



**Scunthorpe & Gainsborough**

Water Management Board

**Grange Park Golf Club  
Butterwick Road  
Messingham  
Scunthorpe, DN17 3PP**

## **Meeting *Papers***

***Monday, 4 February 2019  
2:00pm***



**Shire**

Group of IDBs

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## Meeting Papers

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CQP

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Rating Officer - Janette Parker

## Purpose

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# 1. Governance

**Recommendation:**

- Note the information contained in this report

## 1.1 Apologies for Absence

Received from John England.

## 1.2 Declaration of Interest

## 1.3 Minutes of the Meeting held 12 November 2018

<b>Member</b>	<b>05.02. 2018</b>	<b>21.05. 2018</b>	<b>12.11. 2018</b>	
Margaret Armiger MA	√	√	√	
David Barratt DB	√			
Adrian Black – Chair AB	√	√	√	
Chris Black CB	√	√	√	
Frank Bottamley FB	√	√	√	
Rod Chapman RC	-	-		
John Coggan JC	√	A	√	
John Collinson JC1	√	A	√	
John England JE	√	√	√	
David Forington DF	√	√	√	
Trevor Foster TF	√	√	√	
Samuel Godfrey SG	√	A	√	
Benjamin Jackson (Vice Chair) BJ	√	√	√	
Jonathan Jackson JJ	A	A	√	
Paul Metherringham PM	√	√	√	
Patricia Mewis PM1	√	√	√	
Ralph Ogg RO	√	√	√	
Dave Oldfield DO	√	√	√	
Neil Poole NP	√	A	√	
Helen Rowson HR	A	A	A	
Jeff Summers JS	√	√	√	

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

Ian Benn (Clerk)  
Craig Benson (Finance Officer)  
Alison Briggs (Environment Officer)  
Paul Jones (Engineer)

Clerk  
FO  
EO  
Eng.

### Appointment of Chair

**2018.60** CEO advised new 3-year term. TF moved present Chairman AB continues in his role, seconded JE, all in favour

### Appointment of Vice-Chair

**2018.61** Chair nominated BJ, seconded CB, all in agreement

### Apologies for Absence.

**2018.62** Apologies for absence were received from Helen Rowson

### Declaration of Interest

**2018.63** DF, PM in Ravensfleet. JC1 and DO in anything associated with planning matters as members of planning committee, in Burringham Parish council associated with Burringham Drainage Strategy and in Catchwater Drain. CB and Chair in Catchwater Drain. JJ in Crosby Soak Mere drain and Burringham/Gunness drainage strategy. SG in Burringham/Gunness Drainage Strategy.

**2018.64** Minutes 21 May 2018 – proposed true record of meeting by TF, all in agreement

### Matters Arising not discussed elsewhere

**2018.65** FB advised the last meeting papers had contained an item regarding his tenure on Board, and he wished to thank Members for that recognition which he had been unable to express at the time. He thanked Members for the condolences received following the loss of Mrs Bottamley.

**2018.36 Management Services.** Chair advised discussion on Management Services would take place at the end of the Agenda

### Complaints

**2018.66** None received.

### CEO's Report

**2018.67** Legislation – GDPR - Members had received notice from ADA on data sharing, copies brought to the meeting would be returned by the Administrator

**2018.68** Flood Risk Management Policy – Been reviewed by Vice-Chair working with Vice-Chair of Ancholme IDB. **JJ proposed acceptance, SG seconded, all in agreement.**

**2018.69** Humber CR Humber FRMS – Clerk attended Elected Members forum on behalf of IDBs on Humber south bank. Recommended reading information available on website. EA had been advised of the requirement for early conversations with landowners likely to be affected. JS had attended, confirming it was an interesting meeting.

**2018.70** Employee remuneration – JJ proposed follow ADA Lincs recommendation, all in agreement

**2018.71** Succession planning – Management had spent considerable time in in District, split with work of Ancholme IDB employee on approximately 75% Board area, Board employee time concentrated in Gainsborough area where he also delivers flail mowing. Ravensfleet station requires majority employee time. Employee operation of pump station as lone worker is inappropriate for H&S reasons. Agricultural members assisting during times of inundation too operate as lone workers. Several H&S issues highlighted requiring work at station in 2010 however not implemented by Gainsborough IDB at that time. Board has a H&S in which lone working is a recorded risk. CB queried whether accidents had occurred which could have been avoided, noted becoming a risk adverse society. CEO advised where employee operating on behalf of Board, it has duty of care to identify risk, assess hazard and deal with them. Employee has lone worker device with man-down facility message would be transmitted and escalated to emergency services where no response. Manual handling activity is a serious issue, giving example of heart attack where there would be no possibility of any attendance within time required to resuscitate. Stations within Gainsborough District dominated by weedscreens requiring manual raking. NP agreed vital a relevant risk assessment undertaken, Board had corporate responsibility to its Employee and Board had to show duty of care. May require contractor to undertake the risk but Board should rely on professional advice. CEO recommendation this should be two-person operation,

acknowledging associated cost. BJ noted if/when Ravensfleet is refurbished, issue will not exist therefore short-term solution is required. JS observed work environment was changing and will do so moving forward, more time will be spent operating telemetry, suggesting Ancholme employee and Board employee work together. **NP moved Board have correct procedures in place to safeguard employees and where necessary Management arrange for two people work together, requesting vote recorded, TF seconded.** JC suggested full report brought back to next meeting, NP concerned about accident in meantime. TF advised key elements are risk and litigation resulting from risk not being covered. DF advised historically had 2 employees between Jenny Hurn and Ravensfleet which leaves employee under pressure. Clerk advised management would like to work with landowners associated with Ravensfleet on any night time pumping ensuring two-person work. CCTV covers activity within station which can be viewed from welfare cabin.

**Members voted on proposal, all in favour.**

**2018.72** FO presented overview of Ravensfleet Catchment and working routine undertaken by Employee. Noted now had written instructions on how to operate diesel pumps. No automated weed screen in Gainsborough district, all require manual operation. Members noted extent of Ancholme and S&G District covered by Ancholme employee where stations have telemetry and automated weedscreens and compared with Board employee coverage of Gainsborough District. Members advised frequency with which tyres require removed from watercourses Employee had previously moved working alone. FO advised Management wanted to produce comprehensive document on each pumped catchment for this Board as was doing for Ancholme IDB, providing example documents to Members. Increasing use of technology considered vital to efficient management of District. Future role for any employee will change significantly.

### Financial Report

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

### Matters Arising

**2018.73** Rating Report – update as of 12<sup>th</sup> November was provided.

**2018.74** Audit – Internal Audit Review – noted, Chairman set to attend.

**2018.75** Estimates y/e 31 March 2018 – noted although Ravensfleet scheme not yet commenced.

**2018.76** 5-year budget estimate – shows slight increase required in rate to deliver Board current requirements.

**2018.77** Schedule of payments – payments totalling £261747.85 had been made from the bank account, £133549.44 of which had been authorised by the Clerk only. Cheque totalled £370 had been issued by Clerk only. **BJ, proposed approved, TF seconded, all in agreement**

### Engineer Report

The Engineer Report, copies of which had been circulated to members with the Meeting papers, was considered.

**2018.78** Asset Management – De-mainment and Asset Transfer. CEO advised Members take time to read information on website. Whilst not directly affecting this Board, it set the scene for future. Management produced flow chart for ADA to disseminate amongst members some 2 years ago to assist with this process which had not been circulated. PSCAs were devised as first process in route to de-mainment and transfer. JC agreed, Members should look at EA watercourse low consequence systems and identify any it considers essential to its district and take advantage of any monies available now; that money has a life time. JJ queried how the Board would fund maintenance of the systems which were the responsibility of EA. JC advised works done on main river by this Board under PSCA because Board consider those works essential in what is low priority system, de-mainment follows and commuted sums/decommissioning sums will be/are passed over to IDBs subject to agreement, EA works under same permissive powers as an IDB. JJ noted money would not be available in perpetuity.

**2018.79** Asset Management - Pump stations – Ravensfleet – business case ready for submission, work done to support higher GiA toward whichever capital work Option moves forward. Key points from information sent to Members had been summarised in papers. Option 3 was to refurbish Ravensfleet, Jenny Hurn & Woofer and refurbish Susworth in

future, Option 5 was to refurbish Ravensfleet and decommission Jenny Hurn and Whoofer and refurbish Susworth in future. Whole life cost consideration shows it is better to manage 2 stations over whole life than 4. Chairman noted this had been discussed at length at previous meeting. **AB proposed Board proceed with Option 3, DF seconded, all in agreement**

**2018.80** Jenny Hurn – de-silting completed

**2018.81** Ordinary Watercourses – tenders being finalised through North Lincs Procurement. Now need to engage with Members on price/quality split and quality questions before issuing

**2018.82** Crosby Soakmere Drain – Information in papers, Eng further illustrated on presentation. Adjacent estate and business park drain into system but serves a much wider catchment to north-west of Scunthorpe. Culvert installed by Board, paid for by Developer of site at time but developer is not riparian owner and no agreements exist for future maintenance. Culvert CCTV shows culvert failure at one side wall however not complete obstruction to flow at present and the on-site situation remains the same as identified 1 month ago. Anglian Water potable system crosses Crosby Soak Mere and Severn Trent Water surface water sewer discharges into it. The Board (similar to the EA) have permissive powers to undertake works, Management has been working with N Lincs as LLFA to further investigate. Board has power to enter and undertake works but is not necessarily responsible for funding works. Potential impact on 1,000 houses as noted by N Lincs, N. Lincs has limited resource to undertake further investigation at present, rough estimation of costs associated with repair could be upward of £30,000. Chairman noted not responsibility of Board and Board had not taken ownership across time. DO declared interest as Gunness Parish Councillor. Chairman advised Management continues to work with North Lincs Council as LLFA. JJ advised pollution issue at time had led to culvert installation by the Board.

**2018.83** 15.21 JC left meeting, giving apology

**2018.84** Main River – Great Catchwater – this PSCA work 100% EA funded however EA has informally advised it wishes to engage with Board in terms of de-mainment of this watercourse which it considers to be a low priority system. Board to understand the benefit to the District before considering and process flow chart will be used.

**2018.85** River Eau – 100% EA funded maintenance work has been completed downstream of Scotter through PSCA.

**2018.86** Burringham Drainage – Eng. advised no update on information contained in papers which advised an overall reduction in volume of flood waters entering the Burringham catchment. Eng. had requested EA/NLC to advise if there is any engagement with landowners in that area. Several Members advised there had and SG advised proposals would impact on Board systems as more water would discharge into controlled flood area. Discussions between EA and landowners advised EA requires use of Burringham PS to discharge flood waters. Members noted NLC planning portal referred to this as Gunness Drainage System. FB advised on historic flooding in the area.

**2018.87** Planning -noted

## Environment

The Environmental Report, copies of which had been circulated to members with the Meeting papers, was considered and the information noted.

**2018.88** Biodiversity Action Plan - noted

## Health & Safety

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





**2018.89** Clerk advised welfare facilities had been replaced.

**2018.90** Representation - Members noted the fora on which the Board had been represented.

**Date of Next Meetings**

**2018.91** 4 February 2019, 13 May 2019, 11 November 2019.

**2018.92** Management left meeting 15:41 enabling discussion of Management Services. PM1 left meeting.

## **1.4 Complaints/FOI requests**

One complaint received associated with Great Catchwater Drain works regarding deposition of arisings, particularly fly-tipped materials. Available to view at Appendix A

## 2. Clerks Report

### Recommendation:

- Note the information contained in this report

### 2.1 De-mainment and Asset Transfer

The Environment Agency/Defra joint Flood & Coastal Erosion Risk Management and Research & Development Programme has released a briefing note late November on Practical Approaches to the Transfer or Decommissioning of FCERM Assets. A copy of the briefing note is available at Appendix B. As previously advised, Great Catchwater Drain has been identified by the Agency as a low-risk system, appropriate for de-mainment.

### 2.2 Policy

Nothing to report.

### 2.3 Environment Agency

#### 2.3.1 Humber Flood Risk Management Strategy

The long list of options has been reviewed and reduced to half original number. A draft set of strategic approaches of Living with the Tide has been produced covering containing the tide, keeping out the tide and accommodating the tide. Engagement with communities and raising awareness forms part of the next steps. The strong message coming from all groups involved in the review is associated with communication. Schemes agreed under the Strategy and within the 6-year plan continue to be delivered.

### 2.4 Association of Drainage Authorities

Hard copies of the Good Governance Guide have been ordered for all Members.

#### 2.4.1 Trent Branch Meeting

The next meeting of the Branch will be held on Thursday 14 February 2019 at Kelham House Country Manor Hotel, Main Street, Kelham, Newark, Notts, NG23 5QP. The meeting will start at 10:00am with coffee served from 09:30am and a light buffet lunch after the meeting.

#### 2.4.2 FLOODEx UK

This year's FLOODEx UK will take place on Wednesday 27 and Thursday 28 February 2019 at The Peterborough Arena. It is free to attend and to register for visitor tickets please visit [www.floodex.co.uk](http://www.floodex.co.uk) for further information.

#### 2.4.3 IDB Governance Workshop

ADA will be holding an IDB Governance Workshop on 20 March 2019 at Doncaster Knights Rugby Club.

## 3. Financial Report

### Recommendations:

- To note the information contained in this report
- To approve the schedules of payments
- To approve removal of uncollectable drainage rates
- To approve the Risk Register
- To approve the Budget for the year ending 31 March 2020

### 3.1 Rating Report

Details of the Rates and Special Levies issued, and payments received up to and including 10<sup>th</sup> January 2018: -

	£	£
Balance Brought forward at 1 April 2018		162.69
<b>2018/2019 Drainage Rates and Special Levies</b>		
Drainage Rates		134,999.04
Special Levies		
North Lincolnshire Council	255,191.00	
West Lindsey District Council	57,496.00	312,687.00
<b>Total Drainage Rates Due</b>		<b><u>447,848.73</u></b>
<b>Less Paid: -</b>		
Drainage Rates		127,606.41
Special Levies		
North Lincolnshire Council	255,191.00	
West Lindsey District Council	57,496.00	312,687.00
<b>Total Drainage Rates Paid</b>		<b><u>440,293.41</u></b>
<b>Balance Outstanding as at 10<sup>th</sup> January 2019</b>		<b><u>7,555.32</u></b>

#### ADMIN ADJUSTMENTS – FOR APPROVAL

	AREA IN HECTARES	ANNUAL VALUE	UNCOLLECTABLE RATES	REASON
	1.214	91.00	7.96	Unable to trace occupier
	0.413	42.00	3.68	Unknown occupier
	NIL	NIL	2.65	Arrears only – land with new occupier
<b>TOTAL</b>	<b>1.627</b>	<b>133.00</b>	<b>10.61</b>	

## **3.2 Audit**

### **3.2.1 Internal Audit Review Meeting**

The meeting of the Internal Audit Review Panel took place on Monday, 26th November 2018. Minutes of the meeting can be found at Appendix C

### **3.2.2 External Audit**

Nothing to report

### **3.2.3 Risk Register**

The Risk Register is attached at Appendix D and requires the Board's approval.

### 3.3 Estimates, Rates and Special Levies for the Year Ending 31 March 2020

SCUNTHORPE & GAINSBOROUGH WATER MANAGEMENT BOARD						
ESTIMATES FOR THE YEAR ENDING 31ST MARCH 2020						
2018/19				2019/20		
Approved Estimate		Estimated Out-Turn		Estimate		
£	£	£	£	£	£	£
<b>INCOME</b>						
<b>Drainage Rates on Agricultural Land:-</b>						
99,050		99,043		8.75p in £ on Av of £1,131,868	99,038	
<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						
255,191		255,191		8.75p in £ on Av of £2,916,465	255,191	
<b>Other Income:-</b>						
40,000		40,786		Foreign Water Contribution (FWC)	40,786	
500		34,942		Other Income	738	
50	488,236	101	523,508	Interest etc	50	489,248
<b>EXPENDITURE</b>						
90,616		90,616		Board Loans	90,616	
8,530		8,530		Environment Agency Loans	8,530	
21,958		0		New Loan - Ravensfleet PS scheme	5,413	
67,147		71,969		Administration	70,435	
220,889		224,997		Watercourse Maintenance	238,250	
0		0		Telemetry Contract	15,000	
127,440	536,580	144,664	540,776	Pumping Stations, etc.	126,890	555,134
<b>Surplus - (Deficit)</b>						
	(48,344)		(17,268)			(65,886)
<b>Balance Brought Forward</b>						
	447,967		514,364			397,096
<b>Transfer to NW&amp;P Account</b>						
	20,000		100,000			40,000
<b>Balance Carried Forward</b>						
	379,623		397,096			291,210
<b>Previous Years Rates in the £</b>						
2012/13 : 8.75p - 2013/14 : 8.75p - 2014/15 : 8.75p - 2015/16 : 8.75p						
2016/17 : 8.75p - 2017/18 : 8.75p - 2018/19 : 8.75p						
Penny Rate : £51,163						

**ESTIMATES FOR THE YEAR ENDING 31ST MARCH 2020**

**NEW WORKS AND PLANT ACCOUNT**

2018/19					2019/20	
Approved		Estimated				
Estimate		Out-Turn				Estimate
£	£	£	£		£	£
				<b><u>INCOME</u></b>		
20,000		100,000		Transfer from Revenue Account	40,000	
0		44		Interest	0	
400,000		0		PWLB Loan	100,000	
<u>431,000</u>	851,000	<u>0</u>	100,044	Grant Income	<u>195,000</u>	335,000
				<b><u>EXPENDITURE</u></b>		
0		10,000		Ravensfleet PS Penstock	0	
0		9,660		River Eau - Scotter Improvement Scheme	0	
0		13,702		Welfare Unit (Ravensfleet PS)	0	
932,240		0		Ravensfleet PS Refurbishment	573,000	
0		0		PAR Submissions	24,000	
<u>0</u>	<u>932,240</u>	<u>2,245</u>	<u>35,607</u>	Ravensfleet to Susworth Study	<u>0</u>	<u>597,000</u>
	(81,240)		64,437	Surplus - (Deficit)		(262,000)
	<u>225,922</u>		<u>205,924</u>	Balance Brought Forward		<u>270,361</u>
	<b><u>144,682</u></b>		<b><u>270,361</u></b>	<b>Balance Carried Forward</b>		<b><u>8,361</u></b>

### 3.4 Five Year Budget Estimate

The five-year budget estimate is shown below.

	0	0	1	2	3	4	5
	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	Est.	Estimated Out-turn					
Income & Expenditure Account	Out-turn						
	£	£	£	£	£	£	£
<b>Income</b>							
Drainage Rates	134,992	134,987	138,844	142,701	150,415	154,271	154,271
Special Levies	312,687	312,687	321,621	330,555	348,423	357,357	357,357
Rental Income	200	200	200	200	200	200	200
Foreign Water Contribution	40,786	40,786	40,786	40,786	40,786	40,786	40,786
Other Income	34,742	538	554	571	588	606	624
Bank Interest	101	50	50	50	50	250	250
<b>Total Income</b>	<b>523,508</b>	<b>489,248</b>	<b>502,055</b>	<b>514,863</b>	<b>540,461</b>	<b>553,469</b>	<b>553,488</b>
<b>Expenditure</b>							
Drain Maintenance (Silt Removal)	-	-	-	-	-	-	-
Maintenance of Pumping Stations	144,664	126,890	129,428	132,016	134,657	137,350	140,097
Drains Maintenance	224,997	238,250	188,450	191,459	194,528	197,659	200,852
Administration	71,969	70,435	72,500	74,025	75,576	77,465	79,402
Loan Repayments:-	99,145	99,145	99,145	99,145	99,145	95,350	88,077
New Loans	-	5,413	5,413	5,413	5,413	5,413	5,413
Telemetry Contract	-	15,000	15,000	15,000	15,000	15,000	15,000
<b>Total Expenditure</b>	<b>540,775</b>	<b>555,133</b>	<b>509,936</b>	<b>517,059</b>	<b>524,319</b>	<b>528,237</b>	<b>528,841</b>
Surplus/(Deficit)	(17,267)	(65,885)	(7,881)	(2,196)	16,142	25,232	24,646
Balance Brought Forward	514,362	397,095	291,210	283,329	281,132	297,274	322,506
Contribution to NW&P Account	100,000	40,000	-	-	-	-	-
<b>Balance Carried Forward</b>	<b>397,095</b>	<b>291,210</b>	<b>283,329</b>	<b>281,132</b>	<b>297,274</b>	<b>322,506</b>	<b>347,153</b>
<b>New Works and Plant Account</b>	<b>270,361</b>	<b>8,361</b>	<b>324,361</b>	<b>313,361</b>	<b>105,561</b>	<b>205,561</b>	<b>205,561</b>
<b>Penny Rate in £</b>	<b>8.75p</b>	<b>8.75p</b>	<b>9.00p</b>	<b>9.25p</b>	<b>9.75p</b>	<b>10.00p</b>	<b>10.00p</b>
<b>Penny Rate £51,073</b>	<b>104%</b>	<b>50%</b>	<b>119%</b>	<b>115%</b>	<b>77%</b>	<b>100%</b>	<b>105%</b>
<b>I&amp;E Balance as % of Expenditure</b>	<b>73%</b>	<b>52%</b>	<b>56%</b>	<b>54%</b>	<b>57%</b>	<b>61%</b>	<b>66%</b>

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	Est.	Estimated Out-Turn					
New Works and Plant Account	Out-turn						
	£	£	£	£	£	£	£
<b>Income</b>							
Transfer from I&E	100,000	40,000	-	-	-	-	-
Interest	44	-	-	-	-	-	-
Loan	-	100,000	-	-	-	-	
Possible Grant Income		195,000	600,000	100,000	200,000	100,000	
<b>Total Income</b>	<b>100,044</b>	<b>335,000</b>	<b>600,000</b>	<b>100,000</b>	<b>200,000</b>	<b>100,000</b>	<b>-</b>
<b>Expenditure</b>							
Ravensfleet PS Penstock	10,000						
Welfare Unit (Ravensfleet PS)	13,702						
4x4 vehicle				20,000			
PAR Submissions		24,000	24,000	24,000			
Jenny Hurn PS refurbishment			260,000				
Ravensfleet PS Refurbishment		573,000					
Ravensfleet to Susworth Strategic Study	2,245						
Whoofer PS Refurbishment				67,000			
Susworth PS Refurbishment					407,800		
River Eau - Scotter Improvement Scheme	9,660						
<b>Total Expenditure</b>	<b>35,607</b>	<b>597,000</b>	<b>284,000</b>	<b>111,000</b>	<b>407,800</b>	<b>-</b>	<b>-</b>
Surplus/(Deficit)	64,437	(262,000)	316,000	(11,000)	(207,800)	100,000	-
Balance Brought Forward	205,924	270,361	8,361	324,361	313,361	105,561	205,561
<b>Balance Carried Forward</b>	<b>270,361</b>	<b>8,361</b>	<b>324,361</b>	<b>313,361</b>	<b>105,561</b>	<b>205,561</b>	<b>205,561</b>



## 3.5 Schedule of Payments

### 3.5.1 List of Cheques

None to report.

### 3.5.2 Payment Made Directly from the Bank Account

DATE		REF	PAYEE	DESCRIPTION	VALUE	
2018					£	
Oct	19th	97	DC Bichan	Contract Maintenance	15,957.16	
		98	Ebsford Environmental Ltd	Contract Maintenance	14,544.06	
		102	JBA Consulting	Management Fees	15,615.00	
	22nd	108	Iris Business Software Ltd	Auto-enrolment Fees	14.78	*
		101	Iris Business Software Ltd	Open Payslips	7.39	*
		112	Woldmarsh Producers Ltd	Supply to Jenny Hurn PS	151.89	*
				Supply to East Butterwick PS	85.11	*
				Supply to Susworth PS	321.35	*
				Supply to Lysaghts PS	685.82	*
				Supply to Burringham PS	390.53	*
				Supply to East Butterwick PS	357.14	*
				Supply to Flixborough PS	78.74	*
				Telemetry Lines	101.89	*
	31st	-	NatWest	Bank Fees	7.70	*
Nov	8th	118	AA Sewercare Ltd	CCTV Survey - Hilton Avenue	720.00	*
		113-4	ACS Electrical Engineering Services	Electrical Works - Ravensfleet PS, etc.	3,143.18	*
		103	ADA	Conference Fees	144.00	*
		104	Dexel Tyre & Auto Centre	Tractor Tyre	687.00	*
		105	H Mell & Son	Ravensfleet PS - Pressure Valve	151.32	*
		106-7	Ian Pollard	Ravensfleet PS - Welfare Unit Plumbing, etc.	790.00	*
		110	Lyons of Gainsborough Ltd	Tools & Equipment	11.76	*
		116	Perry's Pumps Ltd	Mechanical Inspections & Report	1,710.00	*
		117	Safetyshop	Oil Spill Kits, etc.	397.10	*
		119	W Barratt & Sons Ltd	Pumping Station Maintenance (Spraying)	600.00	*
		-	HMRC	PAYE/NI	466.00	*
		-	Employee	Wages	1,357.21	*
		-	B&CE Holdings	Pension Contributions	116.08	*
	9th	111	Watson Petroleum	Gas Oil	943.74	*
	12th	78pt	Remote Asset Management Ltd	Vehicle Tracking	20.64	*
	13th	124	Fuel Genie	Fuel Account	197.00	*
	15th	120	3 Business Services	Mobile Broadband - Ravensfleet CCTV Unit	18.61	*
		121-3	Ebsford Environmental Ltd	Contract Maintenance	40,506.90	
			JBA Consulting	Fee Accounts: -		
		109		BAP Implementation	1,741.14	
		115		Credit - Management Fees	-477.00	
		-	NatWest	Bankline Fees	23.15	*
	21st	127	Iris Business Software Ltd	Auto-enrolment Fees	14.78	*
	23rd	128	Iris Business Software Ltd	Open Payslips	7.39	*
	26th	136	Woldmarsh Producers Ltd	Supply to Susworth PS	310.55	*
				Supply to Lysaghts PS	877.63	*
				Supply to Burringham PS	484.82	*
				Supply to East Butterwick PS	217.88	*
				Supply to Ravensfleet PS	262.25	*
				Supply to Jenny Hurn PS	249.74	*

				Supply to Flixborough PS	85.48	*
				Supply to Pauls Malt PS	31.06	*
				Supply to Whoofer PS	69.66	*
				Supply to Black Bank PS	362.15	*
				Arco Ltd - Signs & Spillage Kits	5,562.80	*
				Membership Fees	169.66	*
				Ravensfleet PS - Meter Operator Service	168.00	*
				East Butterwick PS - Meter Operator Service	168.00	*
				Jenny Hurn PS - Meter Operator Service	168.00	*
				Flixborough PS - Meter Operator Service	168.00	*
				Telemetry Lines	90.88	*
	30th	-	NatWest	Bank Fees	9.80	*
Dec	4th	134	ADA Trent Branch	Branch Subscription	45.00	*
		125	Controlstar Systems	Telemetry Maintenance Contract	1,146.00	*
		126	Danvm Drainage Commissioners	Cardnet Fees, etc.	90.66	*
		133	Grange Park	Meeting Expenses	75.00	*
		129,135	Lyons of Gainsborough Ltd	Tools & Equipment	78.22	*
	6th	-	Employee	Wages	1,441.55	*
		-	B&CE	Pension Contributions	124.61	*
	10th	78pt	Remote Asset Management Ltd	Vehicle Hire	20.64	*
	13th	137	Fuel Genie	Fuel Account	185.00	*
	17th	131	Public Works Loan Board	Loan Repayment	37,899.09	*
		132	3 Business Services	Mobile Broadband - Ravensfleet CCTV Unit	15.98	*
		-	NatWest	Bankline Fees	26.30	*
	19th	138	Anglian Water	Supply to Jenny Hurn PS	11.97	*
		144	ID Spares & Services Ltd	Weedscreen Inspection Reports	1,814.07	*
		145	Lyons of Gainsborough Ltd	Tools & Equipment	26.04	*
		146	Safechem Ltd	Welfare Unit - Odour Control	105.29	*
		-	HMRC	PAYE/NI	482.20	*
	20th	139-40, 147-8	Ebsford Environmental Ltd	PSCA Work & Contract Maintenance	54,022.81	
		130	NX1 (UK) Limited	Ravensfleet PS - CCTV Unit	5,046.00	
		156	Woldmarsh Producers Ltd	Supply to Susworth PS	254.99	*
				Supply to Lysaghts PS	901.73	*
				Supply to Burringham PS	647.82	*
				Supply to East Butterwick PS	251.64	*
				Supply to Black Bank PS	207.13	*
				Supply to Ravensfleet PS	579.37	*
				Supply to Jenny Hurn PS	358.40	*
				Supply to Flixborough PS	87.26	*
				Supply to Whoofer PS	38.80	*
				Safety Signs	40.34	*
				Black Bank PS - Meter Operator Service	168.00	*
				Telemetry Lines	97.96	*
	21st	151	Iris Business Software Ltd	Auto-enrolment Fees	14.78	*
		152	Iris Business Software Ltd	Open Payslips	7.39	*
	31st	-	NatWest	Bank Fees	5.60	*
<b>2018</b>						
Jan	3rd	-	Employee	Wages	1,259.52	*
	4th	-	B&CE Holdings	Pension Contributions	106.20	*
			<b>Total</b>		<b>218,748.28</b>	
			<b>* Total amount of direct debits and payments approved by the Clerk Only</b>		<b>71,792.21</b>	

## 4. Engineer's Report

### Recommendations:

- To note the information within this report

### 4.1 Asset Management

#### 4.1.1 Water Level Management

##### North Lincolnshire Flood Risk Board

The following updates were provided to the NLFR Board on 12<sup>TH</sup> December:



Our Ref: PJ/S&GWMB/05

December 2018

**NORTH LINCOLNSHIRE STRATEGIC FLOOD RISK BOARD**



Please find below a strategic update on behalf of the IDB:

- The IDB has ratified the decision to refurbish all three pumping stations within the Ravensfleet catchment with a view to rationalisation of the catchment at the end of the useful life of the structures. The Business Case will now be submitted on this basis.
- The IDB is also liaising closely with the EA with regards to the future maintenance and operation of all Trent gravity outfalls.
- The EA and IDB PSCA has permitted maintenance on Main Rivers River Eau, (downstream of Scotter) and Great Catchwater this year.
- A meeting is being arranged with NLC and Mott MacDonald with regards to Lincolnshire Lakes, Burringham Pumping Station and the proposed overspill area. The IDB has also liaised with the EA in relation to future Project Board meetings.
- Raising awareness of riparian responsibilities in relation to piped ordinary watercourses is likely to be a key objective moving forwards with sinkholes currently appearing at the rear of households off Soakmere Drain to the rear of Hilton Avenue, Scunthorpe. CCTV and investigations have and are being carried out by the IDB and NLC. Funding any remedial works is still to be determined.

Yours faithfully,

For and on behalf of the Scunthorpe & Gainsborough WMB,

Epsom House  
Chase Park  
Redhouse Interchange  
Doncaster  
South Yorkshire  
DN6 7FE  
United Kingdom

T +44 (0)1302 33 77 98

E [info@shiregroup-idbs.gov.uk](mailto:info@shiregroup-idbs.gov.uk)

[www.shiregroup-idbs.gov.uk](http://www.shiregroup-idbs.gov.uk)

Clerk and Engineer to  
Ancholme IDB  
Black Drain DB  
Danvm Drainage Commissioners  
Goole & Airmyn IDB  
Goole Fields District DB  
Scunthorpe & Gainsborough WMB  
Sow and Penk IDB

Engineer to  
Kyle & Upper Ouse IDB  
Selby Area IDB  
Swale and Ure DB

### Notes:

- updated DEFRA / EA partnership calculator to be released (June 2020) - likely altered outcomes measures and scope change - more emphasis on people & houses (social impact)
- Humber Strategy incorporated into MTP - strategy to be signed off well into 2020.
- NL Local Plan, align future IDB EA LLFA schemes to development and work with NLC to obtain Section 106 monies to support work to support growth.
- March expected MTP allocations

- potential approach to Trent RFCC local levy - Crosby & Soakmere Drain collapse - local levy approach through Emily Mayle EA - RFCC will need to know what the future maintenance agreement is, if funded. Meeting on site to be arranged with IDB Officers, NLC, Severn Trent, Anglian Water
- wider discussion suggested for Anglian & Trent RFCCs on piped riparian responsibilities
- Keadby PAR submitted 2 weeks ago - expected approval January 2019 - contract issue Feb (build March 2019 to March 2021) increased by £4m due to outfall sheet piling from river as temp cofferdam
- maintaining status quo for Susworth flood cells at present to align with Humber Strategy and working with S&GWMB hydraulic modelling
- NLC confirmed 17m long sheet piles in Burringham flood defences - owners being consulted - collaboration agreement being discussed between NLC, EA and owners. Kate Mills from North Linc Lincolnshire Lakes lead to also attend Motts and NLC meeting (check contact details with Sam Cross) - tie in messages from all about what is being communicated to owners

#### **4.1.2 Pumping Stations**

##### **Ravensfleet Pumping Station**

Christmas Eve 2018; one penstock on the diesel pump discharge pipe failed to close resulting in the diesel pumps needing round-the-clock monitoring whilst operational.

The pumps were run and monitored by your Employee Phil Gibson, Craig Benson, and Contractors / Local Land Owners David Revill and Mark Pettit on Christmas Eve, Christmas Day and Boxing Day.







The reason for continuous running of the diesel was due to high River Trent water levels which posed a potential back-flow to the system and potential damage to the diesel pumps without the penstock closed.

Several Contractors were contacted on Christmas Eve evening including Perry's Pumps, Chris Mell, P&R Plant Hire, and PMP Utilities. Chris Mell attended on Christmas Day but was not able to resolve the issue at that time, and Perry's Pumps attended on Boxing Day resulting in being able to temporarily lower the penstock plate so that the diesel pump could be shut-off and further inspections undertaken. Both P&R and PMP responded on Christmas Eve and offered support from Boxing Day onwards if needed.





Perry's pumps have removed the bronze shaft and nut and are being machined before replacement. Costs and timescales are being determined with the Contractor.

#### **Jenny Hurn Pumping Station**

The refurbishment of Jenny Hurn Sulzer Pump No 2 has been completed and the pump returned to site and fully commissioned, the station has therefore been returned to its full operational capacity.

Quotations have been obtained and are being considered by the Chairman in relation to identified H&S related Electrical issues at the station that will improve operating conditions and reduce H&S risks and therefore liabilities on the Board.

### **4.1.3 Maintained Ordinary Watercourses**

#### **Watercourse Maintenance Service Tenders**

Evaluation Panel Members were contacted and agreed to the proposed quality questions within the tender and for the Price Quality split being 60% Quality / 40% Price based upon quality being the driving objective.

North Lincolnshire Council Procurement team has advertised the Contract through OJEC with tenders being available from 10<sup>th</sup> January. Closing Date for returns is 11<sup>th</sup> February @ 1pm.

Incumbent Contractors have been contacted directly by North Lincolnshire Council regarding the release of tenders and checking on any TUPE requirements.

Evaluation Panel Members will be contacted regarding tender evaluation dates.

#### **4.1.4 Main River**

##### **Great Catchwater**

The removal of emergent growth Maintenance Works on the full length of the Great Catchwater system within the Board District has been completed and full payment of the costs has been received from the Environment Agency.

##### **River Eau**

The Environment Agency approached the Board and requested its support in the delivery of a specific maintenance requirement on a section of the R.Eau, immediately downstream of Scotter. This work was successfully completed by the Boards Contractor and fully funded by the Environment Agency.

##### **EA Future Position Statement**

*Many thanks for submitting a cost summary for proposed PSCA maintenance works on the Messingham and Great Catchwater Main river systems.*

*At this time, the Environment Agency are unable to support the Board, financially, on the delivery of works on Messingham Catchwater. There is little flood risk benefit for the Environment Agency here – however, we would still be happy to transfer over our powers to enable the Board to fund their own works on this stretch if that is of interest to you?*

*For the Great Catchwater PSCA proposed works – we are happy to support the £30,162.50 to complete the works, but on the understanding that the Board would pay for the pre-works definition. In the future, we see the Great Catchwater as the next candidate (after Snow Sewer) for our Main River rationalisation programme – including our outfall and penstock at Ravensfleet. We have no intention of undertaking any of our own maintenance works on this stretch due to funding restraints. As part of your pump station rationalisation and Ravensfleet refurbishment, we see the long term management of these assets sitting with the Board (or other body).*

*Many thanks,*

*Francesca Brownhill  
FCRM Advisor  
Asset Performance (North)  
East Midlands Area*

*Owston Ferry Depot  
South Street  
Doncaster  
DN9 1RR*

## **4.2 Planning, pre-application advice and consents**

### **4.2.1 Planning Applications**

Officers have reviewed 385 planning applications between 23 October 2018 and 7 January 2019 18 of which have required comment on behalf of the Board. Land Drainage Act 1991 Section 23 and 66 (Byelaws) Consents

2 no. consents have been issued on behalf of the Board between 23 October 2018 and 7 January 2019.



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

No consents have been issued on behalf of the Board between 23 October 2018 and 7 January 2019.



## 5.Environmental Report

**Recommendation:**

- Note the information contained in this report

### 5.1 Biodiversity Action Plan 2015-2020

BAP implementation work will recommence Spring 2019

## 6. Health, Safety and Wellbeing Report

### Recommendations:

- To note the information contained in the report

### 6.1 Board Employees

#### 6.1.1 Role and Responsibilities

#### 6.1.2 Accidents and Incidents

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

#### 6.1.3 Welfare Facilities

#### 6.1.4 Mental Health and Wellbeing

## 7. Representation

The Board is represented at several fora:

Environmental	Flood Risk Management	Other
EA/ADA Eel Liaison Group	Humber Flood Risk Management Steering Group	ADA Technical & Environment Committee
Humber Estuaries Relevant Authorities Group (HERAG)	Comprehensive Review Humber Strategy workshops	ADA Policy & Finance Committee
	Humber Strategy Officers Group	

## 8. Date of Next Meeting

13 May 2019, 11 November 2019

## 9. APPENDIX A: Complaint

### Complaint 1.

From: Cxxxx  
Sent: 23 November 2018 08:38  
To: Alison Briggs <Alison.Briggs@shiregroup-idbs.gov.uk>  
Subject: Re: Great Catchwater Drain

Dear Ms Briggs

The contractors have been in evidence this week and contrary to your comments below have made almost as much mess as the last bunch of cowboys.

I have no idea what you are talking about when you say the drain would be accessed from my neighbour's land. The drain is accessed from the verge on the side of the lane which is a byway. We as owners of Catchwater Farm are held responsible for the land on the verge to which you are referring and also the actual lane in conjunction with Ashtree Farm opposite, as absolutely no maintenance of roads or verges is undertaken by anyone except ourselves. We cut the grass and fill in the potholes on the road created by farm traffic and vehicles such as those used by the EA.

Whilst there is less silt on the bankside than last year there are plastic bags of waste and other debris and your contractor parked their vehicle overnight on the mowed and maintained part of the bank. Upon speaking to a man in a contractor's van yesterday he informed me that further down the lane looked much worse than ours! I have not ventured any further down the lane to check yet. Also, that they had no intention of tidying the banks or removing debris and that he had been informed by the Environment Agency that removal was "the responsibility of the person who put it there"!! I cannot imagine that you would have allowed such a disgusting mess to be left had the drain run through the middle of a housing estate. I offered you land on which to deposit the silt, but it was obviously cheaper and easier to just dump it.

As for the Environment Agency I thought they were supposed to be responsible improving and maintaining land not desecrating it still further. In previous years prior to the 2016 fiasco, contractors have placed waste on the opposite side of the lane and levelled it as they went, actually showing some pride in their work. Also, the work was undertaken in summer time when far less damage to the banks would have occurred.

I will raise an invoice in due course for tidying and reinstatement of the land along the length of my property unless you'd like to cancel my drainage rates for the next 10 years. In future I suggest you ask us to maintain the stretch of drain bordering our land ourselves as we would do a professional and far more effective job, having regard for the users of the lane and the people who live here.

Regards  
Cxxxxxxx

**Response 1.** On **23 Nov 2018**, at 10:34, Alison Briggs <Alison.Briggs@shiregroup-idbs.gov.uk> wrote:

Good morning Mrs Cxxxxx,

Thank you for your email. The Board shares your concern with the ever-present fly tipping, a rather unpleasant social issue, which in watercourses, can lead to an increase in the risk of flooding. Several dozen tyres, a mattress and other items have been deposited in Great Catchwater Drain adjacent to the Byway to its junction with Loughton Road, those who fly-tip without compunction prefer vehicular access, permitting them to tip in bulk.



The byway on the opposite side of Great Catchwater Drain is in parts registered to landowners, in other parts remains unregistered freehold. The watercourse Great Catchwater Drain has several riparian owners along its length.

Both the Drainage Board and the Environment Agency operate under Permissive Powers as set out in the Land Drainage Act 1991 (as amended) and Water Resources Act 1991. The legislation details how arisings from watercourses can be deposited, the Board work in compliance with that legislation. Any arisings from a watercourse in the form of fly tipped waste, are the responsibility of the landowner/riparian owner to remove from site, not something many realise.

The Board's contractor has been undertaking work on the drain to facilitate the flow of water down to Ravensfleet where it either discharges under gravity into the river Trent or is released into the Scunthorpe & Gainsborough WMB systems to be evacuated through pumping at the Ravensfleet station. This work on main river has been delivered on behalf of the Environment Agency under a Public Sector Co-Operation Agreement and the work inspected by the Agency.

It is possible for riparian owners to undertake work in Main River, which is the classification for Great Catchwater Drain however, to do so requires the consent of the Environment Agency. Details of how this can be done are found at: <https://www.gov.uk/guidance/flood-risk-activities-environmental-permits>

Agricultural Drainage Rates and Special Levy form the majority of Board income which is used to undertake work within the Board's District on any watercourse other than Main River and to meet the cost of repair and maintenance of its pump stations and the cost of electricity and/or diesel used to deliver that pumping activity.

Regards,

Alison Briggs BSc., (Hons) Env.Sc., MSc., Env. Mngt: Climate Change  
Environment Officer and Administrator to the Shire Group of IDBs  
From: xxxxxxx

**Complaint 1a. Sent: 23 November 2018 10:55**

To: Alison Briggs <Alison.Briggs@shiregroup-idbs.gov.uk>

Subject: Re: Great Catchwater Drain

Good Morning

Thank you for your prompt response.

I am well aware that authorities offload the responsibility for the removal of fly tipped waste whether in a drain or anywhere else, upon the landowners causing yet further burden to landowners. It does not alter the fact that your contractors are in themselves fly tipping by leaving the waste on the banks of the drain. I fail to see how you can justify dumping rubbish on the side of the drain just to facilitate smooth running of your own waterways, particularly in an area where it is obviously maintained. That is just passing the buck. I repeat that you would not have done this had the drain run through a housing estate. I may as well throw the lot back in the drain and leave it until next year. As for taking care of the free running of the waterways that is a joke. The Agency's attention to that detail has been slack to say the least. For several years no one bothered to clear the drain at all which was why someone took it into their own hands in 2016.

I am wasting no further time in communication

Regards

Cxxxxxx

**Response 1a**

**Sent 23 November 2018**



Hello Mrs Cxxxxx,

Fly tipping is not pleasant to look at and I understand your irritation unfortunately fly-tipping is and always has been, the responsibility of the landowner or riparian owner to address.

Clearance of fly-tipped materials by the Board on behalf of the Agency has been done in liaison with West Lindsey District Council, which has the responsibility of enforcement action. The Council is satisfied with the approach to leave the fly tipping on the side of the verge and to notify landowners of their responsibilities, which has been done.

Fly tipping occurs in all parts of the district, including in watercourses running adjacent to main roads bordered by residential property. The material is removed from the watercourse in the same manner and left on bank top from where it is subsequently taken away by the Local Authority where it has responsibility for the adopted highway.

I am assuming your suggestion of depositing the fly-tipping back in Great Catchwater was borne from frustration and not something you intend to do.

From the Environment Agency perspective, Great Catchwater Drain is a low risk, low priority system; from the Board's perspective, free flow of this highland carrier has an impact on its own systems should overtopping from Great Catchwater occur, particularly in the lower reaches.

I have recently been informed work undertaken on the upstream end of Great Catchwater in 2016 was done to facilitate abstraction from the drain, not the flow of water, I do however appreciate that may simply be interpretation or speculation as no one appears to be certain who did the work.

Regards,

Alison Briggs BSc., (Hons) Env.Sc., MSc., Env. Mngt: Climate Change  
Environment Officer and Administrator to the Shire Group of IDBs

## 10. APPENDIX B: De-mainment and Asset Transfer



Llywodraeth Cymru  
Welsh Government



### Flood and Coastal Erosion Risk Management Research & Development Programme

#### Practical Approaches to the Transfer or Decommissioning of FCERM Assets (PATDA)

##### Briefing Note #4 (November 2018)

##### Why are we doing this research?

This project is about ensuring we have the “Right people, managing the right assets in the right way.”

Risk management authorities, including the Environment Agency, local authorities, internal drainage boards and water companies, must ensure that resources are focussed on maintaining existing flood and coastal erosion risk management (FCERM) assets. Such assets are maintained where there are sufficient economic, flood/erosion risk or environmental justifications or legal reasons to do so. This means that, in some cases, maintenance of some assets may no longer be economically justifiable, or environmentally desirable, or have a high enough priority to attract funding in the longer-term. In these situations, the assets may be decommissioned (abandoned, removed or demolished) or transferred (via sale or handover) to others.

This project is investigating the issues involved in transferring or decommissioning assets, and how this can be done in a way which minimises impacts to flood/erosion risk and the environment (seeking to make environmental gains where feasible). The project is also considering the how best asset operators can work with others locally to explore and implement changes to the current maintenance regime.

##### What are we hoping to achieve?

We will produce a practical guide for everyone involved in the transferral or decommissioning of assets. We expect this to be used by organisations and local authorities as well as by communities, riparian owners and landowners.

##### How are we going to do it and progress to date?

Delivery of this research project will occur in three stages. The following summarises each stage and progress to date.

##### Stage 1 – Information Gathering

We completed this stage in October 2018. Key outputs included:

- Identification of all of the practical issues around the decommissioning or transfer of FCERM assets;





Department  
for Environment  
Food & Rural Affairs



Cyfoeth  
Naturiol  
Cymru  
Natural  
Resources  
Wales



Llywodraeth Cymru  
Welsh Government



Environment  
Agency

## Flood and Coastal Erosion Risk Management Research & Development Programme

- A concise summary of key existing knowledge in this area based on extensive literature search and engagement with practitioners who have experience of undertaking asset transfer or decommissioning;
- Confirmation of the scope of focussed research in the next stage of the project.

This stage also identified that the end-user guidance to be produced by this R&D project needs to:

- Be written primarily for FCERM practitioners (i.e. those operating FCERM assets).
- Be written on the basis that a decision has been made to change from the current asset management regime to "something different", and provide guidance to support the practitioner in putting that change into practice.
- Emphasise the importance of well-planned engagement from the start of the process, and how to go about this.
- Provide an initial checklist of matters the current operator should consider, and information they should gather, before they commence the process.

### Stage 2 - Identifying and capturing good practice approaches

This stage has recently commenced and is expected to run until Spring 2019. It will include:

- Developing the principles and scalable-framework for the new practical end-user guidance, further developing the findings from Stage 1.
- Retrospective testing of the framework on three sites where asset transfer or decommissioning has already occurred, to determine how the framework would have been used if it was available to those sites at that time.
- Development of a number of case study examples.

### Stage 3 - Produce practical user guide

In this final stage, we will produce user focussed guidance to assist those involved in the transferral or decommissioning of assets. At this stage we will seek comments on the draft guidance from all those we have engaged with during the course of its development. The final guidance will then be published in the latter part of 2019.

### Contact details

If you would like to know more about this project, or contribute to it, please contact us at: [PATDAconsultation@environment-agency.gov.uk](mailto:PATDAconsultation@environment-agency.gov.uk). Alternatively, contact: Dave Hart (Environment Agency Project Manager): [David.Hart@environment-agency.gov.uk](mailto:David.Hart@environment-agency.gov.uk); or Alan Frampton (Jacobs Project Manager): [Alan.Frampton@jacobs.com](mailto:Alan.Frampton@jacobs.com).

## 11. APPENDIX C: Minutes of the Audit Review Meeting

**Held at JBA Consulting, Epsom House,  
Monday, 26 November 2018**

**Present:** Mr David Hinchcliffe (DH) Black Drain Drainage Board  
Mrs Gillian Ivey (GI) Danvm Drainage Commissioners  
Mr Christopher Day (CD) Ancholme Internal Drainage Board  
Mr Andy Cane (AC) Brodericks GBC

### **In Attendance on behalf of JBA Consulting:**

Mr David Blake (DB) (Financial Officer to the Shire Group of IDBs)  
Mr Mark Joynes (MJ) (Financial Officer to the Shire Group of IDBs)

### **Introductions and Apologies for Absence**

MJ welcomed the members. Apologies for absence were received from Mr Ray Sutherland, Mr Martin Oldknow and Mr Adrian Black.

### **Minutes of the Last Meeting / Matters Arising**

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

### **Risk Register**

The panel discussed the new format and MJ explained that the single-page 'generic' risk register was underpinned by a more detailed register. Every drainage board would be presented with its own custom risk register with along with the generic one. In all cases a 'traffic-light' system was employed to highlight risk gradings by severity and likelihood.

DB said the risk levels would be scored by the clerks, but that the individual Boards must review and approve the risk gradings, modifying them where necessary. AC said it was important for individual Boards to take ownership of the registers.

DB briefly showed the panel the Danvm DC detailed register by way of example, with the detailed risks as yet unscored. The document contained points of mitigation and individual action plans. GI said she would like to see the detailed Danvm DC register before circulation with the January 2019 meeting papers. DH said likewise for the Black Drain DB register. AC suggested risks should be scored harshly in the first instance to better attract members' attention.

DB took panels members through the introductory text and explained the document in the wider context of risk management policy. Risk policy should be in line with asset management and should be monitored & reviewed on a quarterly basis and presented to the board annually. DH said while there was no accounting for unknowns, risk levels should change little once correctly assessed, AC agreed. GI said in local authority meetings, risks were listed in individual reports, so they can be considered for inclusion in the wider risk register.

### **Internal Auditor's Report**

The internal auditor reviewed the work undertaken on the 2017/18 accounts. In general, the internal auditor was satisfied with how things were run and said there were no major concerns. CD noted that several items appeared in all reports. AC said the items listed in the schedule as 'other matters' merely highlighted the areas that had been investigated and did not necessarily indicate any concern. The panel then discussed the following points:

#### Decision Making & Member Attendance

The panel discussed this issue. AC said that while had been some improvement, this issue was still a concern. In some cases, it was elected members and in others it was local authority nominated members. After an enquiry from CD, DB confirmed the quorate levels were fixed single figures and were not broken down over the two categories. DH noted it was often difficult to get Doncaster MBC to appoint members and that the board could miss out on those members' experience. CD said tours of the district had proved hugely instructive for new members.



#### Supplier Bank Details and Associated Fraud Risk

AC gave the panel a summary of his views on this issue. He was pleased to report that general awareness of these issues had improved but it remained a major concern for him as an auditor in general. He informed the panel an estimated £500m had been lost nationwide in fraudulent payments. CD said he had recently attended a seminar organised by HMRC and they were extremely concerned by the problem.

AC reaffirmed that once money was lost the funds may never be traced and the board would have to bear the loss. On the other hand, if any bankers' own systems were hacked, responsibility would lie with the bankers, and the board could recover their losses.

CD asked for an explanation of the current system of payment. MJ gave a brief description saying he personally verified all the creditors' records before submitting payment batches. DB said there should be safeguards in place against the officers committing fraud. GI expressed concern that, as a signatory, responsibility ultimately lay with the chairman. MJ said the signatories had to place reliance on the work done by the officers. MJ said he would be happy to supply evidence of clients' bank details if required. After a query from CD, MJ informed the panel all board members were protected by members liability insurance. MJ said controls should be in place to manage the risk of fraud from all parties.

AC said business do not change their suppliers often and it was this area he regarded as especially susceptible to fraud. To lesser extent, the bank details of new suppliers also posed a risk. In these cases, he suggested an initial payment be made by cheque.

#### System Backup Procedures

The panel discussed the system backup procedures to cover sudden unexpected loss of data. AC reported he included this in his report every year and was satisfied the current procedures were robust.

#### Level of Reserves

AC said this is another area he reviews every year. He said suitable levels or reserve varied, depending on the organisation, but he would usually expect to see around 3 months' costs held in reserve. MJ said this is similar to DEFRA's own guidelines for internal drainage boards – approximately 30% of one year's running costs. DB said each board had a reserves policy. GI asked if commuted sums were included in these reserves. DB confirmed they were not.

#### **External Auditor's Report**

The Annual Returns were reviewed by the panel and more specifically the External Auditors' comments. The panel was pleased to note there were no major issues. The only minor issue raised related to an incorrectly transcribed figure in Scunthorpe & Gainsborough WMB. No other concerns were discussed.

#### **Any Other Business**

Nothing to report.

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

The next meeting of the panel will be held on Monday, 25 November 2019 at 10.00am at the offices of JBA Consulting, Epsom House, Chase Park, Redhouse Interchange, Doncaster, DN6 7FE.

MJ thanked the members for attending. The meeting was closed at approximately 11:15am.

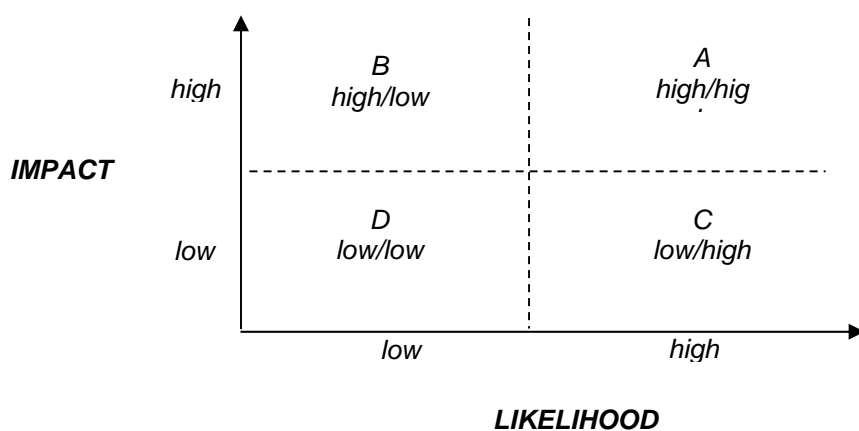
## 12. APPENDIX D: Risk Register

The areas of risk are categorised in terms of both impact and likelihood of occurring.

*Impact* is an assessment of the level of damage undesirable events would cause, should they occur. Impacts are assessed as ‘high’ or ‘low’.

*Likelihood* is an assessment of the probability of said undesirable events actually occurring, given the controls that are in place as stated. Likelihood is also assessed as ‘high’ or ‘low’.

The overall levels of risk in each section are graded from A to D as below:



A = Immediate action

The Board's Risk Register can be found over the following pages.

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.	26/11/2018
1. b)	Are there financial plans and budgets?	B	High	Low	1.2	Board lacks sufficient funds to meets its obligations.	Budgets follow sound logical principles. Approved by each IDB.	26/11/2018
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.	26/11/2018
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.	26/11/2018
<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.	26/11/2018
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	26/11/2018

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. All updates reported to members in their meeting papers. Training seminars on legislation, responsibilities, ethics, etc. are being delivered. Comprehensive modular training scheme to be added to the website	26/11/2018
<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.	26/11/2018
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 compiled and kept up-to-date.	26/11/2018
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. Agenda for meeting set by Clerk and Chairman. Minutes of meetings scrutinised & approved by Board.	26/11/2018
3. d)	B	High	Low		As 3 b) above.	As 3 b) above.	26/11/2018
3. e)	D	Low	Low		Reviewers not certain of legality of expense payments made to members.	Not for Board meetings, conferences only, as per LDA.	26/11/2018
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, subject to ministerial approval.	26/11/2018
<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.	26/11/2018
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 ( <a href="#">target date 31.3.2018</a> )	26/11/2018
4. c)	D	Low	Low		Staff problems and organisational anomalies not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	26/11/2018
4. d)	D	Low	Low		Conflicts of interest not detected and not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	26/11/2018

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.	26/11/2018
<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.	26/11/2018
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.	26/11/2018
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.	26/11/2018
<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.	26/11/2018
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.	26/11/2018
6. c) Is there a budget setting process?	D	Low	Low		Board lacks sufficient funds to meets its obligations.	Yes. Laid down by LDA. Budgets set every Jan/Feb	26/11/2018
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.	26/11/2018
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.	26/11/2018
<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.	26/11/2018
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 provides clear instructions on how to make complaints. All complaints reported to the Board in the meeting papers.	26/11/2018
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.	26/11/2018
<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.	Levels of authority for ordering goods & services clearly set out in Board's financial regulations. Requirement for suitable number of quotations set out in same.	26/11/2018

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. All updates reported to members in their meeting papers. Training seminars on legislation, responsibilities, ethics, etc. are being delivered. Comprehensive modular training scheme to be added to the website	26/11/2018
<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.	26/11/2018
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 compiled and kept up-to-date.	26/11/2018
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. Agenda for meeting set by Clerk and Chairman. Minutes of meetings scrutinised & approved by Board.	26/11/2018
3. d)	B	High	Low		As 3 b) above.	As 3 b) above.	26/11/2018
3. e)	D	Low	Low		Reviewers not certain of legality of expense payments made to members.	Not for Board meetings, conferences only, as per LDA.	26/11/2018
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, subject to ministerial approval.	26/11/2018
<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.	26/11/2018
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 ( <a href="#">target date 31.3.2018</a> )	26/11/2018
4. c)	D	Low	Low		Staff problems and organisational anomalies not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	26/11/2018
4. d)	D	Low	Low		Conflicts of interest not detected and not addressed.	JBA procedures. IDB Division established in line with DEFRA requirements.	26/11/2018



Item		Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
8. b)	Is there an authorised suppliers list?	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. List of the Board's approved contractors on Health & Safety website.	26/11/2018
8. c)	Is there a monitoring process over the quality and timing of bought in services?	B	High	Low	8.1	Inadequate level of service rendered and/or unnecessary delays.	JBA administers all tendering processes and timing.	26/11/2018
<b>Question 9 - Is there a risk that capital resources are under utilised?</b>								
9. a)	Is there a building and plant inspection programme?	B	High	Low	8.2	Problems not detected and corrected in a timely manner.	Asset Management program in place.	26/11/2018
9. b)	Is there a repair and maintenance programme?	D	Low	Low	8.2	As above.	Repairs undertaken as required and approved at board meeting and general review to consider replacement option.	26/11/2018
9. c)	Is there a capital expenditure budget?	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.	26/11/2018
9. d)	Is there a review of security and safe custody arrangements?	B	High	Low	8.2	Security issues not detected and corrected in a timely manner.	Boards with plant have secure depots. Site staff bring any potential security issues to the officers' attentions immediately. Intruder alerts detected automatically and reported immediately through the telemetry system.	26/11/2018
9. e)	Are there insurance reviews?	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.	26/11/2018
<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)	Is there a recruitment process for appropriate staff?	D	Low	Low	10.1	New staff appointed who lack relevant training, competence, etc.	Interview questionnaires used.	26/11/2018
10. b)	Is there a policy to check references and qualifications?	B	High	Low	10.2	Employee dishonesty with regard to qualifications and previous experience may go undetected.	Written references and copies of relevant certificates obtained when new employees are engaged.	26/11/2018
10. c)	Is there an equal opportunities policy – fair and open competitions for key posts?	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.	26/11/2018
10. d)	Is there a policy of appraisal with feedback?	D	Low	Low		Opportunities to strengthen links with workforce misses. Also, to avert future disputes & generally improve workplace satisfaction missed.	6-monthly review for new starters. Annual appraisal process for workforce.	26/11/2018
10. d)	Is there a policy of training and development?	D	Low	Low	10.4	Training needs and career development goals of individuals not determined.	Schedule of training needs via the asset manager.	26/11/2018
10. f)	Is there a health and safety training and monitoring?	D	Low	Low	10.4	Health and safety needs of individuals not assessed. Accidents and illnesses that should be easily preventable occur.	As above.	26/11/2018
10. g)	Is there a job description for each key position?	D	Low	Low	10.5	No clarity as to each employees roles and responsibilities.	Job specifications in place for recent appointments.	26/11/2018
10. h)	Is there a policy of review of rates of pay, training, working conditions etc.?	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.	26/11/2018

Item		Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
8. b)	Is there an authorised suppliers list?	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. List of the Board's approved contractors on Health & Safety website.	26/11/2018
8. c)	Is there a monitoring process over the quality and timing of bought in services?	B	High	Low	8.1	Inadequate level of service rendered and/or unnecessary delays.	JBA administers all tendering processes and timing.	26/11/2018
<b>Question 9 - Is there a risk that capital resources are under utilised?</b>								
9. a)	Is there a building and plant inspection programme?	B	High	Low	8.2	Problems not detected and corrected in a timely manner.	Asset Management program in place.	26/11/2018
9. b)	Is there a repair and maintenance programme?	D	Low	Low	8.2	As above.	Repairs undertaken as required and approved at board meeting and general review to consider replacement option.	26/11/2018
9. c)	Is there a capital expenditure budget?	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.	26/11/2018
9. d)	Is there a review of security and safe custody arrangements?	B	High	Low	8.2	Security issues not detected and corrected in a timely manner.	Boards with plant have secure depots. Site staff bring any potential security issues to the officers' attentions immediately. Intruder alerts detected automatically and reported immediately through the telemetry system.	26/11/2018
9. e)	Are there insurance reviews?	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.	26/11/2018
<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)	Is there a recruitment process for appropriate staff?	D	Low	Low	10.1	New staff appointed who lack relevant training, competence, etc.	Interview questionnaires used.	26/11/2018
10. b)	Is there a policy to check references and qualifications?	B	High	Low	10.2	Employee dishonesty with regard to qualifications and previous experience may go undetected.	Written references and copies of relevant certificates obtained when new employees are engaged.	26/11/2018
10. c)	Is there an equal opportunities policy – fair and open competitions for key posts?	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.	26/11/2018
10. d)	Is there a policy of appraisal with feedback?	D	Low	Low		Opportunities to strengthen links with workforce misses. Also, to avert future disputes & generally improve workplace satisfaction missed.	6-monthly review for new starters. Annual appraisal process for workforce.	26/11/2018
10. d)	Is there a policy of training and development?	D	Low	Low	10.4	Training needs and career development goals of individuals not determined.	Schedule of training needs via the asset manager.	26/11/2018
10. f)	Is there a health and safety training and monitoring?	D	Low	Low	10.4	Health and safety needs of individuals not assessed. Accidents and illnesses that should be easily preventable occur.	As above.	26/11/2018
10. g)	Is there a job description for each key position?	D	Low	Low	10.5	No clarity as to each employees roles and responsibilities.	Job specifications in place for recent appointments.	26/11/2018
10. h)	Is there a policy of review of rates of pay, training, working conditions etc.?	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.	26/11/2018

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.	26/11/2018
<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> .	26/11/2018
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.	26/11/2018
11. c) Is there Insurance cover? Is it regularly reviewed?	B	High	Low		As 9. e) above.	see 9. e) above.	26/11/2018
<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	26/11/2018
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. 5-year or 25-year budget forecasts presented at Board meetings.	26/11/2018
13. b) Is the budget regularly reviewed and monitored?	B	High	Low		As 1. c) above.	See 1. c) above.	26/11/2018
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.	26/11/2018
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).	26/11/2018
<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 is unable to remain solvent following a major undesirable event.	The Board have a reserve policy in place, and take it into consideration when setting the budget every year.	26/11/2018
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.	Policies reviewed periodically, typically 3 or 5 years.	26/11/2018
14. c) Is there a fair reflection of the financial integrity of the Boards reserves?	B	High	Low		Actuality of the Board's financial performance 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>	26/11/2018
<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.	26/11/2018
• Human Rights Legislation?					Same	All applicable law complied with.	

Item		Grade	Impact	Likelihood	Ref	Risks	Mitigation and Action Required	Last Reviewed
	<ul style="list-style-type: none"> <li>• Health &amp; Safety?</li> <li>• Criminal Acts?</li> </ul>					Same Same	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		Actual costs may exceed budgeted, opportunities to take corrective action missed.	Depends on the scheme. Monitored generally by the project manager.	26/11/2018





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