotes advised 1-3 days of work required. It was hoped a sensor could be placed on Jubilee Bridge to pick up river levels in connection with the gravity discharge. RW noted DMBC has a river level sensor already placed on Jubilee Bridge which could possibly be used although it was noted compatibility may be an issue. DH asked for culvert itself to be investigated.

2015.79 Maintained watercourses – most had been completed with exception of drain near Greenland Farm where there were access issues. It was agreed the Board would look at what it was maintaining and why.

2015.80 Highways England and Network Rail – A number of meetings had been held with Highways England following service of Notice to Cleanse. There has been no feedback since the last meeting. Board Solicitors had written to CEO of Highways England regarding non-compliance and the notice issued 26.10.15. Highways England passed the notice onto the appropriate party within its main body and aim to respond asap. Solicitors will be chasing on behalf of the Board. Situation with Network Rail is as reported but as of that morning, NR has confirmed in excess of £50,000 of work to be undertaken within the Board's area this financial year. NR may wish to work with the Board and its contractors which NR will pay and put safe systems of working in place.

2015.81 18.17 MC and MO joined the meeting.

Clerk's Report

2015.82 Clerk advised information for note in the Papers with some updates.

Humber Flood risk Management Steering Group

2015.83 Meeting had been put back until January 2016. The group had applied for funding to raise the standard of FRM to government which has been pushed back to the group, the next meeting had been shelved until it had something to report.

EA Efficiency saving workshop

2015.84 The Agency wants to see 10% efficiency savings per project including those already being implemented.

Isle of Axholme Strategy

2015.85 Members noted implementation could affect this Board. RW and Clerk are both involved on the Project Steering Group and have concerns; potentially 14 Agency Pump Station Assets may be passed to an adjacent IDB; the arena was very political. Some RMA's are looking to pass greater responsibility to DMBC rather than taking joint responsibility. Flood & Water Management Act legislates for Risk Management Authorities to work together.

EA Operations Field Day

2015.86 The Agency is keen to do more work but constrained by expenditure

ADA Conference

2015.87 Attendees were impressed with Rory Stewart MP, he spoke without the aid of notes and was knowledgeable about the Flood risk Management industry and he answered member questions. He would not commit to spending on maintenance activity. Clerk advised Central government looking to pass decision making through devolution to local level. DMBC has concerns however Lincolnshire has already applied to Government. Rory Stewart did a straw poll for those Boards in support of working in main river – many were supportive however this board's Management has reservations. Clerk noted with responsibility comes liability. DO noted there will be an expectation once some work has been undertaken for everything in the future to be done. Clerk recommended the Board sign the PSCA which is only an agreement in principle.

Recommendations

- Approval and adoption of Complaints Policy

2015.88 DH noted version being put forward was Version 7. He read email from member PJ, unable to attend the meeting. He expressed concern about the policy particularly regarding malicious and vexatious complaints feeling the policy was generated to stop reasonable complaints. He suggested it gives a poor impression of the Board whilst appreciating the requirement for a complaints policy and vexatious complaints, the Policy is not acceptable to him. MO advised seven months ago he would have agreed but the policy is now simplistic and

easy to follow, furthermore it encourages complaints where a complaint is justified. Text regarding vexatious complainants has been lifted almost directly from guidance to public bodies; he advised the Fire Brigade has similar wording. The Board must protect itself against untoward complaints. It would make no difference to have a separate Complaint Policy and Vexatious Complaint Policy, the text would remain the same. He felt it important both are within one policy. DH advised he had responded to PJ confirming the proposed policy reflects a balance. DO supported the existing policy as it stands and moved the Board accept the policy, all in agreement.

- Approval of Chairman's action in connection with Board Asset

2015.89 DH advised it had become apparent over time that land sold to the Board in 1940's had been incorporated into farmland and there was the possibility it had been sold twice. It was important public money was not wasted in pursuing title when it was unlikely to succeed. DO moved, accepted by all,

- Board sign PSCA with Environment Agency

2015.90 DH proposed the PSCA be signed, all in agreement

- Board agree to contribute to new website

2015.91 Clerk provided background, current format and make up of website was old and complaints received regarding ease of access. There is a need to place more information on website and a need to increase IDB profile. Suggestions is being put to all Boards within Shire Group, the two largest Boards are supportive. Costs will be split across those within Shire Group that wish to move forward. DO advised the importance of a budget item, MO agreed. RH noted current contract provided management maintains the Board website. DH disappointed at this situation 8 months into new contract, others would have had to provide for that in setting up from scratch. Clerk advised website maintenance was not website provision. DH agreed website not inadequate but could be better. Estimates had been received £6,000 - £10,000, cost for this Board would be a small proportion. DH noted next year's budget proposed increase in penny rate. RH suggested as website was serving its purpose and covered the minimum requirement it was satisfactory. MO advised it related to good governance and whilst current contract might be about maintenance, this suggestion is about development of a website. This Board's cost is not significant. DO agreed the Board needed to improve volume or scope of the website and was certain it required upgrading. KP suggested any website should be that of Black Drain and not a Shire Group website. Clerk agreed but advised costs for this Board would be £6,000-£10,000. Clerk advised Board saved money coming under the Shire Group umbrella; a new format would follow a similar idea. Doncaster College had been asked to produce individual logo's which would give Board individual identity on website. The more bespoke a website, costs increase. Clerk confirmed the Boards each own the current website, not Management. DH asked if the Board was prepared to make contribution to upgrading shire group website. Management would produce a specification to go out to tender. DH suggested proportion of attributable costs should be according to rateable value per Board. RW advised paying rates on line might be cost saving. Members agreed in principle and required costed proposals.

- Board agree to adopt unique logo

2015.92 It was noted this had been agreed at the last meeting

Finance Report

Rating Report

2015.93 Balance outstanding as at date of meeting now £67.18 which related to a company in liquidation and a ratepayer in jail. Finance Officer suggested this be written off. Members agreed

Audit

2015.94 Internal Audit work was going out to tender. The role has evolved as internal audit work has taken over from external auditor. Finance Officer would report in January.

2015.95 External Audit – Board received a clean audit and a reminder about how the Board treats its fixed assets.

List of Payments

2015.96 Members approved payments made. RH suggested the Board look at using Woldmarsh for other items.

Budget comparison

2015.97 Members noted the position

5 year budget estimate

2015.98 DO noted the deficit in expenditure. DH advised he had not been able to look at the Board Reserves Policy prior to the meeting. DO advised the Board needed to identify a narrative of why it has reserves, a T&F Group need to justify the level of reserves. DH advised “Pump Reserve Policy” was used by a nearby Board. Agreed DH, MO and Finance Officer would meet to discuss. MO noted poor interest on capital reserve account, it was noted the Board could shop around to invest money on a rolling basis. MO suggested T&F Group should consider.

Environmental Adviser’s Report

The Environment Officer confirmed recommendations would be dealt with at the end of the report.

Top House Farm Open Day

2015.99 EO advised Members the open day had considered the importance of soil as an asset to a farm and ways in which it could be protected from erosion:

- by direct drilling which also increased earthworm activity
- provision of buffer strips which also decreased nitrate run off and bird and insect species

Legislation

2015.100 WFD delivery – leading on from the open day the EO asked the Board to consider ways in which it as a public body could assist with its obligations to deliver WFD aims and objectives as it was obliged. She noted provision of buffer strips to protect soils also gave advantage to an IDB where WFD failure in rural areas was associated with siltation and nitrate run off. Buffer strips would allow a cost effective movement through the district for maintenance activity whilst reducing nitrate that encouraged emergent plant growth and would lessen any de-silting maintenance costs. It was noted IDB was a statutory authority and RPA acknowledged landowners could apply for derogation of grant relating to deposition of arisings on buffer strips. It was agreed RPA could be inconsistent in its regulatory approach to GAEC. Clerk pleased Management could assist with delivery of the open day. He advised landowners are aware where their land contains a watercourse maintained by the Board and should not seek to place that drain or a buffer strip into any agri-environment scheme. **ACTION: Rate demands should ask ratepayers to confirm their contact details can be released to Board contractors.** DH noted previous maintenance activity had been set and not altered, suggesting future contracts would alter little for mowing activity but any de-weeding or de-silting will vary from year to year with different activities associated with secondary and tertiary drains. There would be sufficient distance of main drain to ensure tendering was worthwhile

Biodiversity Action Plan 2015-2020

2015.101 DO proposed formal adoption, seconded AA, all in agreement

H&S Report

2015.102 Members noted information contained in the report

Date of next meeting

2015.103 21 January 2016, 16 June 2016, 10 November 2016.

2015.104 Meeting closed 8pm.

1.5 Matters arising not discussed elsewhere

1.6 Complaints and FOI requests

None received

2. Clerk's report

2.1 Recommendations

- To note the information contained in this report

2.2 Policy

Nothing to report

2.3 Legislation

Nothing to report

2.4 Environment Agency

2.4.1 Humber Flood Risk Management Steering Group

November meeting was cancelled and is hoped to be rescheduled early 2016

2.4.2 Public Sector Cooperation Agreement (PSCA)

The Agreement has been signed

2.5 Defra

Nothing to report

2.6 ADA

Your Clerk has been appointed ADA Special Advisor regarding IDB Health, Safety and Welfare. Finance Officer has been appointed to the Policy & Finance Committee and your Environment Officer has been appointed to the Technical & Environment Committee

2.6.1 Technical & Environmental Committee

Meeting arranged for 12 January 2016

2.6.2 Policy & Finance Committee

Meeting arranged for 12 January 2016

2.6.3 Areas Affected by Flooding - Press Statement

The press statement published on 31 December 2015 can be found in Appendix D. Also included in this appendix is a statement from the ADA chief executive on recent events

2.7 Board Website

Specification in the process of being produced

2.8 Board Logo

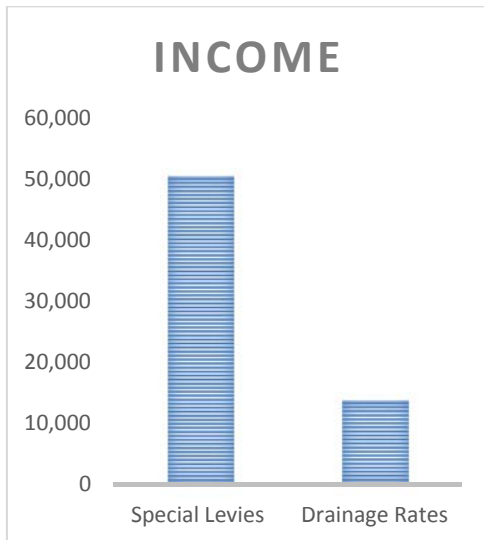
Your Clerk met with 25 students at Doncaster College to discuss production of new logo's for consideration by the Board during this academic year.

2.9 Board Information

The data in this section is intended to provide background information to the constitution of the Board.

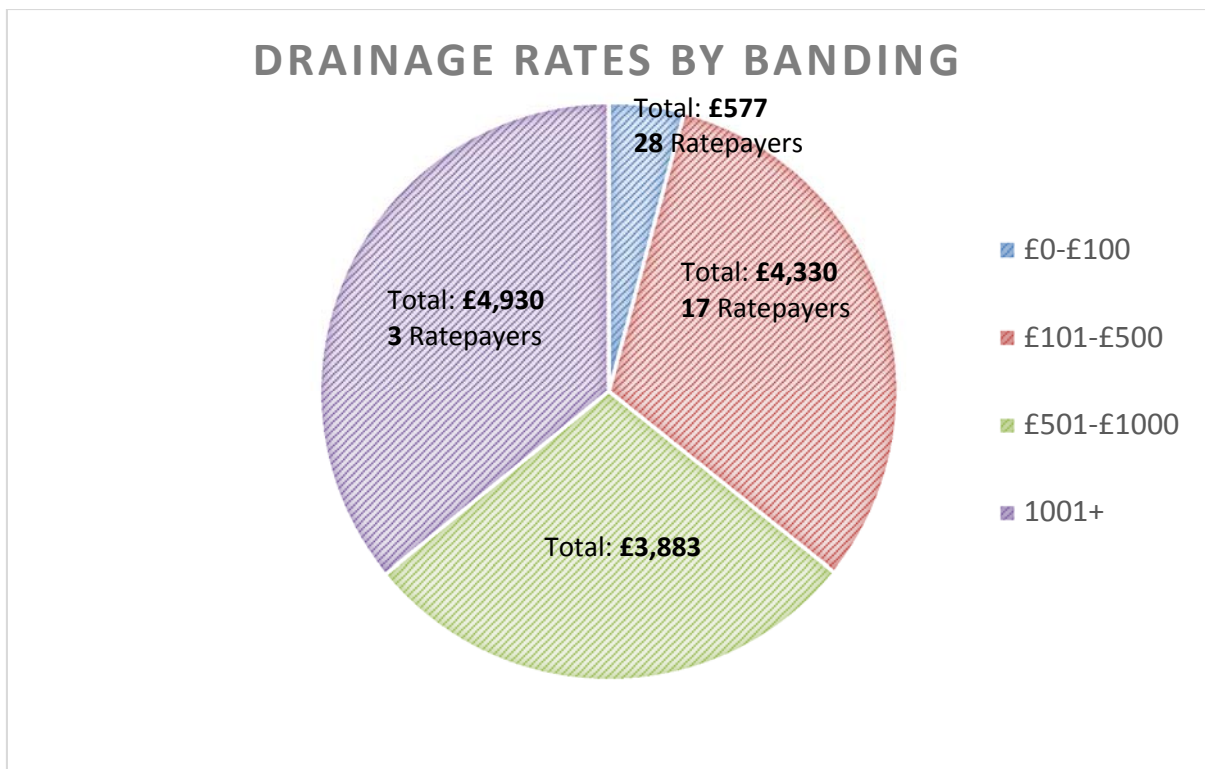
Income Split

Total income from Rates/Levies is **£64,181**, **78%** of which is made up of Special Levies. The Special Levy payment is collected by the District Council on behalf of the board. It is not the Council's money.



Rate Payers

A total of **£13,720** is collected from **54** Ratepayers. **9** Ratepayers contribute **64%** of all rates collected. The highest amount paid by an individual ratepayer is **£2,514**. The chart below sets out the banded drainage rates payable.





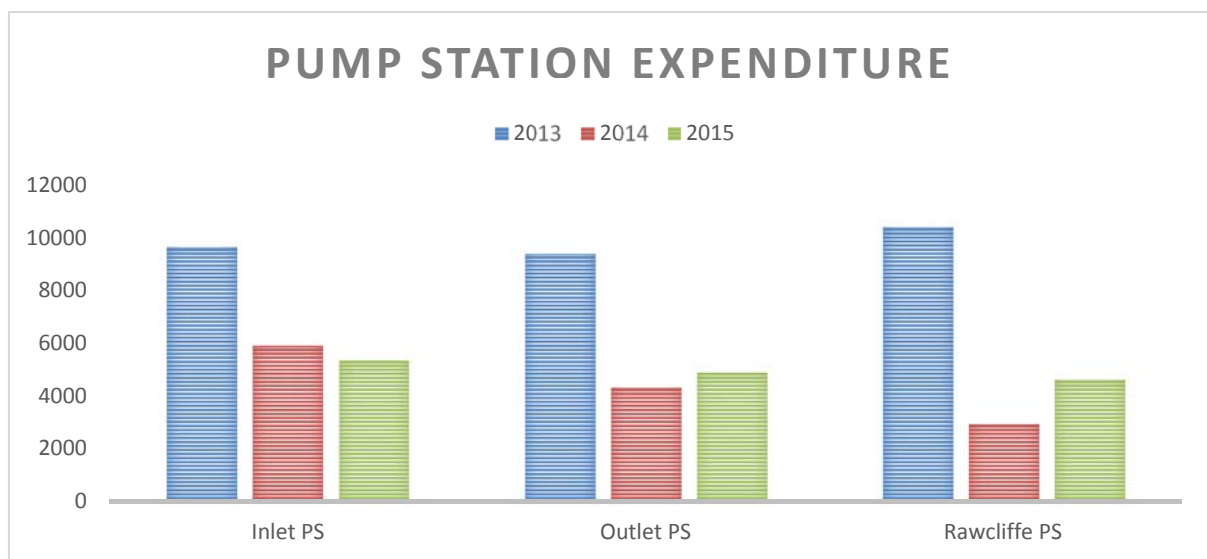
Pumping Station Information

Highways England’s financing commitment for the Board’s three pumping stations is set out below.

	Board	HE
Inlet PS*	79%	21%
Outlet PS	79%	21%
Rawcliffe PS	79%	21%

* Additionally the board receives a contribution from the Coal Authority towards electricity costs only for Inlet PS.

The graph below shows total expenditure for each pump station over a 3 year period. Average pumping station expenditure over the period was £21,455



3. Financial Report

3.1 Recommendations

- To note the information contained in this report
- Approve List of Payments
- To approve the Reserve Policy
- To approve the Board's Budget for the Year Ending 31 March 2017
- Approve Risk Register
- Note Minutes of Meeting of System of Internal Audit Review

3.2 Rating Report

Details of the Rates and Special Levies issued and payments received up to and including 18th December 2015:-

	£	£
Balance Brought forward at 1 April 2015		45.29
2015/2016 Drainage Rates and Special Levies		
Drainage Rates		13,720.23
Special Levies		
Doncaster Metropolitan Borough Council	50,109.00	
East Riding of Yorkshire Council	352.00	50,461.00
Total Drainage Rates Due		<u>64,226.52</u>
Less Paid:-		
Drainage Rates		13,698.34
Special Levies:-		
Doncaster Metropolitan Borough Council	50,109.00	
East Riding of Yorkshire Council	352.00	50,461.00
Total Drainage Rates Paid		<u>64,159.34</u>
Admin Adjustment		<u>67.18</u>
Balance Outstanding as at 18th December 2015		<u>NIL</u>

3.3 Reserves Policy

Please find attached at Appendix A the Reserve Policy of the Board that Members are requested to approve.

3.4 Audit

3.4.1 Internal Audit

Two companies have been approached to undertake the internal audit function for the next five years. Following receipt of their quotations, the service has been awarded to Brodericks GBC who are the Board's current internal auditor.

3.4.2 External Audit

Nothing to report.

3.4.3 Review of the System of the Effectiveness of the System of Internal Audit

The meeting of the review panel took place on Monday 23 November 2015. Minutes of the Meeting are presented in Appendix B.

3.4.4 System of Internal Controls and the Risk Register

In order to meet the requirements of the Accounts & Audit (England) Regulations 2011, the Board is required to review the effectiveness of its internal control arrangement. These matters were discussed at meeting mentioned in the above section. Also at the meeting, the Risk Register was reviewed and approved. The register is presented in Appendix C for the Board's consideration for approval.



3.5 List of Cheques

Cheques paid since those reported in the previous meeting papers.

DATE		CHEQUE NO.	REF	PAYEE	DESCRIPTION	TOTAL CHEQUE
						£
2015						
Oct	27th	001279	59,65	JBA Consulting	Fee Accounts: - 1/4 Salary & Expenses BAP Implementation	1,236.20 616.78 1,852.98
		001280	52	PKF Littlejohn	Audit Fee 2014-15	360.00
		001281	42-3,56,62	Vodafone Ltd	Telemetry Lines	247.36 *
		001282	57,67	Danvm Drainage Commissioners	Mobile Telephone Costs, etc.	256.56 *
Nov	12th	001284	70	Doncaster East IDB	Cardnet Fees, etc.	38.77 *
		001285	69	Vodafone Ltd	Telemetry Lines	62.10 *
		001286	68	Eon Energy	Supply to Nimbus Park Weedscreen	27.13 *
		001287	74	Schofield Sweeney	Legal Fees - Highways England	510.00 *
		001288	72	Controlstar Systems	Telemetry Maintenance Contract	1,044.00 *
		001289	75	Trinity Academy	Meeting Expenses	48.75 *
Dec	2nd	001290	86-9	J Self	Maintenance	1,850.00 *
	3rd	001291	81	Eon Energy	Supply to Nimbus Park Weedscreen	18.06 *
		001292	82	Vodafone Ltd	Telemetry Lines	61.20 *
	15th	001293	84	ADA Northern Branch	Contribution	150.00 *
Total Amount of all Cheques						6,526.91
* Total Amount of Cheques sent out signed by the Clerk's Only						4,313.93

3.6 Other Payments

Payments made directly from the bank account since those reported in the previous meeting papers.

DATE		VOUCHER No.	PAYEE	DESCRIPTION	TOTAL PAYMENT
					£
2015					
Oct	30th	-	NatWest	Bank Fees	8.22
Nov	10th	66	Three	Mobile Broadband	10.49
	17th	78	Eon Energy	Supply to Inlet PS	143.27
		77	Eon Energy	Supply to Outlet PS	169.16
	20th	79	Woldmarsh	Membership Fees	28.8
		73,76	Eon Energy	Supply to Rawcliffe PS	24.67
	30th	-	NatWest	Bank Fees	7.91
Dec	10th	80	Three	Mobile Broadband	10.49
Total					403.01

3.7 Budget Estimates for the Year Ending 31 March 2017

2015/16				2015/16	
Approved Estimate		Estimated Out-Turn		Estimate	
£	£	£	£	£	£
<u>INCOME</u>					
Drainage Rates on Agricultural Land:-					
13,720		13,720		10p in £ on AV of £152,204	15,220
Special Levies (10p in £)					
50,109		50,109		Doncaster MBC - AV £556,770	55,677
352		352		East Riding of Yorkshire Council - AV £3,914	391
Other Income:-					
15,777		16,903		Contribution to Maintenance and PS's	15,932
<u>300</u>	80,258	<u>300</u>	81,384	Interest	<u>300</u> 87,520
<u>EXPENDITURE</u>					
7,065		6,859		Flood Defence Levy	7,065
Loan Repayments:-					
4,184		4,184		Inlet/Outlet PS Refurbishment (Loan)	4,184
1,850		1,850		Durhams Warping Drain (Loan)	1,850
18,891		18,891		Rawcliffe PS Replacement (Loan)	18,891
16,560		16,560		Maintenance of Drains	17,000
8,000		8,000		Pump Attendant Costs	8,000
15,000		24,000		Maintenance of Pumping Stations	15,000
2,000		2,000		Biodiversity Action Plan	2,000
1,000		1,000		Durhams Warping Drain	1,000
6,740		6,740		Management Fees	6,950
<u>9,700</u>	<u>90,990</u>	<u>9,778</u>	<u>99,862</u>	Other Administration Costs	<u>10,185</u> <u>92,125</u>
(10,732)		(18,478)		Surplus - (Deficit)	(4,604)
	<u>58,451</u>		<u>58,167</u>	Balance Brought Forward	<u>39,689</u>
	<u>47,719</u>		<u>39,689</u>	Balance Carried Forward	<u>35,085</u>

Previous Years Rates in the £

1995/96 : 5p - 1996/97 : 5.25p - 1997/98 : 6p - 1998/99 : 6p - 1999/00 : 6p - 2000/01 : 6p - 2001/02 : 7.5p - 2002/03 : 7.5p
2003/04 : 8p - 2004/05 : 8p - 2005/06 : 9p - 2006/07 : 9p - 2007/08 : 9p - 2008/09 : 9p - 2009/10 : 8p - 2010/11 : 9p
2011/12 : 8p - 2012/13 : 8p - 2013/14 : 8p - 2014/15 : 9p - 2015/16 : 9p

Penny Rate : £7,129



3.8 Five Year Budget Estimate

Revenue Account	2015/16	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Out-turn	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn
Income	£	£	£	£	£	£	£
Drainage Rates	13,720	15,220	15,981	16,742	17,123	17,503	17,884
Special Levies	50,462	56,068	58,872	61,675	63,077	64,479	65,880
Recoverable Work	16,903	15,932	15,311	15,595	15,887	16,188	16,498
Bank Interest	300	300	300	300	300	300	300
Total Income	81,385	87,521	90,465	94,313	96,387	98,470	100,562
Expenditure							
Flood Defence Levy	6,859	7,065	7,277	7,495	7,720	7,951	8,190
Management Fees	6,740	6,950	7,159	7,373	7,594	7,822	8,057
Other Administration	9,778	10,185	10,236	10,287	10,339	10,390	10,442
Maintenance of Drains	16,560	17,000	17,510	18,035	18,576	19,133	19,707
PS contractor	8,000	8,000	8,240	8,487	8,742	9,004	9,274
Pumping Stations	24,000	15,000	15,450	15,914	16,391	16,883	17,389
Reservoir Registrations Act	1,000	1,000	1,000	1,000	1,000	1,000	1,000
Biodiversity Action Plan	2,000	2,000	1,000	1,000	1,000	1,000	1,000
Loan Repayments:-	24,925	24,925	24,925	24,925	24,925	24,925	24,925
Total Expenditure	99,862	92,125	92,796	94,516	96,287	98,109	99,985
Surplus/(Deficit)	(18,477)	(4,604)	(2,331)	(203)	100	361	577
Balance Brought Forward	58,167	39,690	35,086	32,755	32,551	32,652	33,013
Balance Carried Forward	39,690	35,086	32,755	32,551	32,652	33,013	33,590
Capital Reserve Account (see below)	101,771	102,271	102,771	103,271	103,771	104,271	104,771
Penny Rate in £ (1p yields £7,129)	9.00p	10.00p	10.50p	11.00p	11.25p	11.50p	11.75p
Revenue reserves a % of expenditure	39.74%	38.09%	35.30%	34.44%	33.91%	33.65%	33.59%



	2015/16	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	
Capital Reserve Account	Estimated	Estimated	Estimated	Estimated	Estimated	Estimated	Estimated
	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn	Out-turn
	£	£	£	£	£	£	£
Income							
Transfer from I&E	-	-	-	-	-	-	-
Interest	500	500	500	500	500	500	500
Loan	-	-	-	-	-	-	-
Contribution to Scheme	-	-	-	-	-	-	-
Total Income	500	500	500	500	500	500	500
Expenditure							
Scheme	-	-	-	-	-	-	-
Inlet PS Refurbishment	-	-	-	-	-	-	-
Outlet PS Refurbishment	-	-	-	-	-	-	-
Rawcliffe PS Refurbishment	-	-	-	-	-	-	-
Total Expenditure	-	-	-	-	-	-	-
Surplus/(Deficit)	500	500	500	500	500	500	500
Balance Brought Forward	101,271	101,771	102,271	102,771	103,271	103,771	104,271
Balance Carried Forward	101,771	102,271	102,771	103,271	103,771	104,271	104,771

4. Engineer's Report

Recommendation(s):

1. **Members note the information contained in this report**

4.1 Asset Management

4.1.1 Pumping Stations

Inlet Pumping Station (weedscreen cleaner)

The gantry realignment works have been successfully completed however a slack rope faulty has since developed which prevented the cleaner being used in automatic. It is capable of being run manually with staff requested to attend regularly during high rainfall events until the fault has been resolved. A contractor is awaiting to attend site, date to be agreed with Pump Attendants.

Outlet Pumping Station (weedscreen cleaner)

Continues to be operated in manual mode due to the existence of an unknown intermittent fault in automatic mode.

Outlet Pumping Station (ground stabilisation and optimising gravity)

Preparation works are planned for early January by M. Gould (Scunthorpe) Ltd. with Uretex ground stabilisation works planned after 12th January.

4.1.2 Maintained Ordinary Watercourses

Further discussions are to be held with the Boards Chairman regarding the 2016/17 maintenance seasons schedule.

4.1.3 Environment Agency

Nothing to report.

4.1.4 3rd Party

Highways England

An initial report has been received back from HE setting out the scope of works to be undertaken as urgent before the end of Dec 15 and important before the end of March 2016. A reply to the report is due to be submitted and will require further discussions with HE and the works when undertaken or ongoing will be inspected.

Future commitments to work in partnership with the Board regarding maintenance of the Motorway toe drains has also been given by HE.

Network Rail

Initial feedback from Network Rail based on their own internal resource undertaking maintenance works resulted in excessively high costs, precluded local funding and resulted in the need for funding approval. In an attempt to move forward more quickly a site meeting with Network Rail and the Board's Contractor took place before Christmas, as a result the Contractor has submitted a price direct to Network Rail for their consideration, a decision from Network Rail is awaited.

4.2 Capital Works

Nothing further to report.

4.3 Planning, pre-application advice and consents

4.3.1 Planning Applications

Planning applications have been reviewed on a weekly basis and no applications have required comment on behalf of the board between 27th October 2015 and 7th January 2016.

4.3.2 Land Drainage Act 1991 Section 23 and 66 (Byelaws) Consents

No consents have been issued on behalf of the Board between 27th October 2015 and 7th January 2016

5. Environmental Officer Report

Recommendations:

- **Members note the information contained in this report**
- **Board proceeds with eel suitability upstream habitat survey (Item 5.2.2.1)**

5.1 Maintenance Issues

No issues arising

5.2 Legislation

5.2.1 Proposed Water Vole Class Licence

Any update will be given at the meeting

5.2.2 Eels (England & Wales) Regulations

The Environment Agency as Regulator has clarified its approach to regulation compliance. The Agency will continue to work with IDBs on any structure posing an obstruction to passage through the Board's scheduled programmes of work including routine maintenance and refurbishment programmes and planned capital investment programmes which allows compliance to be more cost effective.

5.2.2.1 Upstream Habitat Survey

Compliance is necessary where habitat suitable for eel is present upstream.

Quotation for habitat suitability survey of Inlet Pump Station whole catchment including invertebrate sampling has been received at £3,213.50.

Four IDB responsibility pump stations within the Shire Group have been removed from regulation compliance through lack of suitable upstream habitat.

5.3 Policy

5.3.1 BAP - Biodiversity 2020

Should the mild weather continue, BAP Actions relating to Water Vole will commence February/March.

Suitable sites for erection of Barn Owl boxes are being considered.

6. Health and Safety Report

Recommendation: Note the information contained in this report

6.1 Board Contractor

6.1.1 Accidents and Incidents

There have been no accidents or incidents to report since the last meeting.

6.1.2 Lone Worker Arrangements

Nothing to report

6.2 Glyphosate

The European Food Safety Authority has reported on the pesticide active substance glyphosate and concerns raised by the International Agency for Research on Cancer regarding potential carcinogenicity. The EFSA has concluded that glyphosate is unlikely to pose a carcinogenic hazard to humans and the evidence does not support classification with regard to its carcinogenic potential according to Regulation (EC) No 1272/2008.

The review can be found at <http://www.efsa.europa.eu/en/efsajournal/pub/4302>.

7. Date of next meeting

16 June 2016, 10 November 2016

8. APPENDIX A – Reserve Policy

Purpose:

The purpose of the Reserves policy is to maintain an adequate level of funds to support the ongoing operations of the Board and to provide a source of internal funds for operational priorities such as watercourse maintenance, pumping station running costs and repair, capital replacement and improvement programmes, opportunity and capacity building and unforeseen expenditure.

The Reserves policy will be implemented in association with other governance and financial policies of the Board and is intended to support the goals and strategies contained in these policies, and in strategic and operational plans.

Definitions:

Revenue Account Balance - Operating Balance

The Operating Balance is intended to provide an internal source of funds for the day to day management of the Board including a sudden increase in expenditure, one-time unbudgeted expenditure, unanticipated loss of funding and uninsured losses. The Operating Balance will be reviewed regularly to ensure sufficient funds are available. The Operating Balance is defined as the designated fund for the day to day management of the Board.

Capital Reserve Account Balance - Capital Balance

The Capital Balance will provide a source of funds for the capital replacement and/or improvement of pumping stations necessary for the effective operation of the Board's functions. The Board will seek to borrow funds from an appropriate source prior to the intended replacement of a major asset to fund the majority of any capital replacement programme.

Committed Sum Account Balance - Committed Reserves

The Committed Reserves are monies received solely from third parties for the future maintenance and replacement in perpetuity of an asset.

Asset Replacement Account Balance – Capital Reserves

The Capital Reserves are monies received as a result of the disposal or sale of land and buildings owned by the Board.

Goals:

Revenue Account Balance - Operating Balance

The minimum amount to be designated as Operating Balance will be an amount sufficient to maintain the annual ongoing operations and programmes of the board. Fundamentally it will be based on the accounting concept of "Going Concern" which assumes that a business entity will continue to operate in the foreseeable future without the need or intention on the part of management to liquidate the entity or to significantly curtail its operational activities.

Therefore, it is assumed that the entity will realise its assets and settle its obligations in the normal course of the business <http://accounting-simplified.com/financial-accounting/accounting-concepts-and-principles/going-concern>.

The Operating Balance will be reviewed and adjusted in response to both internal and external changes.

The target Operating Balance is equal to 50% of average operating costs. The calculation of average operating costs includes expenditure on pumping stations, watercourse maintenance, administration, other assets and borrowing charges. Depreciation, in-kind, and other non-cash expenses are not included in the calculation. The calculation of average expenditure includes any transfers to the Capital Reserve Account, but excludes any third party funded capital schemes.

The target level of the Operating Balance will be calculated each year and presented with the annual budget for approval by the Board and included in the regular financial reports (Five Year Budget Estimates).

Capital Reserve Account Balance - Capital Balance

The target amount of the Capital Balance will be determined by the capital replacement programme and be of a sufficient level to meet the Board's current and future requirements.

The amount will be calculated each year and presented with the annual budget for approval by the Board and included in the regular financial reports (Five Year Budget Estimates).

Commutated Sum Account Balance - Committed Reserves

The balance in this account will be invested to achieve the best interest rate possible until it is required for funding the replacement/refurbishment of the asset.

Any residual balance will then be invested as above to build balances in preparation for the next replacement/refurbishment.

The target amount of the Committed Reserve will be determined by the annual expenditure on undertaking the works as well as taking into account the projected future costs.

Asset Replacement Account Balance – Capital Reserves

Any proceeds of sale will be invested to achieve the best interest rate possible until required for funding the replacement/refurbishment of the Board's assets. Monies are then transferred to the Capital Balance (Capital Reserve Account)

These funds can only be used for future capital replacement works.

Accounting for Reserves:

The Board's Reserves will be recorded in the financial records as Reserves. Reserves will be held jointly with general cash and investment accounts of the Board.

Funding of Reserves:

The Operating Balance will be funded by the Agricultural ratepayers and Special Levy paying councils together with bank interest, rental and other income.

The Capital Balance will be funded by setting aside funds from the Operating Balance, public works loans, bank interest, rechargeable scheme works and grant monies.

The Committed Reserve will be funded by annual bank interest generated from the balance together with funds transferred from the Operating Balance if this is deemed necessary.

The Capital Reserve will be funded by sale of Board owned land and property together with the annual bank interest that it generates.

Use of Reserves:

Use of the Operating Balance requires three steps:

1. Identification of appropriate use of reserve funds.

The Finance Officer will prepare an annual budget for the Board that identifies the proposed income and expenditure for the forthcoming year. This step requires analysis of the current year's expenditure to date and projected out turn figures along with the following years estimate costs.

The Finance Officer will liaise closely with the Engineer and Asset Manager to verify the planned capital expenditure and additional maintenance works that will be likely in the forthcoming years.

The Board will meet to discuss the proposals and to consider any changes that are deemed necessary.

The Budget is compiled in conjunction with the Board's five year budget estimate where the future impact of the budget can be assessed to ensure it is in keeping with this Reserve Policy.

The Board will be asked to approve the budget and set the level of drainage rates for the forthcoming year.

2. Authority to use Reserves.

Refer to the Board's Financial Regulations with regard to budgetary expenditure and unplanned expenditure.

3. Reporting and monitoring.

The Finance Officer is responsible for assuring that the Reserve funds are maintained and used only as described in this Policy. Upon approval for the use of Reserve funds, the Finance Officer will maintain records of the use of funds (Budget Estimate, Five Year Budget Estimate and Annual Accounts) and plan for increases, if required. The Finance Officer will provide reports to the Board of progress to restore the Reserves to the target minimum amount, if required.

Relationship to Other Policies:

The Board maintain other approved policies, which may contain provisions that affect the creation, sufficiency, and management of the Reserve Policy. This policy will therefore adhere to these provisions.

Review of Policy:

This Policy will be reviewed in 2017 by the Board and Finance Officer, or sooner if warranted by internal or external events or changes.

Approved by the Black Drain Drainage Board at their meeting held on 21 January 2016.

Reserve Policy - Appendix A

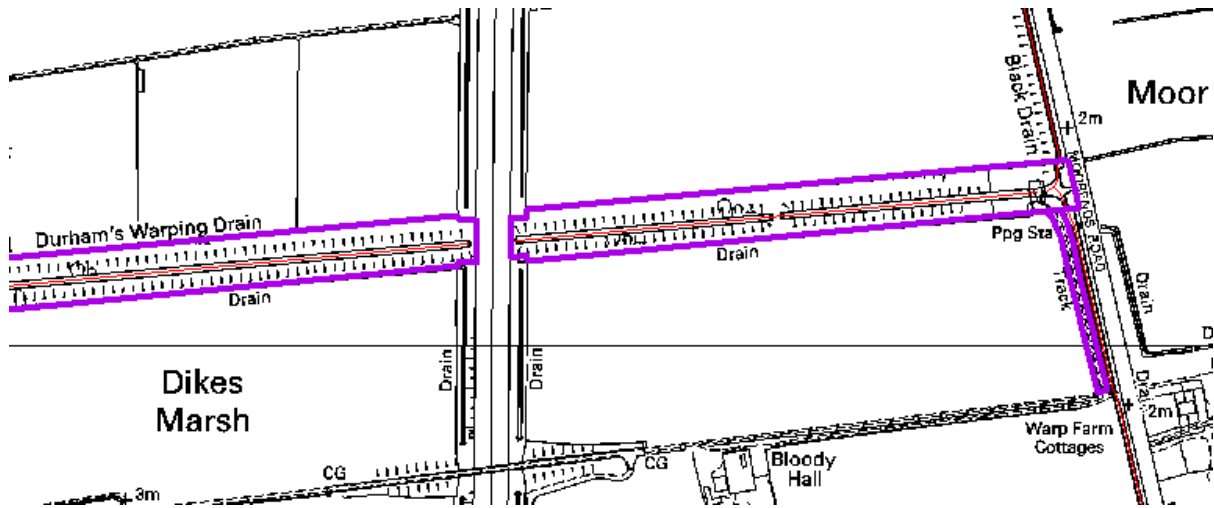
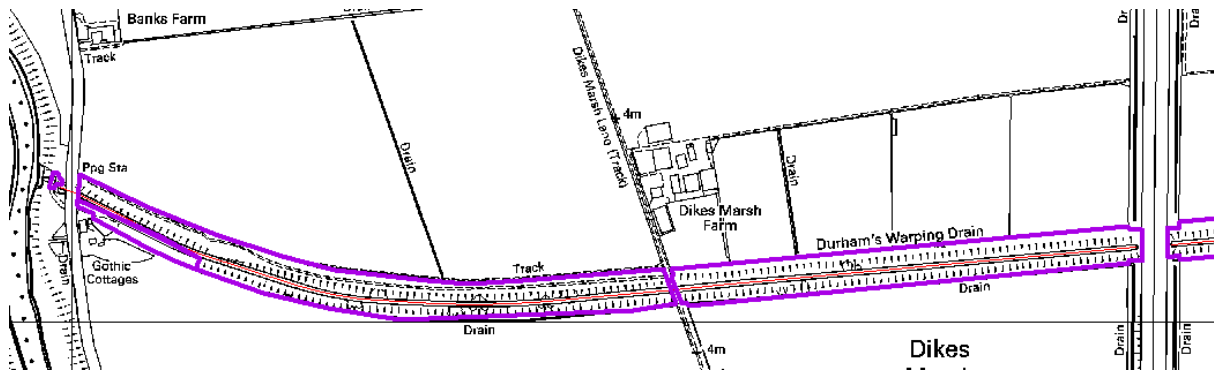
Pumping stations under the operation of the Board.

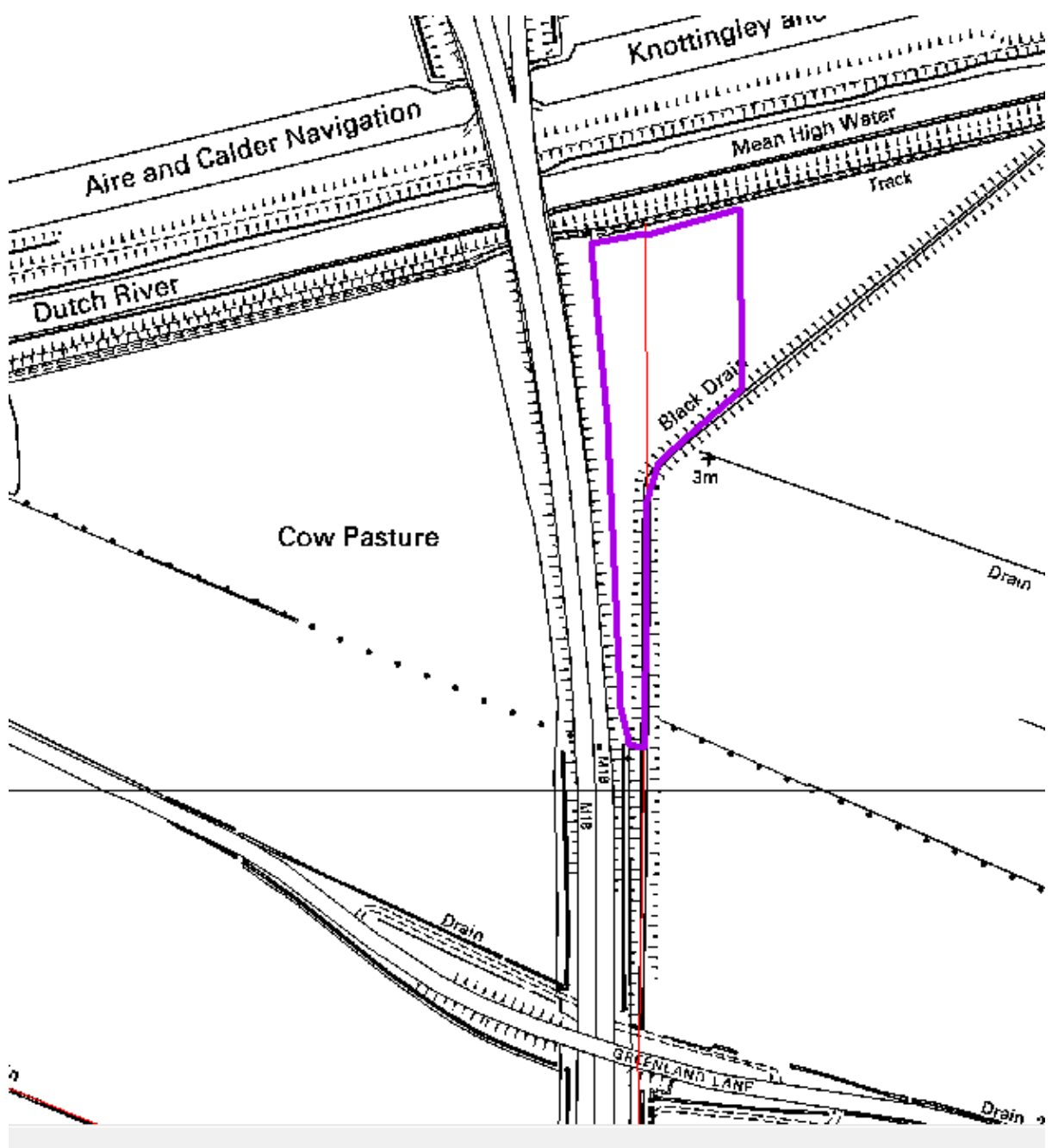
No	Pumping Station	BDDB	Highways Agency
1	Inlet	79	21
2	Outlet	79	21
3	Rawcliffe	79	21

Reserve Policy - Appendix B

Land owned by the Board

1. Durhams Warping Drain
2. Inlet Pumping Station Compound
3. Outlet Pumping Station Compound
4. Rawcliffe Bridge Pumping Station Compound





9. APPENDIX B – Minutes of the Meeting of the Audit Review Panel

**Held at JBA Consulting, Epsom House,
Monday, 23 November 2015**

Present:	Mr Adrian Black	Scunthorpe & Gainsborough WMB
	Mr David Hinchcliffe (standing in for Mr Martin Oldknow)	Black Drain Drainage Board
	Mrs Veronica Chapman	Doncaster East IDB
	Mr Andy Cane	Brodericks GBC

In Attendance on behalf of JBA Consulting:

Mr Craig Benson (Senior Financial Officer to the Shire Group of IDBs)
Mr Mark Joynes (Financial Officer to the Shire Group of IDBs)
Mr David Blake (Financial Officer to the Shire Group of IDBs)

Introductions and Apologies for Absence

Apologies for Absence were received from Christopher Day, Mr Peter Horne, Mr Steve Lomas, Mr Martin Oldknow, and Cllr. RM Sutherland.

Minutes of the Last Meeting/Matters Arising

The panel approved the minutes as a true and fair record with no matters arising.

Paperless Accounting Systems & Electronic Payment Systems

David Blake set out the work done and the position of the Shire Group officers. He explained that dealing with large volumes of paper invoices is both time-consuming and inefficient. He also set out some of the advantages of electronic filing systems, including tighter controls, better time-efficiency and a better audit trail. He advised the panel that the team had obtained quotes from various service providers and were currently preparing a business case.

David Hinchcliffe raised concerns about the use of emails to send confidential/commercially sensitive information. Craig Benson gave a brief outline of the current process, pointing out that the smaller Shire Group members still use cheques. The panel discussed whether it was worthwhile the smaller members adopting electronic payment systems. Craig Benson pointed out Lloyds bank plc are not currently charging for online banking facilities. The finance officers explained payments are made through a secure online facility, requiring passwords, pin sentries, etc. The only information sent by email are schedules of the invoices to be paid and scans of the invoices themselves, though Adrian Black pointed out that many supplier invoices contain beneficiary bank details. David Blake gave a brief description of the controls currently in place to prevent fraud and error.

Risk Register

The finance officers explained the register had been updated in November 2015 and adjustments to dates were shown as highlighted. Inserted text was shown as underlined and Craig Benson suggested new text ought to be highlighted also. The panel discussed the following items before approving the document.

Training Seminars

Adrian Black enquired whether the training seminars had proved useful. Craig Benson pointed out that DEFRA had recommended the boards carry out such training sessions and that they had indeed proved very useful. He also pointed out that the sessions were open to all members. David Hinchcliffe felt the sessions were a good idea and would like to see them rolled out to other boards including Black Drain Drainage Board. Craig Benson said the intention was to roll out the program with the possibility of joint boards, drawing attention to the benefits of different views being heard. Veronica Chapman said the sessions were generally very good although not particularly well attended, wondering if some members felt they didn't need or want training.

Register of Members' Interests

Adrian Black enquired how often the register is updated. Craig Benson said members should advise Shire Group officers whenever there are any changes so the register may be updated. He further suggested a reminder could be included in the boards' meeting papers every year.

Internal Auditor's Report

The internal auditor reviewed the work undertaken on the 2014/15 accounts. In general, the internal auditor was satisfied with how things are running. The panel discussed the following points:

Decision Making

Once again the panel noted this issue had been raised in all eight reports, emphasising the danger of decisions being taken without appropriate input from the financiers. The auditor acknowledged it was not possible to force members to attend but expressed concern that the % split in members attending did not reflect the % split in the boards' constitutions, between elected and nominated members. Adrian Black said this was a difficult issue, and that boards could hardly throw out selected members at meetings in order to achieve a particular % split. Craig Benson said it is important to encourage members to attend. He said DEFRA are not particularly looking at this issue at the moment but it is likely to rumble on and on. David Hinchcliffe expressed concern at poor attendance and pointed out the different, important skills that elected and nominated members bring. Veronica Chapman said she had always lauded IDBs and recommended all members definitely attend, though she acknowledged that members have other meetings, engagements, etc. to consider. In summary the internal auditor remarked this was an easy matter to bring up but a difficult one to resolve.

Reserves Policy

The panel discussed the reasonableness of reserves policy. Craig Benson said they were flexible and this is an ongoing issue. Adrian Black suggested having a policy 'set in stone' is the worst thing to do. Veronica Chapman pointed out the difficulties of new bodies adopting such policies.

Unsigned Cheques

The internal auditor reported this was an issue they had closely investigated, not only authorisations on cheque payments but also online payments. David Hinchcliffe expressed concern that the bankers no longer employ stringent checks when processing cheque payments. Craig Benson said the onus was on signatories and Shire Group officers to carry out their own checks.

Future Audits

The internal auditor asked if there were any areas the panel would particularly like to be covered when planning subsequent audits. Adrian Black suggested direct debit payments could be reviewed, as the chairman doesn't generally see these items. Craig Benson said that, according to financial regulations, officers have the right to approve budgeted expenditure, but that this was contradicted elsewhere in the regulations, in that officers are restricted in the amounts they can authorise. Adrian Black pointed out the restrictions on bank mandates are also likely to prove an obstruction.

External Auditor's Report

The Annual Returns were reviewed by the panel and more specifically the External Auditors' comments. The following matters were discussed.

Treatment of Fixed Assets

The panel discussed the new practitioners' guide which sets out valuation methods for fixed assets. Members expressed concern about the creation of new revaluation reserves and the danger of this artificially increasing the boards' reserves. Andy Cane stressed new items on the balance sheet could not be regarded as 'cash'. Craig Benson reminded the panel that detailed guidelines had not yet been published. David Hinchcliffe noted that government grants were not as available as they may have been in previous times. The internal auditor advised the boards' should not adopt a policy of depreciating their fixed assets as this would only increase the danger of users misunderstanding the financial statements, and that depreciation amounted to little more than guesswork. Adrian Black recalled the time Scunthorpe IDB used depreciation and the confusion it caused. Craig Benson recalled the Dun Drainage Commissioners' use of 'negative budgeting' in order to allow for depreciation. The panel were in agreement the boards should not depreciate their fixed assets.

Future Audits

Craig Benson advised the panel the officers will continue to work closely with the internal auditors and will continue to comply with regulations. He noted the information sent to external audits is minimal, and that the boards can incur fines for sending too much information. He wondered how an external audit can realistically carry out an audit without ever having sight of the accounts. It was assumed the external auditor places heavy reliance on the findings of the internal auditor. David Hinchcliffe noted that the nature of audit had changed much over recent years. Craig Benson informed the panel the boards will have some choice in appointing external auditors going forward, and that the Association of Drainage Authorities are currently drafting guidelines. He suggested there was no need to change auditors and recalled the time when there were five separate auditors working on Shire Group members' accounts. Adrian Black agreed more auditors could create more problems.

Any Other Business

Internal Audit Contract

Craig Benson advised the panel the contract with the current internal auditor was under review. He stressed he was very happy with the internal auditors who had submitted tenders and that a decision would be announced at the January/February 2016 board meetings.

Date of Next Meeting and Close of Meeting

The finance officers thanked members for attending and, in particular, encouraged David Hinchcliffe to attend subsequent meetings. The next meeting of the panel will be held on Monday, 28 November 2015 at 10.00am at JBA Consulting, Epsom House, Redhouse Interchange, Doncaster, DN6 7FE.

10. APPENDIX C - Risk Register

Introduction

All organisations face risks from both fraud and error. They are compelled to have in place a robust system of internal controls to prevent & detect such occurrences, thus safeguarding against these risks. The main types of risks facing the organisation are:

- Governance
- Operational
- Financial
- External
- Compliance with law and regulation

Risk Registers

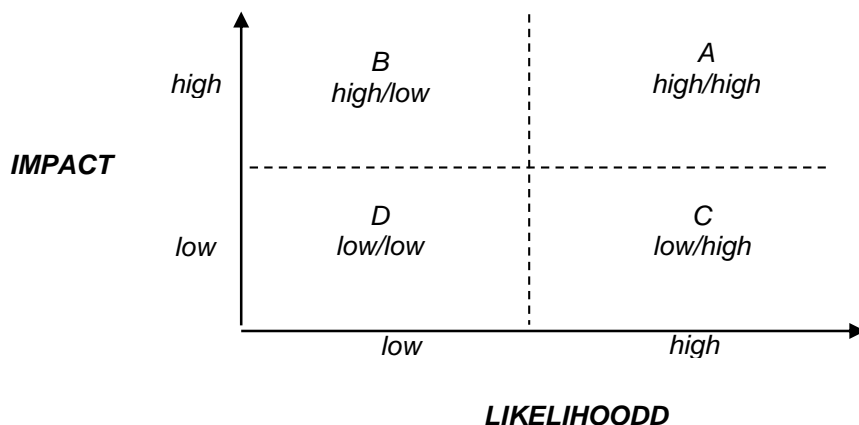
A crucial risk management tool is the Risk Register. Maintaining such a register helps an organisation operate more efficiently. It will help the organisation achieve its goals and help to ensure that undesirable events do not occur, or at least to ensure that the risk of occurrence is reduced to an acceptably low level.

The original register was drafted by the internal auditor. It is reviewed & updated by the clerks and internal auditor every year, with any changes from the previous year marked in red.

Note that the all the boards are required to approve the register individually. Any points made or queries raised by this panel will be reported to all the boards.

Risk Mapping

The areas of risk are categorised in terms of both likelihood of occurrence, and impact in the event should they occur. They are graded from A to D accordingly:



A = Immediate action

B = Consider action and have a contingency plan

C/D = Consider action or keep under periodic review

The Register

The register can be found on the following pages. It was updated in November 2015

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
Governance - Members & Management								
Question 1 - Does the Board Lack Direction?								
1. a)	B	High	Low	1.1	Each board has a policy statement on Flood Protection and Water Level Management. These fall short of full Strategic Plan. All Boards have Biodiversity Action Plans. ADA standard model policies utilized to adopt an application. By default the constitution follows the provisions laid down in the Land Drainage Acts.	<u>31/03/2016</u>	ongoing	<u>31/03/2015</u>
1. b)	B	High	Low	1.2	Budgets follow sound logical principles. Approved by each IDB.	<u>15/02/2016</u>	annual (Jan/Feb)	<u>30/10/2015</u>
1. c)	B	High	Low	1.3	Daily, weekly, Monthly and Quarterly totals considered by Financial Officers on an ongoing basis that these are in accordance in general terms with budget. Evidence of budget monitoring approved by IDBs. Budget review document signed each month with comments.	<u>Ongoing</u>	ongoing	<u>30/10/2015</u>
1. d)	B	High	Low	1.4	Operational performance considered and updated at Board meetings as appropriate.	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
					Ratepayers know Board members. (Names of all Board members to be added to Shire Group website)	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
					Feedback to board of praise /criticism via member. Complaints procedure documented and available on website.	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
Members & Management								
Question 2 - Do officials/members lack relevant skills or commitments?								
2. a)	D	Low	Low	2.1	Land Drainage Act provides for election of members every 3rd Year. Generally recruitment is via word of mouth from existing members and landowners who have been affected by the boards' policies in order to represent their interests.	31/03/2008	29/03/2008	<u>31/10/2015</u>
					Nomination papers are prescribed by the LDA 1991 and available on the website.	31/03/2013	<u>30/09/2015</u>	<u>30/09/2015</u>
2. b)	D	Low	Low	2.2	Qualifications for membership laid down by LDA 1991. See reverse side of nomination paper.	31/08/2014	29/03/2014	<u>1/04/2015</u>
	C	Low	High		Council to nominate people as they consider appropriate			
2. c)	C	Low	High	2.3	Ian Benn is a member of the ADA Technical & Environmental Committee. He attends a forum of local Clerks approx 3 times per year together with The Association of Drainage Authorities annual conference. Regular updates from Association of Drainage Authorities. <u>Training seminars on legislation, responsibilities, ethics, etc. are being delivered</u>	31/03/2016	<u>19/06/2015</u>	<u>6/11/2015</u>
Question 3 - Does the Board lack appropriate composition?								
3. a)	D	Low	Low	3.1	Standing Orders and Financial Regulations renewed are reviewed and renewed. To be approved by DEFRA.	31/03/2015	ongoing	<u>6/11/2015</u>
3. b)	D	Low	Low	3.2	Minutes and agenda thereto states Board Members are advised to declare a pecuniary or non pecuniary interest on any item in the agenda. Register of Members' Interested for are completed. Register of interests compiled	31/03/2015	ongoing	<u>31/03/2015</u>

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
3. c) Is there a procedural framework for meetings and recording decisions?	D	Low	Low	3.3	LDA and Clerk to arrange programme of meetings.	31/03/2008	ongoing	7/07/2014
3. d) Is there a procedural framework for dealing with conflicts of interest?	B	High	Low		As 3) above	31/03/2015	ongoing	7/07/2014
3. e) Is there the legal authority to pay expenses?	D	Low	Low		Not for Board meetings, conferences only.	31/03/2008	31/03/2008	7/07/2014
3. f) Is there a remuneration policy?	D	Low	Low		No remuneration policy in place. Boards may pay a chairman's honorarium at their discretion.	31/03/2008	31/03/2008	7/07/2014

Members & Management

Question 4 - Is There an Adequate & Informed Organisational Structure?

4. a) Is there an education programme with regard to the law?	D	Low	Low		See 2. b) above	31/03/2015	ongoing	<u>31/03/2015</u>
4. b) Is there an organisation chart clearly stating roles, duties and lines of communication?	D	Low	Low		In general on website	31/03/2015	ongoing	<u>31/03/2015</u>
4. c) Is there a monitoring process carried out?	D	Low	Low		JBA Procedures	31/03/2008	ongoing	<u>31/03/2015</u>
4. d) Is there a review of structure?	D	Low	Low		JBA procedures. IDB Division established in line with DEFRA requirements.	1/01/2009	1/01/2009	<u>31/03/2015</u>
4. e) Is there a competence framework?	B	High	Low		Job descriptions are written from the prospective of an engineering company which do not reflect duties specific to an IDB. Prescriptive Job Descriptions written for each team member. These are in progress. (reviewed annually)	31/03/2015	ongoing	<u>31/03/2015</u>

Question 5 - Is there a lack of succession planning? Can experience and skills be lost, and corporate contract/operational impact be lost?

5. a) Is there succession planning?	B	High	Low	13.1	Good balance of knowledge and skills appropriately segregated. Procedures being documented.	31/03/2015	ongoing	<u>31/03/2015</u>
5. b) Are there appropriate notice periods for changeover?	B	High	Low	13.1	All IDB Division Staff have a permanent contract with JBA Consulting.	31/03/2008	11/09/2014	<u>31/03/2015</u>
5. c) Are there training programs in place?	B	High	Low		Ongoing on the job training of key staff occurring.	31/03/2015	ongoing	<u>31/03/2015</u>

Question 6 - Is the reporting process adequate?

6. a) Is there timely and accurate project reporting?	D	Low	Low		Progress on capital schemes is reported regularly at Board meetings	31/03/2015	ongoing	<u>6/11/2015</u>
6. b) Is there timely and accurate financial reporting?	D	Low	Low		Estimates Jan/Feb, Accounts May/June	31/03/2015	annually	<u>6/11/2015</u>
6. c) Is there a budget setting process?	D	Low	Low		Yes. Laid down by LDA.	31/03/2015	annually	<u>15/02/2015</u>
6. d) Is there proper project assessment?	D	Low	Low		Grant-aided scheme - PAB Approval. Non grant-aided - report to the board.	31/03/2015	ongoing	<u>31/03/2015</u>
6. e) Is there regular contact between board and management?	D	Low	Low		Regular Board meetings	31/03/2015	ongoing	<u>6/11/2015</u>

Operational Risk

Question 7 - Are there any risks associated with the provision of services?

7. a) Is there a quality control procedure?	D	Low	Low		Duty of Care as Board Member	31/03/2008	31/03/2008	<u>19/06/2015</u>
7. b) Is there a complaints procedure?	B	High	Low		Website - Shire Group of Internal Drainage Boards	31/03/2008	31/03/2008	<u>6/11/2015</u>
7. c) Is there a policy to raise public awareness and profile?	D	Low	Low		Website - Shire Group of Internal Drainage Boards	31/03/2008	ongoing	<u>31/03/2015</u>

Question 8 - Is there a risk of supplier dependency?

D

Appendix C - Risk Register

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
8. a) Are there procedures for obtaining quotations/periodic review of suppliers' charges?	B	High	Low	8.1	Three tier system	31/03/2008	31/03/2008	<u>6/11/2015</u>
8. b) Is there an authorised suppliers list?	D	Low	Low		JBA carry out all quality assurance on all contractors. Approved contractor list circulated as appropriate and approved by the board	31/03/2015	ongoing	<u>31/03/2015</u>
8. c) Is there a monitoring process over the quality and timing of bought in services?	B	High	Low	8.1	JBA administers all tendering processes and timing.	31/03/2015	ongoing	7/07/2014
Question 9 - Is there a risk that capital resources are under utilised?								
9. a) Is there a building and plant inspection programme?	B	High	Low	8.2	Program in place.	31/03/2015	annually	<u>31/03/2015</u>
9. b) Is there a repair and maintenance programme?	D	Low	Low	8.2	Repairs undertaken as required and approved at board meeting and general review to consider replacement option.	31/03/2015	annually	<u>31/03/2015</u>
9. c) Is there a capital expenditure budget?	B	High	Low	8.2	JBA prepare and update for each meeting a 5 year capital programme for IDBs.	31/03/2015	annually	<u>31/03/2015</u>
9. d) Is there a review of security and safe custody arrangements?	B	High	Low	8.2	Boards with plant have secure depots .	31/03/2015	ongoing	<u>31/03/2015</u>
9. e) Are there insurance reviews?	B	High	Low	8.2	Towergate Insurance annually review all eight Board policies. IDB supplied with details.	31/03/2014	annually	26/03/2015
Question - 10 Is there a risk of employment disputes due to injury, unfair dismissal, equal opportunities, in appropriate training etc., or a high staff turnover?								
10. a) Is there a recruitment process for appropriate staff?	D	Low	Low	10.1	Interview Questionnaire	31/03/2008	ongoing	<u>27/08/2015</u>
10. b) Is there a policy to check references and qualifications?	B	High	Low	10.2	Written references obtained when new employees are engaged.	31/03/2008	ongoing	7/07/2014
10. c) Is there an equal opportunities policy – fair and open competitions for key posts?	B	High	Low	10.3	No formal policy in place. Abide by current statute	31/03/2015	ongoing	7/07/2014
10. d) Is there a policy of appraisal with feedback?	D	Low	Low		No current formal appraisal policy	31/03/2015	ongoing	7/07/2014
10. e) Is there a policy of training and development?	D	Low	Low	10.4	Schedule of training needs via the asset manager	31/03/2010	31/03/2010	7/07/2014
10. f) Is there a health and safety training and monitoring?	D	Low	Low	10.4	As 10. e) above	31/03/2015	ongoing	7/07/2014
10. g) Is there a job description for each key position?	D	Low	Low	10.5	Job specifications in place for recent appointments.	31/03/2015	ongoing	7/07/2014
10. h) Is there a policy of review of rates of pay, training, working conditions etc.?	B	High	Low		Rates increased in accordance with Association of Drainage Authority guidelines.	31/03/2008	annually	7/07/2014
10. i) Are there contracts of employment?	B	High	Low	10.6	Contracts of employment in place	31/03/2008	31/03/2008	7/07/2014
Question 11 - Are there risks of loss of information and continuity?								
11. a) Is there a disaster recovery plan	B	High	Low	11.1	Backup tapes <u>kept off site</u>	31/03/2018	daily	<u>31/03/2015</u>
11. b) Is there a policy of taking and sharing data off site?	B	High	Low	11.1	As 11. a) above			
11. c) Is there Insurance cover? Is it regularly reviewed?	B	High	Low		see 9. e) above	31/03/2015	31/03/2014	<u>26/03/2015</u>
Question 12 - Is there a risk of lack of awareness of procedures and policies?								
12. a) Is there a proper documentation of procedures and policies?	B	High	Low	12.1	Recommend that policies be documented at the earliest opportunity. These are in progress.	<u>31/03/2016</u>	ongoing	<u>31/10/2015</u>
	D							

Financial Risks

Question 13 - Is there a risk of loss of control through an inadequate budget process?

Appendix C - Risk Register

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
13. a) Is there a budget linked to planning and objectives?	B	High	Low		See 1. b) above	31/03/2015	ongoing	<u>6/11/2015</u>
13. b) Is the budget regularly reviewed and monitored?	B	High	Low		See 1. c) above	31/03/2015	ongoing	<u>6/11/2015</u>
13. c) Is there a monitored and adequate skill base to interpret the information?	B	High	Low		Team members both experienced and suitably qualified	31/03/2015	ongoing	<u>6/11/2015</u>
13. d) Is there an indication of major dependencies on income sources?	B	High	Low		Highlights requirements of DEFRA Grants and/or Public Works Loans (Capital works)	31/03/2015	ongoing	<u>6/11/2015</u>

Question 14 - Is there a risk of lack of liquidity due to inadequate reserves?

14. a) Is there a reserves policy linked to business plans and identified risks?	B	High	Low		To enable the operational existence of the Drainage Board year-on-year for the foreseeable future.	31/03/2015	ongoing	<u>31/03/2015</u>
14. b) Is there a regular review of the reserves policy?	B	High	Low		As 14. a) above	31/03/2014		<u>31/03/2015</u>
14. c) Is there a fair reflection of the financial integrity of the Boards reserves?	B	High	Low		Presentation of balances within accounts is consistent with associated effects on stated reserves. Recommend review of presentation of Balance Sheet in conjunction with Reserves Policy. This is ongoing.	31/03/2015	ongoing	<u>24/06/2015</u>

External Risks / Compliance with the Law

Question 15 - Is there a risk associated with non-compliance with the law or other external factors?

15. a) Is there a policy of review of the legal requirements extending to the organisation/professional opinion sought re:					Boards contractual.			
<ul style="list-style-type: none"> ● Employment Law? ● Human Rights Legislation? ● Health & Safety? ● Criminal Acts? 	B	High	Low		Equal Opportunities policies in existence.	31/03/2008	31/03/2008	<u>30/10/2015</u>
					Ian Benn/Craig Benson Health & Safety Advisors. Disciplinary Procedures.			
15. b) Is there a policy for monitoring and reporting grant funders' conditions?	B	High	Low		Depends on the scheme. Monitored generally by the project manager	31/03/2015	ongoing	<u>30/10/2015</u>

11. APPENDIX D – ADA Press Statements

Copies of the statements can be found over the following pages.



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Press Statement from the Association of Drainage Authorities

31 Dec 2015 – for immediate release

The Association of Drainage Authorities (ADA) is the association for water level management organisations in the United Kingdom, with over 230 members.

Following the recent weather events, the Association's members have every sympathy with the people living in those areas affected by flooding, notably in the Yorkshire, Lancashire and Cumbria areas of the country.

Offers of staff and resource assistance from a number of Yorkshire Internal Drainage Boards have been extended to the Environment Agency following the Boxing Day flooding. Innes Thomson, ADA's Chief Executive commented, " Flooding has yet again caused significant misery to many people across the north and west of the country and we must accelerate our review of water level and flood risk management to much more fully encompass the idea of a catchment-wide approach, working more closely in partnership and properly managing and maintaining the rivers and structures that we already have ". He continued " We need to invest in proper resources and skills to manage water and think much more innovatively about how we work with water and all the component parts of a river catchment to provide that additional flood (and drought) resilience needed "

Ahead of these damaging floods, the Association of Drainage Authorities has been actively engaged in discussing the future of water level management with Government and other relevant flood risk management partners, as well as working with other associations and bodies to stimulate new thinking and action to make this country more resilient to the kinds of event that we have just experienced.

In asking the question " Are these flood events the new norm ? ", ADA are asking government to act on the following six points;

The membership body for water level management

Member of the European Union of Water Management Associations

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- 1. Water levels and flood risk should be managed on a whole life approach.**
- 2. Investment for maintenance should be increased and determined on a multiyear basis.**
- 3. The Government's six-year capital investment programme should remain in place and be balanced against increased maintenance spending.**
- 4. Where Government withdraws from work because it is not cost effective under their funding formula, they should 'invest to save' so that local communities can take greater ownership of water level management assets and operations, through devolved accountability and decision making.**
- 5. Encourage land managers to contribute toward, and play a part in, flood risk management delivery.**
- 6. Support investment in water level and flood risk management innovation to enable new techniques to develop that allow us to adapt to our changing climate.**

A more detailed summary of the case presented to Government is attached to this statement, for background information and referencing.

For further information on the value of water level management to our social and economic wellbeing, please refer to ADA's website at www.ada.org.uk

End of Statement



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Time to adopt a catchment approach to Water Level Management

By: Eur Ing J Innes Thomson BSc CEng FICE

Chief Executive, Association of Drainage Authorities.

The consequences of us not doing enough to work with the forces of nature have, once again, become all too evident in the past few weeks with peoples' lives being turned upside down, businesses threatened and critical infrastructure damaged. The Association of Drainage Authorities has for many years been arguing the case for prioritising what we need to do to manage water in this country, starting with making sure that our river and drainage systems are all in a good state of maintenance and repair. Yes, we also need to update and renew flood defences which are at the end of their lives but we must accept that we will never stop flooding. Successive governments come up with political statements about not letting this sort of thing happen again, but it will, somewhere and at some point in time.

Our understanding of how we can live, work with and manage the variety of climatic events that can so easily devastate peoples' lives, damage our environment and hurt our economic wellbeing, now requires renewed and innovative thinking. Rightly so, we focus our attention on those areas most at risk of flooding. We have also channelled spending on flood defences in those areas, only to see them overwhelmed by the most recent flood events. Now is the time for us to look at a catchment-wide approach to managing water from the highest points in our hills and mountains to our estuaries and lowland areas. River catchments are like trees with many branches leading into a main trunk. The tree survives on all its component parts working together and the same applies for our river catchments.

We also operate to a set of rules about how we provide funding for our flood defences, their operation and maintenance. This is split into two streams known as capital and revenue funding. Traditionally, government Treasury officials have a liking for capital spending because the results of that spending are visible and help gain a degree of popularity with whoever the government of the day is. Revenue spending is far less attractive because it involves paying for staff and resources which, whilst being vitally important for keeping water levels under control, is often not nearly as visible and is used as an easy scapegoat for making savings.

We need to reverse that trend and accept that a sensible balance of capital and revenue spending across our river catchments is now essential and that all water level managers (the Environment Agency, Local Authorities and Internal Drainage Boards) are provided with revenue funding to allow them to properly maintain our watercourses. Such a move will also encourage private funding and investment over time.

Looking at our catchments, there are many variables at play, and sources of water such as river water, surface water, ground water and, of course, our sewage systems. In coastal areas, we also need to consider the risks of tidal flooding. There are also a number of managers of those various sources of water and increasingly, they are working together to co-ordinate a single catchment management plan, but we have still have a long

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way to go. Kneejerk reaction is natural but a carefully considered plan calling on the country's technical experts to have a full, proper and innovative review of our options is now needed.

ADA are calling for a number of subjects which we can and must consider more carefully moving forward, namely;

- Water levels and flood risk should be managed on a whole life approach.
- Investment for maintenance should be increased and determined on a multiyear basis.
- The Government's six-year capital investment programme should remain in place and be balanced against increased maintenance spending.
- Where Government withdraws from work because it is not cost effective under their funding formula, they should 'invest to save' so that local communities can take greater ownership of water level management assets and operations, through devolved accountability and decision making.
- Encourage land managers to contribute toward, and play a part in, flood risk management delivery.
- Support investment in water level and flood risk management innovation to enable new techniques to develop that allow us to adapt to our changing climate.

With added impetus, The Association of Drainage Authorities will be continuing to work hard with its members, a range of partners and government to promote this renewed thinking and for further information on the value of water level management to our social and economic wellbeing, please refer to ADA's website at www.ada.org.uk for further information.

31 December 2015



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