



**Shire**  
Group of IDBs

**Scunthorpe & Gainsborough  
WMB Grange Park Golf Club  
Messingham  
Scunthorpe, DN17 3PP**

## **Meeting *Papers***

***6 February 2017***

***2:00pm***


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## Meeting Papers

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## Purpose

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# 1. Governance

## Recommendation:

- Note the information contained in this report

## 1.1 Apologies for Absence

## 1.2 Declaration of Interest

## 1.3 Minutes of the Meeting held 14 November 2016

<b>Present</b>	Adrian Black (Chairman)	AB
	Chris Black	CB
	Dave Barratt	DB
	Frank Bottamley	FB
	Rod Chapman	RC
	John Collinson	JC
	Jonathan Jackson	JJ
	Benjamin Jackson	BJ
	Jeff Summers	JS
	Margaret Armingier	MA
	Pat Mewies	PM
	Ralph Ogg	RO
	David Templeton	DT

### In attendance on behalf of JBA Consulting, Clerk, Engineer and Environmental Officer:

Ian Benn (Clerk)	CI
Craig Benson (Finance Officer)	FO
Paul Jones (Engineer)	Eng
Alison Briggs (Environment Officer)	EO
Malcolm Muscroft (Engineer)	Eng2

### Apologies for Absence

**2016.60** Apologies for absence were received from John Coggan, David Forrington, Helen Rowson, Trevor Foster.

### Declaration of Interest

**2016.61** AB, CB, DB, JJ, BJ and RO in Agenda Item 2.2.1. JBA Consulting in matter to be raised under AOB.

### Minutes of the Last Meeting

Minutes of the meeting held 13 June 2016, copies of which had been circulated previously to members were considered by the Board and were agreed as a true record. **Proposed signed by the Chairman by JJ, seconded CB, all in agreement.**

### Matters Arising

**2016.62** AB advised Members of a site visit following the continued complaint regarding rabbit emanating from Board owned land at Healeys Drain. The complainants attended the site visit, suggesting the land should be fencing off at Board expense or indicating their interest in purchasing the land at nominal value. The EO advised scrutiny of past minutes revealed purchase of the brick yard, at market value at the time, was part of a

larger scheme for the Burringham catchment and the brick pit formed part of the Reservoir. Water from the drain had overspilt as intended during 2012. There is no facility to pass water back into the system, it passes into groundwater as conditions allow. JJ suggested the Board retain the land, it was part of a specific scheme. The Board should not sell something for nominal fee unless there are large benefits to the Board in doing so. Members noted the lack of evidence of rabbit damage and comments made by surrounding landowners. All noted the Brick Pit and the drain banks have the benefit of a shooting licence for rabbit control. Natural England appears satisfied as to the actions taken by the Board. JJ confirmed adjacent field had no issue with rabbit. CB suggested it not an easy area to fence without causing maintenance difficulties. The EO advised the banks were part of the designated reservoir system. Members noted the complainant unlikely agree the issue dealt with to their satisfaction however no rabbit damage evident. **RESOLVED to revisit the site next year when there may be evidence of rabbit damage to be seen.**

#### Complaints

**2016.63** As noted in the papers relating to Minute 2016.62.

#### CEO's Report

The CEO's report, copies of which had been circulated to members was considered. The Clerk advised report mainly for information.

#### Board website

**2016.64** Noted it was hoped the website would go live next week.

#### Defra

**2016.65** EFRA Committee report available on Board website. Clerk reiterated importance of the report which promoted establishment of a new Flood Commissioner, new Regional Flood and Coastal Boards rather than Committees a new English Rivers and Coastal Authority. It was noted IDBs were referred to as part of the Local Solution. Chair of EFRA will be speaking at the ADA Conference.

#### Environment Agency

**2016.66** Humber FRM Strategy also available on website. Member RC and Clerk both sit on the Humber FRM Board; Shire Group represents 8 Boards affected by the Strategy. Boundary has increased to cover the full tidal extent to Gainsborough, Doncaster and Selby. Noted funding could be diluted due to extended boundaries. Clerk suggested Board may wish to consider hydraulic model of its whole district, similar work being undertaken by Danvm DC and Doncaster East IDB providing the Board with evidence to support its decision making in the future.

#### ADA

**2016.67** Noted work being undertaken by ADA Committees and date of ADA Conference.

#### Policy

**2016.68** Clerk advised Agenda item following request from Board Member as noted at Minute 2016.57. The EO had prepared considerable information through Options available at Appendix A requiring resolution. JJ advised all ratepayers understand the benefit of the Board undertaking maintenance. **AB proposed following consideration of the information the Board continues to undertake maintenance without consideration for crop loss payments, seconded JJ.** CB advised in the former Messingham and Scunthorpe districts this had never been an issue. Noted the issue was raised by Board Member. The Eng. advised previous contractor to Board doubled rates when contract went out for tender, issues may have been linked to going back and forth into district to undertake drain maintenance. Noted another IDB has list of rates linked to futures prices, reviewed annually. BJ advised legislation already provides procedure for a landowner suffering injury. JS suggested if anyone has damage they make a claim. **Original proposal by AB repeated, already seconded, all members in agreement.**

### Isle of Axholme Strategy

- 2016.69** Noted LEPs may plan a part in funding this with business case support. Sheffield, Humberside and Derby LEPS also affect the strategy closer to Doncaster, does not appear to be standard criteria used by LEPs. Agreed IDBs to be the right RMA to deliver within the Strategy area.

### North Lincs FRM Board – EA Update

- 2016.70** Rod Chapman delivered presentation on North Lincs Local FRM Strategy as required of the LLFA under FWMA 2010. Members noted the statutory duties to cooperate and arrange that cooperation through meetings attended by IDB Clerk. LLFA responsible for investigations for all types of flooding, to maintain register of assets and publish significant drainage assets. LLFA can designate infrastructure offering flood risk benefits and consider land drainage act consent and enforcement outside IDB District. Drainage department is now statutory consultee on planning applications, this is referred to in EFRA Committee report. Local FRM strategy is reference to local flood sources, not the local area – surface run off, ground water and flooding from ordinary watercourses. Strategy must be reviewed every 6 years. Funding and Delivery of local FRM Strategy is challenging.

### Financial Report

The Financial Report, copies of which had been circulated to members was considered.

### Matters Arising

- 2016.71** Rating Report – £19,400 outstanding as of date of meeting, £16,000 of which represents an instalment payment.
- 2016.72** Audit – Internal Audit – area of risk is attendance of nominated members ensuring correct decision making balance.
- 2016.73** List of Cheques and Payments – Members agreed list of payments from account totalling £354,711.70 of which £15,243.08 had been approved by the Clerk. **DT proposed a true record of payments for signature by Chairman, seconded AC, all in agreement.**
- 2016.74** Budget comparison – noted budget was where expected at this time of year.
- 2016.75** 5-year budget estimate – noted predicted 5% increase in rate over next 5-year period.

### Engineer Report

The Engineer Report, copies of which had been circulated to members with the Meeting papers, was considered. The Engineer advised his report for information with some updates.

### Asset Management

- 2016.76** Ravensfleet PS – Eng2 gave presentation on Ravensfleet. Jenny Hurn, Whoofer and Susworth and rationalisation into 1 pumped catchment. Noted stations all on 6 year MTP. Conducted open day at Ravensfleet to present early information to interested parties recently, the model is in place and currently running scenarios. Advised, as hoped, it was possible to combine Ravensfleet, Whoofer and Jenny Hurn catchments; land levels all similar, naturally without intervention, Jenny Hurn would drain back to Ravensfleet. Looking at lowering Catchwater Drain and connecting in with Ravensfleet to same level. Water levels in large events would drop considerably. Majority of that catchment is at risk from overtopping from Laughton Highland Drain overtopping at low levels. Possibility of joining Laughton and Catchwater where they come close together, connecting both would bring more through Ravensfleet PS. Combine drainage systems to feed into Ravensfleet would result in large catchment being managed more effectively than at present. Capital provision for spending at Ravensfleet within this financial year, need to discuss with Agency and the Board's contribution to move into next financial year at which point all information should be available on which Board can make decisions. CB questioned provision for holding water back at Laughton for storage? Advised possible near Shooting Club. Laughton outfall is only managing day to day flows on a superficial level. Both outfalls require balance in terms of cost of outfall maintenance to achieve gravity flow with costs of additional pumping making one catchment financially

more attractive. DB sceptical on levels. Eng2 advised Ravensfleet pumps just over 55 cubic metres per month under normal conditions, 1.8 million cubic metres in a wet month. Small pump .45 of a cumec, runs for short period and turns off. Options to explore are 24 hour pumping with variable speed from very low to trickle considerably more energy efficient than hard start up, pump longevity increased and draws more water over a longer distance. Much larger initial pump station cost will prove very effective over time. AB suggested better indication of project by February meeting in connection with costs. **AB proposed Board approves moving of budget into 17/18 financial year, seconded DT and JJ, all in agreement.**

#### Partnership working

**2016.77** Eng. advised successful discussions between Board, Meynell Estates and Forestry Commission regarding their riparian responsibility for Laughton Beck. Both owners had improved access to the ordinary watercourses shown on Board maps as part of annual maintenance programme where Board always struggled with access. Both parties accepted their riparian responsibilities and have undertaken considerable tree/scrub clearance. CB noted it was not a drain that required annual maintenance.

#### Environment

The Environmental Report, copies of which had been circulated to members with the Meeting papers, was considered. EO confirmed report was for information with updates regarding item 5.1.1 Eels Regulations.

#### Matters arising

**2016.78** Eels Regulations – EO advised following a suggestion made by an IDB Officer at the Brampton meeting, and understanding the importance of using appropriate methods of allowing passage for eel, the EA and ADA had been working on a piece for Winter Gazette. Funding for EA and Hull International Fisheries Institute undertaking its research was an ongoing issue. If IDBs agreed to contribute toward the research that could be used as match funding and Defra would continue to support. Some Boards had already agreed to provide a contribution. She noted allocated budget under BAP was unlikely to be spent 2016/17 and work on Eel was included in the BAP suggesting members might agree a contribution from the BAP fund. **Members discussed, AB proposed Board contribute £1,000 2016/17 financial year with possibility of similar contribution 2017/18, seconded CB, majority in favour, JJ against - carried.**

#### Health & Safety

The Health and Safety Report, copies of which had been circulated to members with the Meeting papers, was noted by the Board.

#### Representation

**2016.79** Members noted the fora on which the Board had been represented.

#### Date of Next Meetings

**2016.80** 6 February 2017, 12 June 2017, 13 November 2017 all commencing 2.00pm Grange Golf Club, Messingham.

#### AOB

**2016.81** Management staff left meeting. Following discussions Members agreed to continue with current management services contract under the option to extend for further two-year period.

**2016.82** Meeting closed.

## 1.4 Matters arising not discussed elsewhere on Agenda

**Minute 2016.62 Healeys Drain** – the shooting licence tenant is to improve the area of the reservoir pit section of the site containing the rabbit warren allowing greater access for rabbit control.

## **1.5 Complaints/FOI requests**

None received at date of publication.



## 2. Clerks Report

**Recommendation:**

- **Note the information contained in this report**
- **Reach resolution on shooting licence (Item 2.4)**

### 2.1 Policy

Nothing to report.

### 2.2 Legislation

Nothing to report.

### 2.3 Defra

Nothing to report.

### 2.4 Board owned land

The shooting licence tenancy expires 30 April 2017. The current holder is keen to agree another term. Members are asked to consider another 5-year shooting licence and an appropriate fee. The current fee is £200 per annum.

### 2.5 Environment Agency

#### 2.5.1 Humber Flood Risk Management

Nothing to report.

### 2.6 Association of Drainage Authorities (ADA)

#### 2.6.1 ADA Conference 2016

Notes on Conference.

Henry Cator stood in for President Lord Ramsey, unable to attend. Henry suggested the industry was taken for granted, noting IDB Members take seats on these small non-departmental public bodies as volunteers with immense local knowledge of their area.

Dr Therese Coffey, Minister for the Environment, spoke at length. Government appreciates the role and function of IDBs and the importance of ADA, speaking for the collective whole. She welcomed ADA's response to the flooding report suggesting the importance of integrating water, land management, development and the environment from source to sea. In connection with de-maining and asset transfer, she advised the Agency was not attempting to palm off responsibility but looking for willing partners and how PSCA's help support this process. She is very supportive and seeks to promote natural flood management and understand what it could look like in lowland areas. She noted Defra's appreciation on the work some IDB Officers had done on land values in connection with proposed new IDBs in Cumbria. She also acknowledged the statutory duty of local authorities to raise income on behalf of IDBs for those developed areas within the IDB District and how Board function assisted delivery of environment, food and farming requirements.

Alison Baptiste spoke on behalf of the Environment Agency expending on the requirement to de-main and transfer assets, likely to be with willing partner IDBs and other Risk Management Authorities. The ideal scenario was to deliver a local solution for local people however the Agency continues to require an oversight role.

Emma Howard-Boyd, Chair of the Environment Agency spoke on the work of water level management having a positive impact on daily lives but the requirement to think long term about nature and the protection of people from flooding. It was believed delivery would be through collaboration between partners to deliver a resilient England, advising not everyone can be protected all of the time. A catchment based approach would be required to deliver this; land management practices, soft engineering approaches, new measures with utility companies to strengthen infrastructure resilience. She advised of an Agreement with Stobart trucks to move goods required by the Environment Agency in connection with flood events around the country and the Woodland Trust and Forestry Commission were to plant trees. She noted how the PSCA were delivering efficient savings of between 5-10%. Mrs Howard-Boyd also advised the Agency was keen to work with willing partners. There requires a rebalancing of both National and Local Flood Risk Management; the 25-year Environment Framework was soon to be published – how to fund the work remained an ongoing issue.

Minette Batters spoke for the National Farmers Union. She identified Brexit as the biggest challenge for the future. Trading relationships was the number one priority and access to the single market. It would be a significant change for agriculture. The budget was secure until 2020 but a new deal would have to be agreed before the end of the 2 year exit from Europe. She advised the public pay £0.23 per day toward the Commons Agricultural Policy, providing food, clean water and a clean environment and the importance of using the next two years to influence change. At the moment under the Water Framework Directive, one indicator failure meant watercourse failure suggesting by the next River Basin Management Plan period of 2027, was time within which the directive could be scrapped. The NFU fully supported IDBs working on main river under PSCAs and commented on the role of farming in mitigation of Climate Change.

Question Time followed with questions raised by a LLFA Member on SuDS and the requirement for all drainage assets to be adopted and maintained in perpetuity where Management Companies set up for this purpose frequently failed to deliver suggesting the FWMA Schedule 3 required enactment allowing the LLFAs to adopt systems. It was opined the Government is storing up problems because SuDS are not being developed properly and to deliver the catchment approach requires SuDS being developed.

A Member advised the CAP monies are not for farmers but subsidise consumer shopping lists.

On Grant in Aid an IDB Officer suggested whilst outcome measures were appropriate for accessing GiA, they need to be more aspirational, offering a lower level of protection in villages and reporting on the percentage of properties protected, advising property should be protected to a standard with support for offering advice on resilience to flooding.

Innes Thompson advised on the importance of soil as the most valuable farm asset and the need to protect it from erosion and maintain soil biota.

## **2.6.2 Technical & Environment Committee**

Discussed Committee workstream reports including Water Transfer licencing, total Catchment Management, Ecological improvement and Data & Evidence.

Work streams and groups for 2017 were agreed at: continuing water transfer & abstraction, preparation of a guide to de-maining for IDBs and using the IDB1 form information to provide an "information dashboard". Board Management supplied process flowcharts Shire Group Officers produced to assist Boards within the Shire Group in connection with EA Rationalisation including PSCA, Asset Transfer and De-maining. Reports were also given on the proposed amendment to the EIA (Land Drainage Improvement Works) Regulations Consultation which was the subject of a 2016 meeting attended by the Board's Environment Officer with Defra.

## **2.6.3 Policy & Finance Committee**

Discussed 2016 and 2017 Committee work streams including Rating & valuation lists, Governance and Audit. The National Audit Officer review of IDB Governance has been undertaken as a desk top study and it is expected NAO will release the report later this year.

## 3. Financial Report

### Recommendations:

- Note the information contained in this report
- To Approve the Risk Register
- To approve the Board Estimate for the Year Ended 31 March 2018
- To approve the schedules of payments

### 3.1 Rating Report

Details of the Rates and Special Levies issued and payments received up to and including 11<sup>th</sup> January 2017: -

	£	£
Balance Brought forward at 1 April 2016		259.42
<b>2015/2016 Drainage Rates and Special Levies</b>		
Drainage Rates		134,980.49
Special Levies		
North Lincolnshire Council	254,391.00	
West Lindsey District Council	57,496.00	311,887.00
<b>Total Drainage Rates Due</b>		<b><u>447,126.91</u></b>
<b>Less Paid: -</b>		
Drainage Rates		125,326.68
Special Levies		
North Lincolnshire Council	254,391.00	
West Lindsey District Council	57,496.00	311,887.00
<b>Total Drainage Rates Paid</b>		<b><u>437,213.68</u></b>
<b>Balance Outstanding as at 11<sup>th</sup> January 2017</b>		<b><u>9,913.23</u></b>
Messingham £3,912.08		
Scunthorpe £4,897.27		
Gainsborough £1,103.88		

### 3.2 Audit

#### 3.2.1 Internal Audit

The System of internal audit review meeting was held in November and the minutes of which are attached at Appendix A.

#### 3.2.2 Risk Register

Members are asked to review the attached risk register at Appendix B and formally approve to adopt at the meeting.

### 3.3 List of Payments

#### 3.3.1 List of Cheques

Cheques raised since those in the schedule presented to the board at the previous meeting:

DATE	CHEQUE NO.	PAYEE	DESCRIPTION	TOTAL	
				CHEQUE	
				£	
Dec	2nd	000077	Stuart Appleyard	Ravensfleet PS- Water Bill	45.78 *
			<b>Total Amount of all Cheques</b>	<b>45.78</b>	
			<b>* Total Amount of Cheques sent out signed by the Clerk &amp; Engineer Only</b>	<b>45.78</b>	

#### 3.3.2 List of Payments made direct from the bank account

Payment made directly from the bank account since those in the schedule presented to the board at the previous meeting:

DATE	VOUCHER No.	PAYEE	DESCRIPTION	TOTAL	
2016	No.			CHEQUE	
				£	
Oct	31st	-	NatWest	Bank Fees	12.70 *
Nov	9th	135	ADA Trent Branch	Conference Fees	45.00 *
		155	Watson Petroleum	Gas Oil	627.90 *
	10th	169	Remote Asset Management Ltd	Vehicle Tracking	21.60 *
		-	Employee	Wages	1,323.05 *
		-	HMRC	PAYE/NI	530.07 *
		-	B&CE Holdings	Pension Contributions	30.28 *
	15th	136	DC Bichan	Maintenance	7,830.66
		119,122	JBA Consulting	Fee Accounts: -	
				Management Fees	10,858.87
				Ravensfleet to Susworth Strategic Study	5,478.00
		151	Fuel Genie	Fuel Account	152.00 *
		-	Bankline Fees	Bankline Fees	35.30 *
	21st	153	Iris Business Software Ltd	Auto-enrolment Fees	8.04 *
		148	Woldmarsh Produces Ltd	Supply to East Butterwick PS	141.77 *
				Supply to Black Bank PS	225.02 *
				Supply to Flixborough PS	93.84 *
				Supply to Jenny Hurn PS	251.75 *
				Supply to Ravensfleet PS	338.96 *
				Supply to Pauls Malt PS	8.84 *
				Supply to Whoofer PS	27.07 *
				Supply to Susworth PS	220.99 *
				Mobile Telephones	77.50 *
				Membership Fees	149.21 *
		156	Wireless Logic Ltd	Vehicle Tracking	2.40 *
	22nd	152	Iris Business Software Ltd	Open Payslips	3.60 *
	30th	-	Natwest	Bank Fees	9.67 *
Dec	2nd	141	ADA	Conference Fees	134.40 *
		150	Anglian Water	Supply to Susworth PS	11.96 *
		142-3	Controlstar Systems	Telemetry Maintenance Contract, etc.	1,911.60 *
		157	Danvm Drainage Commissioners	Website Development, etc.	727.46 *
		144	Dexel Tyre & Auto Centre	Vehicle Maintenance	24.00 *
		139	Evans Halshaw	Vehicle Maintenance	370.00 *



		149	Grange Park	Meeting Room	70.00	*
		146	H Mell & Son	Tractor Maintenance	369.94	*
		147	Lincoln Electrical Services	Pumping Station Maintenance	1,742.40	*
		137-8	Lyons of Gainsborough Ltd	Tools & Equipment	42.10	*
		140	Pearson & Associates	Auto-enrolment Costs	198.75	*
	8th	-	Employee	Wages	1,161.88	*
		-	B&CE Holdings	Pension Contributions	25.96	*
	12th	169	Remote Asset Management Ltd	Vehicle Tracking	21.60	*
	13th	173	Fuel Genie	Fuel Account	145.00	*
	15th	162	Anglian Water (Jenny Hurn)	Supply to Jenny Hurn PS	12.09	*
		161	Danvm Drainage Commissioners	Website Development	164.01	*
		160	H Mell & Son	Tractor Maintenance	759.49	*
		164	Humber Nature Partnership	Membership Fees	288.00	*
		145,165-6	Ebsford Environmental Ltd	Maintenance	58,336.02	
		163	JBA Consulting	Fee Account - Ravensfleet to Susworth Strategic Study	10,396.80	
		-	NatWest	Bankline Fees	34.50	*
	16th	154	Public Works Loan Board	Loan Repayment	37,899.09	*
		-	HMRC	PAYE/NI	491.42	*
	20th	167	Woldmarsh Produces Ltd	Supply to Susworth PS	218.14	*
				Supply to Lysaghts PS	735.61	*
				Supply to Whoofer PS	20.33	*
				Supply to Flixborough PS	70.26	*
				Supply to Burringham PS	418.55	*
				Vodafone	58.45	*
	21st	171	Iris Business Software Ltd	Auto-enrolment Fees	8.04	*
		170	Iris Business Software Ltd	Open Payslips	3.60	*
		159	Wireless Logic Ltd	Vehicle Tracking	2.40	*
	30th	-	NatWest	Bank Fees	8.31	*
Jan	5th	-	Employee	Wages	1,128.82	*
	6th	-	B&CE Holdings	Pension Contributions	25.07	*
	10th	169	Remote Asset Management Ltd	Vehicle Tracking	21.60	*
	11th	174	Watson Petroleum	Gas Oil	640.29	*
	13th	176	ADA	Annual Subscription	2,684.40	*
		178	DC Bichan	Maintenance	884.06	*
		175	NPower Yorks Ltd	Lysaghts PS - Meter Operator	474.00	*
		185	Ebsford Environmental Ltd	Maintenance	8,463.82	
		181-3	H Mell & Son	Pumping Station Maintenance, etc.	4,500.36	
		168,177	JBA Consulting	Fee Accounts: -		
				Ravensfleet to Susworth Strategic Study	9,166.80	
				Management Fees	10,919.14	
		184	Fuel Genie	Fuel Account	95.00	*
		-	HMRC	PAYE/NI	740.34	*
			<b>Total</b>		<b>185,129.95</b>	
			<b>* Total amount of direct debits and payments approved by the Clerk Only</b>		<b>59,179.48</b>	

### 3.4 Estimates, Rates and Special Levies for the year ending 31 March 2018

2016/17					2017/18	
Approved Estimate		Estimated Out-Turn			Estimate	
£	£	£	£		£	£
				<b>INCOME</b>		
				<b>Drainage Rates on Agricultural Land:-</b>		
98,799		99,018		8.75p in £ on Av of £1,132,067	99,056	
				<b>Drainage Rates on Intensive Agricultural Units:-</b>		
35,949		35,949		8.75p in £ on Av of £410,845	35,949	
				<b>Special Levies</b>		
				West Lindsey District Council		
57,496		57,496		8.75p in £ on Av of £657,101	57,496	
				North Lincolnshire Council		
254,391		254,391		8.75p in £ on Av of £2,907,329	254,391	
				<b>Other Income:-</b>		
40,000		40,786		Foreign Water Contribution (FWC)	40,000	
0		28,452		PSCA Contributions	0	
900		317		Other Income	900	
<u>200</u>	<u>487,735</u>	<u>75</u>	<u>516,484</u>	Interest etc	<u>200</u>	<u>487,992</u>
				<b>EXPENDITURE</b>		
90,616		90,616		Board Loans	90,616	
8,530		8,530		Environment Agency Loans	8,530	
6,200		0		New Loan - Ravensfleet PS scheme	6,179	
				<b>Administration:-</b>		
36,215		35,604		Management Fees	36,672	
25,000		30,000		Other Administration Expenses	30,000	
				<b>Works Maintenance:-</b>		
43,200		43,750		Wages & Other Shared Costs	45,700	
91,500		101,671		Drain Maintenance (Contract)	97,335	
30,000		3,500		Drain Maintenance Silt Removal (Lysaghts)	26,500	
21,000		0		Telemetry Contract	32,104	
29,000		37,410		Asset Condition Study, EA Main Rivers	29,000	
4,000		2,222		Biodiversity Action Plan	4,000	
12,500		10,000		Plant and Vehicles	11,000	
<u>126,300</u>	<u>524,061</u>	<u>112,502</u>	<u>475,805</u>	Pumping Stations, etc.	<u>129,700</u>	<u>547,336</u>
	(36,326)		40,679	Surplus - (Deficit)		(59,344)
	<u>342,766</u>		<u>361,493</u>	Balance Brought Forward		<u>402,172</u>
	<u>0</u>		<u>0</u>	Transfer to NW&P Account		<u>0</u>
	<b><u>306,440</u></b>		<b><u>402,172</u></b>	<b>Balance Carried Forward</b>		<b><u>342,828</u></b>
<b>Previous Years Rates in the £</b>						
<b>2013/14 : 8.75p, 2014/15 : 8.75p, 2015/16 : 8.75p, 2016/17 : 8.75p</b>						
<b>Penny Rate : £51,073</b>						



<b>NEW WORKS AND PLANT ACCOUNT</b>						
<b>2016/17</b>					<b>2017/18</b>	
<b>Approved Estimate</b>		<b>Estimated Out-Turn</b>			<b>Estimate</b>	
<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>		<b>£</b>	<b>£</b>
				<b>INCOME</b>		
200		150		Interest	150	
100,000		0		Loan	100,000	
0		15,500		Local Levy Funding (Ravensfleet PS ref)	0	
323,000		0		Grant Income	323,000	
<u>0</u>	<u>423,200</u>	<u>57,954</u>	<u>73,604</u>	River Eau - Scotter Improvement Scheme	<u>0</u>	<u>423,150</u>
				<b>EXPENDITURE</b>		
0		0		New Vehicle	20,000	
573,000		37,485		Ravensfleet PS Refurbishment	573,000	
<u>0</u>	<u>573,000</u>	<u>57,954</u>	<u>95,439</u>	River Eau - Scotter Improvement Scheme	<u>0</u>	<u>593,000</u>
(149,800)			(21,835)	Surplus - (Deficit)		(169,850)
<u>253,267</u>		<u>255,965</u>		Balance Brought Forward		<u>234,130</u>
<u>103,467</u>		<u>234,130</u>		Balance Carried Forward		<u>64,280</u>

### 3.5 Five Year Budget

The five-year budget plan can be found over the page.

SG WMB Budget Plan		0	0	1	2	3	4	5
	2016/17	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	App	Estimated Out turn						
Income & Expenditure Account	Budget							
	£	£	£	£	£	£	£	£
<b>Income</b>								
Drainage Rates	134,748	134,967	135,005	135,005	138,862	138,862	142,719	150,434
Special Levies	311,887	311,887	311,888	311,888	320,799	320,799	329,710	347,532
Rental Income	-	200	200	200	200	200	200	200
Foreign Water Contribution	40,000	40,786	40,000	40,000	40,000	40,000	40,000	40,000
PSCA Contributions	-	28,452						
Other Income	900	117	700	721	743	765	788	811
Bank Interest	200	75	200	1,500	1,500	2,000	2,000	2,000
<b>Total Income</b>	<b>487,735</b>	<b>516,484</b>	<b>487,992</b>	<b>489,313</b>	<b>502,103</b>	<b>502,626</b>	<b>515,417</b>	<b>540,977</b>
<b>Expenditure</b>								
Drain Maintenance (Silt Removal)	30,000	3,500	26,500	-	-	-	-	-
Management Fees	36,215	35,604	36,672	37,589	38,529	39,492	40,479	41,491
Other Administration	25,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000
Maintenance of Drains	91,500	101,671	97,335	99,282	101,267	103,293	105,359	107,466
Maintenance of Pumping Stations	126,300	112,502	129,700	132,294	134,940	137,639	140,391	143,199
Telemetry Contract	21,000	-	32,104	27,754	27,754	27,754	27,754	27,754
Biodiversity Action Plan etc	4,000	2,222	4,000	4,000	4,000	4,000	4,000	4,000
- PSCA Main River Maintenance	29,000	37,410	29,000	5,000	5,000	4,500	4,500	4,500
Wages and other costs	43,200	43,750	45,700	46,614	47,546	48,497	49,467	50,456
Plant and Vehicles	12,500	10,000	11,000	12,500	12,500	12,500	12,500	12,500
Loan Repayments:-	99,146	99,145	99,146	99,145	99,145	99,145	99,145	99,145
Possible New Loans	6,200	-	6,179	24,715	24,715	24,715	24,715	24,715
<b>Total Expenditure</b>	<b>524,061</b>	<b>475,804</b>	<b>547,336</b>	<b>518,893</b>	<b>525,396</b>	<b>531,534</b>	<b>538,310</b>	<b>545,227</b>
Surplus/(Deficit)	(36,326)	40,680	(59,343)	(29,579)	(23,293)	(28,909)	(22,893)	(4,249)
Balance Brought Forward	333,396	361,491	402,171	342,828	293,248	269,956	241,047	218,154
Contribution to NW&P Account	-	-	-	20,000	-	-	-	-
<b>Balance Carried Forward</b>	<b>297,070</b>	<b>402,171</b>	<b>342,828</b>	<b>293,248</b>	<b>269,956</b>	<b>241,047</b>	<b>218,154</b>	<b>213,904</b>
<b>New Works and Plant Account</b>	<b>103,467</b>	<b>234,131</b>	<b>64,281</b>	<b>155,281</b>	<b>155,281</b>	<b>47,281</b>	<b>47,281</b>	<b>27,281</b>
<b>Penny Rate in £</b>	8.75p	8.75p	8.75p	8.75p	9.00p	9.00p	9.25p	9.75p
<b>Penny Rate £51,073</b>	76%	134%	74%	83%	81%	54%	49%	44%
<b>I&amp;E Balance as % of Expenditure</b>	57%	85%	63%	57%	51%	45%	41%	39%



	2016/17	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	App	Estimated Out turn						
New Works and Plant Account	Budget							
	£	£	£	£	£	£	£	£
<b>Income</b>								
Transfer from I&E	-	-	-	20,000	-	-	-	-
Interest	200	150	150	-	-	-	-	-
Loan	100,000	-	100,000	300,000	-	-	-	-
Possible Grant Income	323,000	-	323,000	89,000	-	42,000	-	-
Local Levy (Ravensfleet PS ref)	-	15,500	-	-	-	-	-	-
River Eau - Scotter Improvement Scheme	-	57,954	-	-	-	-	-	-
<b>Total Income</b>	<b>423,200</b>	<b>73,604</b>	<b>423,150</b>	<b>409,000</b>	<b>-</b>	<b>42,000</b>	<b>-</b>	<b>-</b>
<b>Expenditure</b>								
New 4x4 vehicle	-	-	20,000	-	-	-	-	20,000
Jenny Hurn PS refurbishment	-	-	-	251,000	-	-	-	-
Ravensfleet PS Refurbishment	573,000	-	573,000	-	-	-	-	-
Ravensfleet to Susworth Strategic Study	-	37,485	-	-	-	-	-	-
Whoofer PS Refurbishment	-	-	-	67,000	-	-	-	-
Susworth PS Refurbishment	-	-	-	-	-	150,000	-	-
River Eau - Scotter Improvement Scheme	-	57,954	-	-	-	-	-	-
<b>Total Expenditure</b>	<b>573,000</b>	<b>95,439</b>	<b>593,000</b>	<b>318,000</b>	<b>-</b>	<b>150,000</b>	<b>-</b>	<b>20,000</b>
Surplus/(Deficit)	(149,800)	(21,835)	(169,850)	91,000	-	(108,000)	-	(20,000)
Balance Brought Forward	253,267	255,966	234,131	64,281	155,281	155,281	47,281	47,281
<b>Balance Carried Forward</b>	<b>103,467</b>	<b>234,131</b>	<b>64,281</b>	<b>155,281</b>	<b>155,281</b>	<b>47,281</b>	<b>47,281</b>	<b>27,281</b>

## 4. Engineer's Report

### Recommendations:

- To note the information within this report.
- Extend Northern Area Watercourse Maintenance Contract for 2 further periods of 12 months to D C Bichan (Item 4.1.3).
- Extend EU compliant Southern Area Watercourse Maintenance Contract for 2 further periods of 12 months to Ebsford Environmental Ltd. (Item 4.1.3).

## 4.1 Asset Management

### 4.1.1 Telemetry

We have now received an updated costed proposal from Controlstar for signing by the Chairman as agreed on 23rd June 2015 when the Board approved the adoption of the proposed telemetry lease agreement from Controlstar Systems Ltd. in principle, subject to finalised costs and a formal agreement for signing by the Chairman or Clerk (Minute 2015.46).

The updated proposal has been arrived at after discussions with IDB Operatives and Officers who have informed Controlstar of the need/benefit of equipment and cameras at each site. this has resulted in cameras at Susworth, Jenny Hurn and Whoofer. However, we will inform Controlstar to remove (provisionally) the requirements for Jenny Hurn and Whoofer until we have further certainty from the Ravensfleet scheme.

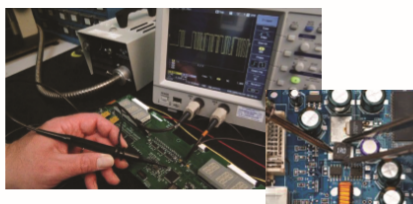
#### THE SCOPE OF CONTROLSTARS MAINTENANCE SUPPORT CONTRACTS

Telemetry for controlling operating costs and reducing operational risk

Fixed cost since 2006-Controlstar Systems takes the commercial risk

##### Correction of Identified Software and system problems.

Review of system performance .Program updates when ever possible to keep the sites as up to date as possible. Process made more efficient by the VPN.



**Board repair & like for like replacement with Stock holding** of current and previous generations equipment for long term support



ePLAN Electrical Drafting Tools for ongoing Engineering support for the Client.

Ad-hock site visits for client support.

**A drive to improve efficiency of the Maintenance process.**



##### Immediate Client Support

Controlstars Diagnostic Tools are the best. All stations are on our own **Virtual Private Network (V.P.N.)**. We give immediate assistance for tracing panel and station equipment faults. The introduction of the VPN has been a major factor in controlling the cost (no increase in costs since 2006) & enhancing the quality of support. **Minor Changes to specific site Control logic**

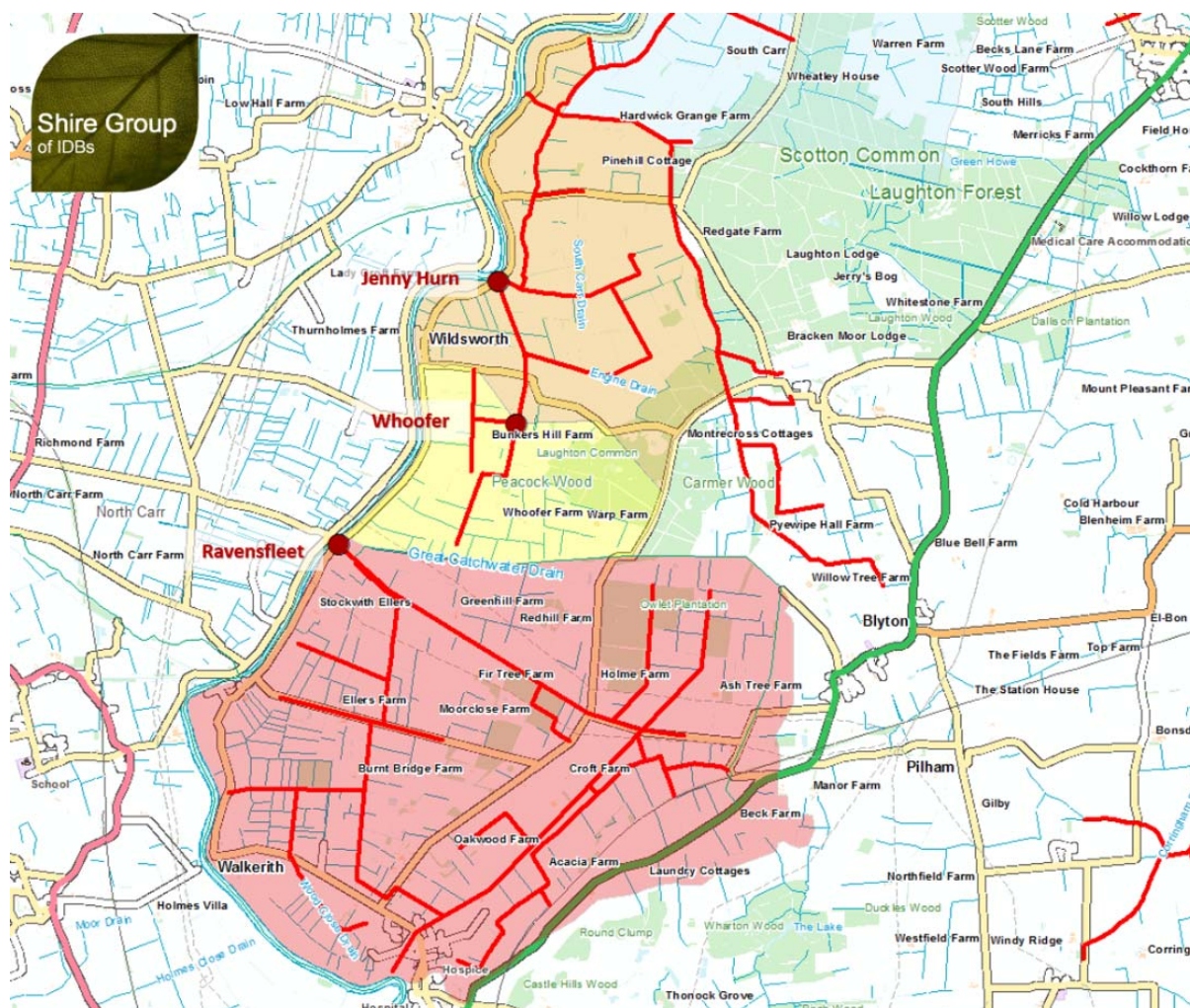


Equipped for Site Level System Support

The quarterly cost is now estimated at £5,375.70 unless further cameras are required across the assets. As reported in June 2015, the updated annual cost of the lease at £21,502, is in comparison to £35,962 per year should the Board decide to upgrade/install telemetry into stations without the lease, and the lease option transfers the risk of damaged equipment (including water level sensors) to the supplier.

### 4.1.2 Ravensfleet Pumping Station

The survey, hydrology, hydraulic modelling, and drainage and pumping study is complete, with economic appraisal 95% complete. The Environmental Appraisal is 40% complete and the PAR (business case document) is now being compiled with all information and evidence obtained from these studies to submit to the Environment Agency for approval of an alternative scheme to rationalise the Ravensfleet, Whoofer, Jenny Hurn catchments into one.



The option being put forward is to decommission Jenny Hurn and Whoofer, regrade those catchments to flow into Ravensfleet, and overhaul Ravensfleet to provide sufficient capacity for all three catchments.





Once we have received a final draft of the business case we intend to meet with the Chairman and Vice Chairman before submission to the Environment Agency.

We hope to have an estimated cost of capital works for the meeting to inform the budget moving forwards.

#### **4.1.3 Ordinary Watercourses**

##### **Northern Area Watercourse Maintenance Contract (Messingham, Scunthorpe, Burringham)**

The tender for the Northern area of the Drainage District now permits the Board to extend for 2 further periods of 12 months from 1<sup>st</sup> July each year.

After review of the 2016/17 maintenance season and no formal complaints received we consider D C Bichan performance to be satisfactory.

##### **Southern Area Watercourse Maintenance Contract (Gainsborough)**

The EU compliant tender for the Southern area of the Drainage District now permits the Board to extend for 2 further periods of 12 months from 1<sup>st</sup> July each year.

After review of the 2016/17 maintenance season and no formal complaints received we consider Ebsford Environmental Ltd. performance to be satisfactory

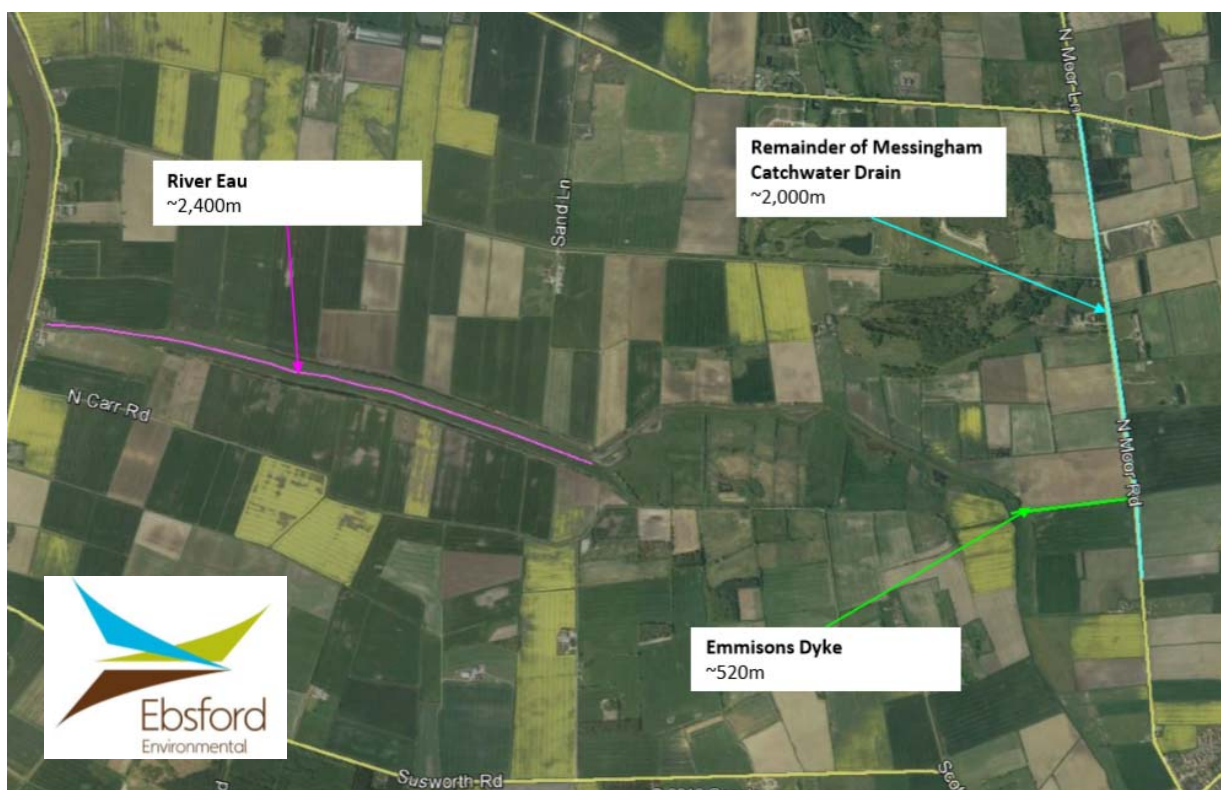
#### **4.1.4 Pumping Stations**

No issues have arisen for the attention of the Board.

#### **4.1.5 Main River (Public Sector Cooperation Agreements)**

The revised Schedule 3 has been APPROVED by the EA to include Messingham Catchment (from Messingham crossroads to Emmisons Dyke), Emmisons Dyke, and downstream of the bank widening works on the River Eau to the River Trent.

The Boards' Contractor Ebsford Environmental are to undertake the works before the end of March and the EA has provided a purchase Order for 100% recovery.



## 4.2 Planning, pre-application advice and consents

### 4.2.1 Planning Applications

Planning applications have been reviewed on a weekly basis and 1no. application has required comment on behalf of the board between 1st November 2016 and 23rd January 2017.

Planning Ref	Proposal	Address	Applicant	Work in, on, under or within 9m (7m SAIDB) of an Ordinary	Alteration to surface water discharge or discharge structure?	Consent Form and Information provided?
				Yes/No	Yes/No	Yes/No
135456	1 detached bungalow with garage	14 Walkerith Road, Morton, Gainsborough	Mr & Mrs R Williamson	no	yes	yes

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

No consents have been issued on behalf of the Board between 1st November 2016 and 23rd January 2017.

### 4.2.3 Extended District Consents (Land Drainage Act 1991 Section 23)

No consents have been issued on behalf of the Board between 1st November 2016 and 23rd January 2017.

## 5. Environmental Report

### Recommendation:

- Note the information contained in this report

### 5.1 Legislation

Nothing to report.

### 5.2 Biodiversity Action Plan

Monitoring work will recommence April or sooner should weather conditions be conducive.

### 5.3 General

Lower Trent and Erewash Catchment Partnership reported on work done at Bottesford Beck:

#### 'Stone Loach' found in Bottesford Beck

Infamously since the 1950's Bottesford Beck has had the notoriety of being one of the dirtiest rivers in the UK.

Over the past five years there has been a united effort to clean up the river which comes through the steelworks. During this time it has been upgraded twice by the EA, from bad to poor, then to moderate.

Over the past two months, as part of a flood prevention programme, using a Truxor machine, there has been a great effort to de-weed the river.

Within this de-weeding activity some small river fish were caught up in the weeds and rescued. They have been identified as 'Stone Loach' bottom feeders which bury themselves into the river bed. They like gravel areas and the one shown in the photographs has been regarded by the EA as large for the species. They are quite shy, do not like polluted water and feed off invertebrates. This says much about the quality of the river water!





## 6. Health and Safety Report

### Recommendations:

- To note the information contained in the report

### 6.1 Board Employees

#### 6.1.1 Accidents and Incidents

There are no accidents or incidents to report involving either the Board employee or contractors.

#### 6.1.2 Lone Worker Arrangements

The effectiveness of the current system has now been confirmed.

#### 6.1.3 ADA T&E Report

## 7. Representation

The Board is represented at several fora:

Environmental	Flood Risk Management	Other
Humberhead Levels Steering Group	Humber Flood Risk Management Steering Group	ADA Technical & Environment Committee
Humberhead Levels Partnership Group	Isle of Axholme Implementation Group	ADA Policy & Finance Committee
EA/ADA Eel Liaison Group	EA - CIRIA Partnership Funding Opportunities	

## 8. Date of next meeting

12 June 2017, 13 November 2017.

## 9. APPENDIX A – Internal Audit Review Meeting

Held at JBA Consulting, Epsom House,  
Monday, 28 November 2016

Present:	Mr Adrian Black	Scunthorpe & Gainsborough WMB
	Mr David Hinchcliffe	Black Drain Drainage Board
	Mr Peter Horne	Doncaster East IDB
	Mrs Veronica Chapman	Doncaster East IDB
	Mr Christopher Day	Ancholme IDB
	Mr Martin Oldknow	Black Drain DB/Doncaster East IDB
	Mrs Gillian Ivey	Danvm Drainage Commissioners
	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)

### 1. Introductions and Apologies for Absence

The members of the panel briefly introduced themselves. Apologies for Absence were received from Cllr CA Harp and from Cllr R Sutherland.

### 2. Minutes of the Last Meeting/Matters Arising

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

### 3. Risk Register – New Format

The finance officer gave a brief update of the changes applied to the register since the last meeting. A section had been added specifically identifying what the undesirable events are and the risks associated with them. Also, the finance officers explained the proposal to maintain a separate register for every drainage authority, with each register tailored to the needs and circumstances of that client. The panel discussed the following items with regard to the format.

#### Individual Registers

Andy Cane suggested the current register is fairly general and it would be a good thing for each authority to have its own register. Gillian Ivey agreed and said each drainage authority has its own risks and circumstances. Craig Benson gave several examples of risks faced by individual clients that were particular to that client.

#### Live Document

The panel noted the document was now fairly unwieldy and discussed whether some of the older entries that have since been resolved be removed. The officers pointed out each Board needs to be aware of all the risks it faces and the control measures they have in place, to facilitate review.

#### 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.



## **4. Risk Register – Items Discussed**

In addition to the general format the panel discussed several specific items.

### **Declarations of Interest**

GI suggested a sentence be added all Boards' meeting papers reminding them of the requirement to declare any interests. AB suggested correspondence should be sent to all members periodically requesting they check their details are up-to-date. AC asked how often members actually declared an interest during meetings and offered to leave the room. He was informed it did indeed happen although it is somewhat rare.

**ACTION – Consider Issuing emails to members**

### **Policies on Public Awareness**

GI said that Danvm Drainage Commissioners strongly felt that the website did not very much help the public become more aware of Drainage Boards. She pointed out the search engine Google pointed the Shire Group home page rather than individual drainage authorities. Furthermore, she said they could do more to put things into the public arena and raise public awareness of Drainage Boards and their activities. CB pointed several recent events included ADA shows, their regional branches, the Lincolnshire Show and the Danvm Drainage Commissioners recent display at Bentley Park. Peter Horne asked whether it was the management team's responsibility to raise awareness. After a brief discussion regarding contractual arrangements CB said the team should take the lead, mentioning possible visits to local schools, explaining the importance of flood protection, giving flume demonstrations and so on.

## **5. Internal Auditor's Report**

The internal auditor reviewed the work undertaken on the 2015/16 accounts. In general, the internal auditor was satisfied with how things are running and said there were no major concerns. The panel discussed the following points:

### **Decision Making**

AC said this issue is never an easy one but the attendance of members and the split between elected and nominated members should always be borne in mind. MO said some boards should consider reducing reconstituting to reduce the number of members. PH said Doncaster East IDB would look carefully at this option and also that local authorities tend to nominate council officers, who tend not to get involved. GI said Danvm DC generally did well in this regard with all 13 nominated members attending the meetings on some occasions. AC reaffirmed attendance should reflect the 'plus-one' make-up of the Board's constitution. CB suggested if a Board has a majority of one, they should consider reconstitution. DH said he preferred councillors as they are better aware they are representing the drainage board and not the local authority that appointed them, and that officers may have different agendas.

### **Reserves Policy**

GI pointed out that Danvm DC have now in fact adopted a reserves policy. AC was agreeable to amend his report. CB pointed out all Shire Group members have a reserves policy, with Goole Fields District DB being the sole exception.

### **Assessment of Control Environment**

PH drew attention the internal auditor's frequent use of the phrase 'fairly robust', and said if the auditor couldn't provide any concrete suggestions on how to improve matters, an unqualified 'robust' would be more appropriate. AC said this was a mere wording issue, and acknowledged risk could never be entirely eliminated. He agreed to use the phrase 'robust' in future.

## **6. External Auditor's Report**

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

### **Ongoing Audit of Danvm Drainage Commissioners**

CD asked for confirmation that the external auditors had all their required materials by July. CB confirmed so, and the audit should be complete by 30 September 2016. CB further explained that the external auditor should've been in contact and advised the Board to advertise that the audit was still ongoing. CD strongly expressed the view that this was not acceptable. CB agreed and said the officers would send an email on behalf of the panel to this effect. CB also gave the panel a brief description of the details of the change of regime. AC said auditors need to work to deadlines, 30 June in his case and 30 September for the external audit.

**ACTION –Contact BDO on behalf of the panel by email**

## **7. Any Other Business**

### **Budget Process & Scope of Internal Audit**

Craig Benson informed the panel he had looked at the budget process with the internal auditor. CD enquired about the scope of the audit. CB said the process was set down in legislation and the initial discussions took place in March. AC said the scope had to be flexible to allow for any necessary investigation. CB reminded the panel any specific risks could now be added to the risk register.

## **8. Date of Next Meeting and Close of Meeting**

The next meeting of the panel will be held on Monday, 27 November 2017 at 10.00am at JBA Consulting, Epsom House, Redhouse Interchange, Doncaster, DN6 7FE.

CD thanked the internal auditor for all the work done and the finance officers thanked the members for attending. The meeting closed at approximately 10:50am.

## **10. APPENDIX B – Risk Register**

A copy of the updated Risk Register can be found over the following pages. The Board is requested to review and approve the document.

Item		Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
<b>Governance - Members &amp; Management</b>								
<b>Question 1 - Does the Board Lack Direction?</b>								
1. a)	Is there a Strategic Plan setting out the key aims, objectives and policies?	B	High	Low	1.1	Disunity in Board with conflicting aims & objectives. External bodies and the wider public lack understanding of the Board's aims & objectives. Internal/external disputes cannot be resolved through lack of adopted policies.	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.	16/11/2016
1. b)	Are there financial plans and budgets?	B	High	Low	1.2	Board lacks sufficient funds to meet its obligations.	Budgets follow sound logical principles. Approved by each IDB.	16/11/2016
1. c)	Is there monitoring of financial and operational performance?	B	High	Low	1.3	Officer's unaware they have exceeded, budget, become overdrawn or that there are other, material errors in the accounting records. Inefficient, dangerous operational practises occur and continue unaddressed.	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.	16/11/2016
1. d)	Is there feedback from beneficiaries?	B	High	Low	1.4	Board members and other funding partners unaware of problems set out above. Said problems continue unaddressed.	Operational performance considered and updated at Board meetings as appropriate. Ratepayers know Board members. (Names of all Board members are available on the Shire Group website) Feedback to board of praise /criticism via member. Complaints procedure documented and available on website.	16/11/2016
<b>Members/Officials</b>								
<b>Question 2 - Do officials/members lack relevant skills or commitments?</b>								
2. a)	Is there a recruitment / appointments process?	D	Low	Low	2.1	Board members/officials lack suitable knowledge and experience. Members/officials lack ability to make objective decisions and act in the Board's long-term interest. Recruitment process is not transparent to all.	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. Format of the nomination papers is prescribed by the LDA 1991 and copies are available on the website.	16/11/2016
2. b)	Is there a competence framework including job description?	D C	Low Low	Low High	2.2	Unsuitable members (see above) appointed to the Board Local Authority appoints unsuitable members to the Board.	Qualifications for membership laid down by LDA 1991. See reverse side of nomination paper. Council to nominate people as they consider appropriate	16/11/2016

Item	Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
2. c)	C	Low	High	2.3	Members/officials lack understanding of the Board's objectives, latest legislative requirement and latest developments in the industry.	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. <b>All updates reported to members in their meeting papers.</b> Training seminars on legislation, responsibilities, ethics, etc. are being delivered. <b>Comprehensive modular training scheme to be added to the website (target date 31.3.2017)</b>	16/11/2016
<b>Question 3 - Does the Board lack appropriate composition?</b>							
3. a)	B	High	Low	3.1	No clear framework of the operations in the organisation. Members/officials do not understand their own roles & responsibilities.	Composition of the Board set out in DLA. Standing Orders and Financial Regulations renewed are reviewed and renewed. To be approved by DEFRA.	16/11/2016
3. b)	D	Low	Low	3.2	A member's interest are in conflict with those of the Board. Board are unaware of any such potential conflicts.	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' Interest <b>compiled and kept up-to-date.</b>	16/11/2016
3. c)	D	Low	Low	3.3	Members / officials meetings have taken place. Decisions of the Board go unrecorded.	LDA and Clerk to arrange programme of meetings. <b>Agenda for meeting set by Clerk and Chairman. Minutes of meetings scrutinised &amp; approved by Board.</b>	16/11/2016
3. d)	B	High	Low		As 3 b) above.	As 3 b) above.	16/11/2016
3. e)	D	Low	Low		Reviewers not certain of legality of expense payments made to members.	Not for Board meetings, conferences only, as <b>per LDA.</b>	16/11/2016
3. f)	D	Low	Low		Board exposed to risk of fraud.	No remuneration policy in place. Boards may pay a chairman's honorarium at their discretion, <b>subject to ministerial approval.</b>	16/11/2016
<b>Management</b>							
<b>Question 4 - Is There an Adequate &amp; Informed Organisational Structure?</b>							
4. a)	D	Low	Low		See 2. c) above.	See 2. c) above. Management are involved in the preparation of training modules and attend the seminars, or indeed deliver them.	16/11/2016
4. b)	D	Low	Low		Lack of a clear chain of command. Officers uncertain of the responsibilities and level of authority. Organisational structure difficult to review.	In general on website. Further, more detailed documents setting out team structure, individual roles, etc. on JBA records. To be added to the website <b>(target date 31.3.2017)</b>	16/11/2016
4. c)	D	Low	Low		Staff problems and organisational anomalies not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	16/11/2016
4. d)	D	Low	Low		Conflicts of interest not detected and not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	16/11/2016

Item	Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
4. e) Is there a competence framework?	B	High	Low		Assessment of staff members ability to fulfil their roles is difficult, and the results harder to justify.	Prescriptive Job Descriptions written for each team member. These are in progress. (reviewed annually). Detailed descriptions setting out roles & requirements included in tender documentation.	16/11/2016
<b>Question 5 - Is there a lack of succession planning? Can experience and skills be lost, and corporate contract/operational impact be lost?</b>							
5. a) Is there succession planning?	B	High	Low	13.1	Orderly transitions not adequately planned for and disruptions/delays occur as a result.	Good balance of knowledge and skills appropriately segregated. Procedures being documented.	16/11/2016
5. b) Are there appropriate notice periods for changeover?	B	High	Low	13.1	Insufficient time to plan for transitions causes disruption.	All IDB Division Staff have a permanent contract with JBA Consulting. Employees with over two years' service are required to give three months' notice in writing.	16/11/2016
5. c) Are there training programs in place?	B	High	Low		Staff lack the knowledge and appropriate training to fulfil their roles.	Ongoing on the job training of key staff occurring.	16/11/2016
<b>Question 6 - Is the reporting process adequate?</b>							
6. a) Is there timely and accurate project reporting?	D	Low	Low		Management, stakeholders and other interested parties not aware potentially problematic issues.	Progress on capital schemes is reported regularly at Board meetings.	16/11/2016
6. b) Is there timely and accurate financial reporting?	D	Low	Low		Members and management not made aware on problematic or otherwise important issues in a timely manner.	Estimates Jan/Feb, Accounts May/June.	16/11/2016
6. c) Is there a budget setting process?	D	Low	Low		Board lacks sufficient funds to meets its obligations.	Yes. Laid down by LDA. <b>Budgets set every Jan/Feb</b>	16/11/2016
6. d) Is there proper project assessment?	D	Low	Low		Lack of due project assessment may allow problems to arise again in future schemes.	Grant-aided scheme - PAB Approval. Non grant-aided - reported to the board.	16/11/2016
6. e) Is there regular contact between board and management?	D	Low	Low		Board members unaware of relevant issues, whether operational, financial, administrative or environmental. Board members unable to set policy as required.	Regular Board meetings.	16/11/2016
D							
<b>Operational Risk</b>							
<b>Question 7 - Are there any risks associated with the provision of services?</b>							
7. a) Is there a quality control procedure?	D	Low	Low		Services rendered do not adhere to relevant professional standards.	No quality control procedure but officers are ISO 9001 accredited.	16/11/2016
7. b) Is there a complaints procedure?	B	High	Low		No opportunity for dissatisfied parties to air grievances, nor any opportunity for the Board address them and correct any problems where necessary.	Website <b>provides clear instructions on how to make complaints. All complaints reported to the Board in the meeting papers.</b>	16/11/2016
7. c) Is there a policy to raise public awareness and profile?	D	Low	Low		General public unaware of the roles & responsibilities of drainage authorities, or even of their existence.	Website - Shire Group of Internal Drainage Boards.	16/11/2016
<b>Question 8 - Is there a risk of supplier dependency?</b>							
8. a) Are there procedures for obtaining quotations/periodic review of suppliers' charges?	B	High	Low	8.1	Unsuitable goods/services ordered by persons lacking suitable knowledge & experience, resulting in financial burden.	<b>Levels of authority for ordering goods &amp; services clearly set out in Board's financial regulations. Requirement for suitable number of quotations set out in same.</b>	16/11/2016

Item	Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
8. b)	D	Low	Low		Contractors appointed lacking suitable training, knowledge, competence and experience.	JBA carry out all quality assurance on all contractors. Approved contractor list circulated as appropriate and approved by the board. <b>List of the Board's approved contractors on Health &amp; Safety website.</b>	16/11/2016
8. c)	B	High	Low	8.1	Inadequate level of service rendered and/or unnecessary delays.	JBA administers all tendering processes and timing.	16/11/2016
<b>Question 9 - Is there a risk that capital resources are under utilised?</b>							
9. a)	B	High	Low	8.2	Problems not detected and corrected in a timely manner.	<b>Asset Management</b> program in place.	16/11/2016
9. b)	D	Low	Low	8.2	As above.	Repairs undertaken as required and approved at board meeting and general review to consider replacement option.	16/11/2016
9. c)	B	High	Low	8.2	Board unable implement necessary replacement of capital items.	JBA prepare and update for each meeting a 5 year capital programme for IDBs.	16/11/2016
9. d)	B	High	Low	8.2	Security issues not detected and corrected in a timely manner.	Boards with plant have secure depots. <b>Site staff bring any potential security issues to the officers' attentions immediately.</b> <b>Intruder alerts detected automatically and reported immediately through the telemetry system.</b>	16/11/2016
9. e)	B	High	Low	8.2	Board has inadequately level of cover. Board is paying for unnecessary insurance cover.	Towergate Insurance annually review all eight Board policies. IDB supplied with details.	16/11/2016
<b>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?</b>							
10. a)	D	Low	Low	10.1	New staff appointed who lack relevant training, competence, etc.	Interview questionnaires used.	16/11/2016
10. b)	B	High	Low	10.2	Employee dishonesty with regard to qualifications and previous experience may go undetected.	Written references <b>and copies of relevant certificates</b> obtained when new employees are engaged.	16/11/2016
10. c)	B	High	Low	10.3	Discrimination (e.g. by age, gender, race, religion or belief, sexual orientation, disability) may occur in the recruitment process and go undetected. Favouritism and nepotism may likewise occur.	No formal policy in place. Abide by current statute.	16/11/2016
10. d)	D	Low	Low		Opportunities to strengthen links with workforce misses. Also, to avert future disputes & generally improve workplace satisfaction missed.	<b>6-monthly review for new starters. Annual appraisal process for workforce.</b>	16/11/2016
10. d)	D	Low	Low	10.4	Training needs and career development goals of individuals not determined.	Schedule of training needs via the asset manager.	16/11/2016
10. f)	D	Low	Low	10.4	Health and safety needs of individuals not assessed. Accidents and illnesses that should be easily preventable occur.	As above.	16/11/2016
10. g)	D	Low	Low	10.5	No clarity as to each employees roles and responsibilities.	Job specifications in place for recent appointments.	16/11/2016
10. h)	B	High	Low		Employees' remuneration is not appropriate for their level of experience and their current roles and responsibilities. Workplace dissatisfaction through inadequate pay.	Rates increased in accordance with Association of Drainage Authority guidelines. Training and working conditions as 10 e) above.	16/11/2016

Item	Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
10. i) Are there contracts of employment?	B	High	Low	10.6	Employees uncertain of the details of their roles and what is expected of them.	Contracts of employment in place.	16/11/2016
<b>Question 11 - Are there risks of loss of information and continuity?</b>							
11. a) Is there a disaster recovery plan	B	High	Low	11.1	Business IT infrastructure destroyed by fire, vandalism, etc. Severe disruptions to operational effectiveness.	Backup tapes <u>kept off site</u> .	16/11/2016
11. b) Is there a policy of taking and sharing data off site?	B	High	Low	11.1	Major disruption to operational effectiveness as a result of significant loss of data.	As 11. a) above.	16/11/2016
11. c) Is there Insurance cover? Is it regularly reviewed?	B	High	Low		As 9. e) above.	see 9. e) above.	16/11/2016
<b>Question 12 - Is there a risk of lack of awareness of procedures and policies?</b>							
12. a) Is there a proper documentation of procedures and policies?	B	High	Low	12.1	Confusion or disagreements not quickly resolved. Uncertainty over requirements and expected standards.	Recommend that policies be documented at the earliest opportunity. All adopted policy documents available on website. Procedures are in progress <u>(target date 31.3.2017)</u>	16/11/2016
D							
<b>Financial Risks</b>							
<b>Question 13 - Is there a risk of loss of control through an inadequate budget process?</b>							
13. a) Is there a budget linked to planning and objectives?	B	High	Low		As 1. b) above.	See 1. b) above. <b>5-year or 25-year budget forecasts presented at Board meetings.</b>	16/11/2016
13. b) Is the budget regularly reviewed and monitored?	B	High	Low		As 1. c) above.	See 1. c) above.	16/11/2016
13. c) Is there a monitored and adequate skill base to interpret the information?	B	High	Low		Staff, members or other reviewers do not understand the implications of the forecasts they are presented with.	Team members both experienced and suitably qualified.	16/11/2016
13. d) Is there an indication of major dependencies on income sources?	B	High	Low		Board left in financial disarray should such an income stream suddenly cease for any reason.	Highlights requirements of DEFRA Grants and/or Public Works Loans (Capital works).	16/11/2016
<b>Question 14 - Is there a risk of lack of liquidity due to inadequate reserves?</b>							
14. a) Is there a reserves policy linked to business plans and identified risks?	B	High	Low		Board lacks adequate funds to fulfil its statutory obligations. Board unable to remain solvent following a major undesirable event.	<b>The Board have a reserve policy in place, and take it into consideration when setting the budget every year.</b>	16/11/2016
14. b) Is there a regular review of the reserves policy?	B	High	Low		Reserve policy fall out-of-date and are no longer adequate to meet the requirements of the Board.	<b>Policies reviewed periodically, typically 3 or 5 years.</b>	16/11/2016
14. c) Is there a fair reflection of the financial integrity of the Boards reserves?	B	High	Low		Actuality of the Board's financial perform leaves them in a position in breach of their reserves policy.	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. <u>This is ongoing.</u>	16/11/2016
<b>External Risks / Compliance with the Law</b>							
<b>Question 15 - Is there a risk associated with non-compliance with the law or other external factors?</b>							
15. a) Is there a policy of review of the legal requirements extending to the organisation/professional opinion sought re:							
• Employment Law?	B	High	Low		Board in breach of its statutory obligations.	Equal Opportunities policies in existence.	16/11/2016
• Human Rights Legislation?					Same	<b>All applicable law complied with.</b>	



Item		Grade	Impact	Likelihood	Ref	Risks Same Same	Mitigation and Action Required Ian Benn/Craig Benson Health & Safety Advisors. Disciplinary Procedures.	Last Reviewed
15. b)	Is there a policy for monitoring and reporting grant funders' conditions? • Health & Safety? • Criminal Acts?	B	High	Low		Actual costs may exceed budgeted, opportunities to take corrective action missed.	Depends on the scheme. Monitored generally by the project manager.	16/11/2016
<b>Specific Board Risks</b>								
<b>Question 16 - Are there any specific Board Risks?</b>								
16. a)	Is there a major ratepayer whose none payment would significantly impact on the Board activities? • Drainage Rate Payer • Special Levy paying council	B	High	Low		Board left with shortfall in reserves Board unable to pay Creditors Cashflow problems Change in % of Board membership	Reserve Policy and long term planning same same Board awareness.	19/12/2016
16. b)	Is there an over reliance on borrowing monies to fund capital replacement?	B	High	Low		Facility to borrow money may not be available.  Restrictions placed on the level of annual loan repayments as a percentage of Rates and Special Levies  Instigate a council referendum if rate increase is more than 2%.	Increase in drainage rates to build funds specifically for capital replacement. Depreciate asset and set aside funds annual to replace at end of life.  Source other funding possibilities such as Grants, Local Enterprise Partnerships	16/12/2016
16. c)	Environment Agency withdrawal of maintenance on main river and tidal systems	A	High	High		Board's maintenance operations reliant upon EA systems  Agricultural land taken for flood storage thereby reducing drainage rate income of Board	Board consider carrying out work on main river at own cost.  Reduce works on ordinary watercourses	19/12/2016
16. d)	Major Development in Board's District	B	Low	High		Increase in Special Levy on Council  Change in % split of membership of Board.	Council made aware of impact of development on Special Levy. Board made aware of changes to Board membership	19/12/2016
16. e)	Third Party Contributions Cease	B	Low	High		Environment Agency stop Highland Water Contributions. Likely impact would be an increase in the drainage rate	Reduce reliance on this income when budgeting and treat income as bonus and spend on works at end of year.	19/12/2016
16. f)	Failure of Board Asset	B	Low	High		Failure of asset adversely affects the conveyance of water through the Board's District	Board to instigate a proactive inspection regime to mitigate against unplanned failures.	19/12/2016



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