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DIRECTIONS FOR  
THE GUIDANCE OF  
WATERGUARD  
SUPERINTENDENTS

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CONFIDENTIAL

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1956

SECRETARY C. & E. 8174/1953

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King's Beam House,  
Mark Lane,  
London, E.C.3,  
JANUARY, 1956.

## DIRECTIONS FOR THE GUIDANCE OF WATERGUARD SUPERINTENDENTS

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These directions supersede the corresponding directions at present contained in the " Directions to Waterguard Superintendents, Waterguard Surveyors, and Chief Preventive Officers ".

By Order of the Board,

A. W. TAYLOR.

F. N. ROBERTS.

## TABLE OF CONTENTS

<i>Paragraph</i>	<i>Page</i>
1. Scope of Directions .. .. .	4
2. Functions of Waterguard Superintendents .. .. .	4
3. Functions of Assistant Superintendents .. .. .	4
4. Inspections by Superintendents .. .. .	4
5. Relations with Collectors .. .. .	5
6. Correspondence and reports .. .. .	6
7. Visits by Collectors .. .. .	6
8. Inspections from Headquarters .. .. .	6
9. Co-operation with the Investigation Branch .. .. .	6
10. Relations with other authorities .. .. .	6
11. Local Whitley .. .. .	7
12. Chief Preventive Officers' Districts .. .. .	7
13. Legal proceedings .. .. .	7
14. Conduct and discipline .. .. .	7
15. Disciplinary reports .. .. .	8
16. Suspension from duty .. .. .	8
17. Officers whose efficiency is impaired .. .. .	8
18. Promotion—reports on Form C. & E. 248 .. .. .	9
19. Promotion—reports on Chief Preventive Officers .. .. .	9
20. Training .. .. .	9
21. Rummage crews .. .. .	10
22. Office accommodation .. .. .	10
23. Approvals—furnishing of information .. .. .	11
24. Approved wharves conditioned as to payment of charges (previously known as "unapproved places") .. .. .	11
25. Agency work performed for other Departments .. .. .	11
26. Returns of trade and seizures .. .. .	11

## DIRECTIONS FOR THE GUIDANCE OF WATERGUARD SUPERINTENDENTS

*-Note.—These directions do not affect the existing controlling arrangements covering the London Waterguard Division.*

**1. Scope of Directions.**—These directions are not to be regarded as limiting in any way the general responsibility of Waterguard Superintendents under the Collector for the proper administration of their Divisions, and the effective control of their staff, nor to limit their discretion to take whatever immediate action they consider to be necessary for the protection of the Revenue.

**2. Functions of Waterguard Superintendents.**—The primary duty of Superintendents is to ensure that in the areas laid to the Waterguard and in Coast Preventive Stations the arrangements for protecting the Revenue and for carrying out all the Waterguard and Coast Preventive duties in their Divisions are thoroughly efficient; and that the staffs of the ports, sub-ports, creeks and stations are adequate for the work and properly employed, but are not in excess of requirements. They should take every opportunity to acquire a knowledge of the trend of shipping and movements of aircraft and of any changes in the volume or character of the travelling public. Any development actual or potential which may affect Waterguard work, whether Revenue or non-Revenue, should be watched. New methods should be used, when necessary, against fresh avenues of evasion. The fullest use should be made of launches, motor vehicles and other major equipment designed to increase efficiency. Telephone and other links should be organised to enable speedy co-operation in time of need.

Where work at remote airfields, etc., in one Division could be more effectively controlled from an adjacent Division the matter should be raised with a view to agreement between the Collectors and Superintendents concerned, and subsequent approval of the Board.

**3. Functions of Assistant Superintendents.**—The Divisional Superintendent should allocate the work of the Division between himself and his Assistant or Assistants in a way best suited to meet local needs. In some cases, depending on geographical conditions, the Assistant Superintendent's territory may extend over the whole of the Division; in others he may be responsible for only a part of the Division. Where the Assistant Superintendent is assigned to a port other than the Divisional Headquarters he will normally act as Superintendent, except in matters of major policy and discipline, and will be responsible under the Divisional Superintendent to the Collector for the efficient conduct of the work of the port.

**4. Inspections by Superintendents.**—Waterguard Superintendents are required to keep themselves acquainted with all developments of Waterguard work and staffing needs within their Divisions, to investigate any particular matter calling for attention and to review periodically the staffing and organisation of their Divisions. They should, as far as possible, make a point of acquainting themselves personally with every member of the staff.

Visits of inspection are an important part of the system of departmental control of staffing and organisation. Each port, creek, aerodrome or other place at which Waterguard staff are stationed should normally be visited twice per annum. On one visit a detailed inspection should include a full examination of books, records and accounts. The other visits may be more general in character. Stations in residence and the more important stations may be visited as frequently as the Superintendent considers necessary. In remote areas, particularly Coast Preventive Stations offering only slight Revenue risk, the Superintendent may, at his discretion, confine visits to one a year.

Assistant Superintendents should share in these visits and both the Superintendent and the Assistant Superintendent should aim at seeing each Chief Preventive Officer and, as far as possible, each officer, at least once a year.

The adequacy of Revenue control should be reviewed and attention should be given to any excessive or deficient staff complements. Trends of trade and passenger traffic will also be noted.

Launches, boats, equipment, stores, stationery and official motor cars and motor cycles should be inspected, attention being paid to their state of maintenance and whether or not they are necessary, sufficient and suitable for the requirements of the port and station.

At small ports where Waterguard officers are in charge of the Long Room the examination of books should be sufficient to leave no reasonable doubt as to the accuracy and regularity of the accounts.

It is an important feature of cash control that every official whose schemed duties involve the receipt of money (other than casually) or its transmission to the Long Room should be periodically relieved entirely of these duties by another official. At the close of each leave year Superintendents should review the record of absences for the year, and if any such official has not had a continuous absence from duty of not less than two weeks the facts are to be reported confidentially to the Board, and, where the circumstances permit, the officer given a change of post. The report should state what arrangements, if any, have been or might be made to provide the officer concerned with a change of post and whether the Superintendent is fully satisfied as to the reasons why a continuous period of annual leave of not less than two weeks has not been taken.

A permanent record of Superintendents' inspections and visits to outlying stations should be kept showing the dates, by whom made, the matters calling for attention and the action taken.

**5. Relations with Collectors.**—The Collector is the Board's representative and is responsible to them for all matters arising in his Collection. The Divisional Superintendent will maintain the closest relations with the appropriate Collector responsible for the territory of each Collection falling within his Division.

Divisional Superintendents should regard consultations with the appropriate Collector in connection with any of the more important matters affecting the Waterguard staff, organisation and duties as calling for his personal attention. Collectors, in turn, will consult Superintendents on matters affecting the Waterguard in their Collections.

**6. Correspondence and reports.**—Reports from the Waterguard Superintendent are to be sent to the Collector concerned who, if he deems it necessary, or if the Waterguard Superintendent so desires, will forward them to the Board with his observations.

Replies to communications on Board's files, and on any matter affecting the general organisation of a port, are in all cases to be returned through the Collector whether the original communication was issued by the Inspector-General of Waterguard and whether it was addressed direct to the Waterguard Superintendent or not.

Reports to the Inspector-General of Waterguard on routine matters may be submitted direct by the Waterguard Superintendent. Collectors will indicate to the Superintendents the type of reports they wish to see.

**7. Visits by Collectors.**—Collectors are not expected to make formal visits of inspection to Waterguard or Coast Preventive Stations but in their discretion they will occasionally make visits, in company with the Waterguard Superintendent or Assistant Superintendent if possible.

**8. Inspections from Headquarters.**—Divisions are periodically inspected by the Inspectors from Headquarters. Accounting inspections may also be made by members of the Accountant and Comptroller General's staff.

The purpose of the visits by Inspectors from Headquarters is to enable the Inspector-General and the Board to be satisfied that the Waterguard work throughout the country is done efficiently. The inspecting officers are a valuable link between the Inspector-General and the Divisional Waterguard Superintendents, and their visits provide means whereby the Inspector-General can be informed about subjects upon which he may be asked to advise the Board. Such inspections may also be the occasion for informal discussions on matters of local procedure.

Superintendents may rely on inspecting officials to give them all the assistance within their power and the Board have no doubt that they will meet the Inspectors in the same spirit.

**9. Co-operation with the Investigation Branch.**—While encouraging Assistant Superintendents and Chief Preventive Officers in particular, to act on their own judgment and initiative as occasion arises, Superintendents should ensure that any information of a contemplated run of contraband reaches them in as direct a manner as possible in order that speedy and co-ordinated action may be taken to cope with the danger.

As a rule, information about runs which have evaded the first Revenue guard should be passed at once to the Investigation Branch and a clear understanding reached as to whether or not they intend to intervene. The Collector should be kept informed.

The Investigation Branch should also be informed when circumstances indicate that their wider field of action might provide the best means of dealing with any particular case. At all times the fullest possible co-operation should be established and every assistance given to the Investigation Branch and to other officers engaged.

**10. Relations with other authorities.**—Superintendents should, wherever possible, have personal contacts with the management of Dock and Harbour Boards, Transport and other authorities, with a view to the

efficient planning of facilities, staffing, accommodation and measures best suited to meet traffic requirements without sacrificing effective Revenue security. They should also co-operate cordially with the officials of any other Public Department with whom they may be brought into contact in any branch of work under their control.

11. **Local Whitley.**—(a) *Local Committees.* In Collections with Waterguard staff, the Waterguard Superintendent will sit as a member of the Official Side—see Establishment Instructions, Vol. 5, paragraph 7(1). By arrangement with the Chairman of the Local Committee the local Assistant Superintendent may act as deputy for the Divisional Superintendent.

(b) *Informal Discussions.* Superintendents should bear in mind that formal Whitley business is transacted by the Local Committee and that informal business is transacted between the Chairman and the Vice-Chairman.

Superintendents should not, however, overlook the value of informal talks with Waterguard representatives on any matter of local interest, provided it is not the subject of Whitley discussion.

12. **Chief Preventive Officers' Districts.**—Schemes approved by the Board govern the sub-division of each Waterguard Division into groups of Waterguard and Coast Preventive Stations and the employment of the Chief Preventive Officers assigned to the Division. Superintendents should see that each Chief Preventive Officer has a copy of the appropriate scheme.

At ports where there are two or more Chief Preventive Officer Districts the method and frequency of rotation should be agreed locally between the Superintendent and the Chief Preventive Officers concerned. The schemes should aim at a reasonable period of continuity of supervision, normally not less than one year, and should ensure as far as possible that each Chief Preventive Officer gains experience in the various districts.

At ports which are self-contained for relief purposes all Chief Preventive Officers, except those appointed to the port prior to 1937 who do not desire to do so, should participate in relief duties.

13. **Legal proceedings.**—Superintendents should ensure that all officers concerned are aware of the practice for instituting legal proceedings in cases of attempted evasion of Customs laws. They should see that Chief Preventive Officers and other officers who are deputed to conduct smuggling prosecutions are familiar with the recognised methods of procedure and presentation of evidence and with the practice obtaining in local Courts.

Reference to the Solicitor's Office should be made in any case in which it is necessary or desirable to call for professional legal assistance.

14. **Conduct and discipline.**—A high standard of conduct amongst Waterguard officers must be maintained and the Waterguard Superintendent should ensure that all members of the staff carry out their duties with firmness and courtesy, and so conduct themselves at all times as to give no grounds for adverse criticism.

The duty of maintaining discipline and proper standards of conduct among the staffs under their supervision lies primarily with Chief Preventive Officers.

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The duty of maintaining discipline and proper standards of conduct among the staffs under their supervision lies primarily with Chief Preventive Officers.

Superintendents will take steps to see that Chief Preventive Officers are alive to their responsibilities in this respect, especially in Districts which are remote from Divisional Headquarters. They should be instructed to report at once any case of misconduct or serious breach of discipline and to draw the attention of their Superintendents to any less serious irregularities where local action has proved ineffective.

The Superintendent should deal with any case brought to his notice which is not sufficiently serious for more drastic action. If the conduct of the officer concerned does not improve as a result of such action or it appears that the offence is a repetition the Superintendent should investigate the matter and make a full report to the Collector.

Superintendents should bear in mind the necessity for early treatment of what, if unchecked, may become serious disciplinary cases.

**15. Disciplinary reports.**—Superintendents are reminded that full reports are necessary in all disciplinary cases, so that the Board may be able to make an appropriate decision. Apart from cases of such gross misconduct as embezzlement or other criminal misbehaviour, the only course open in respect of other types of disciplinary case may be dismissal where an official who is physically and mentally capable of giving satisfactory service persistently fails to perform his duties or conduct himself properly. In such circumstances there is every need for the material on which a decision is taken to be accurate, full and coherent.

**16. Suspension from duty.**—(a) The position in regard to the payment of remuneration during a period of suspension is dealt with in paragraph 55 of Establishment Instructions, Vol. 6. Without prejudice to the question whether on merits the Board finally direct forfeiture of remuneration either wholly or in part in respect of that period, they recognise that special circumstances may arise in certain instances, (e.g. where legal proceedings against an official may be ordered and adjourned) in which a prolonged period of delay in the settlement of the case and the complete stoppage of departmental remuneration may inflict hardship not only upon the official's dependants, but also on the suspended officer, who may be unable to obtain another job while his case is *sub judice*.

(b) Experience has shown that in almost every Departmental case where the suspension has to be maintained up to the final decision and is not removed at an earlier stage "without prejudice" to that decision, the case can be settled finally within a month from its arrival at Headquarters. In exceptional circumstances, however, where a case is not finally settled within a month after suspension, and it is apparent that some further time will be required to reach a decision, discreet local enquiries should be made as to whether the offender's dependants are likely to suffer grave hardship by the continued stoppage of remuneration. If, as the result of enquiry, this would appear to be the case, the appropriate Collector should be informed so that the officer concerned may be afforded an opportunity of applying to the Board for some interim payment of remuneration, accompanied by a full statement of his financial position.

**17. Officers whose efficiency is impaired.**—The Board recognise that cases arise where the efficiency of officials may become affected (though not to a degree justifying the exceptional step of retirement before the

age of sixty) through advancing years, by reason of war wounds, "gassing", or other causes, from personal ill-health or other personal causes not within their own control. Cases of this kind usually require special treatment and not disciplinary action. They should be reported to the Collector at an early stage.

**18. Promotion—reports on Form C. & E. 248.**—The following directions, amplifying the instructions printed on the back of the form, are to be observed carefully.

Certificates are to be given only after the most careful consideration, and with a due sense of the responsibility involved, and the Board desire it to be understood—

- (a) that if any officer appointed in consequence of information furnished in such a report proves unsuitable for his new position from any cause which should have been obvious to the reporting officer, they will be compelled to call in question the judgment of the latter ;
- (b) that it is as much the duty of the reporting officer to call attention to the qualifications of suitable officers as it is to avoid recommending those who are unsuitable.

It is essential therefore that all reports should be based on personal knowledge of the officers concerned, and Superintendents should take every opportunity of keeping in touch with the individual members of their staff, so as to check by their own personal experience the opinions formed by the nominee's immediate superiors.

**19. Promotion—reports on Chief Preventive Officers.**—Chief Preventive Officers should not ordinarily be recommended for promotion unless they are considered to possess the qualities and potential capacity required for posts above Assistant Inspector. Chief Preventive Officers recommended must be men capable of accepting sudden responsibility, of earning the respect and confidence both of their own staff and also of the general public, and of upholding the dignity of their position and the credit of the Service. Common sense and decision, considerateness and good breeding are more conducive to the convenience of the public, and the efficiency and comfort of the staff, than mere capacity for routine work. It is useless to recommend an official solely on the ground that he performs the work of his own present grade satisfactorily. But at the same time it is a necessary proof of his intelligence and zeal that he should be thoroughly efficient in that work, and it is very desirable that he should also have some general knowledge of the duties falling to other branches of the Service.

**20. Training.**—It is the responsibility of Superintendents to take a personal interest in the practical training of the junior members of their staffs. They should encourage local classes and discussion groups for the purpose of studying and discussing Customs law, regulations and practice. In particular they should see that officers within the promotion field are given opportunities to widen their experience as much as possible.

Where, owing to the limited range of work available at a particular place it is desirable to extend an officer's experience, the Superintendent should report the facts to the Inspector-General's Office indicating the type of further experience required.

**21. Rummage crews.**—The attendance of rummage crews should be so arranged as to provide for prompt and effective rummage of vessels engaged in foreign trade ; they should as far as possible, be maintained at full strength and the standing regulations as regards fishing boats, coasting vessels and vessels arriving from the Isle of Man are to be observed. Should local circumstances make it necessary to disband or even seriously to deplete the rummage force the facts should be reported to the Inspector-General immediately.

In suitable areas the employment of mobile rummage crews has been approved by the Board ; they work under the control of the Waterguard Superintendent. Their functions are to follow up smuggling information and to make surprise visits within the area of Waterguard control either independently of, or in joint action with, local staff.

Considerable care should be exercised in the selection of Preventive Officers to take charge of mobile crews. They should possess qualities of leadership and initiative as well as a sense of responsibility.

When a mobile crew is operating outside the base port the Chief Preventive Officer of the District in which they are operating should be made aware of their presence and should afford them all facilities and any assistance they may require.

The visits of mobile crews are, as a general rule, to be confined to :—

- (a) the dock, harbour and coastal areas ;
- (b) aerodromes within the area of the Division at which Waterguard staff are stationed or which are schemed to be visited by the Waterguard.

Mobile crews will not normally visit a non-Customs aerodrome the control of which has been laid to the local Station Officer, but such a visit may be made in co-operation with the Officer when the Collector considers that circumstances render such action advisable in the interests of the Revenue. Arrangements for such visits will be made in consultation with the Waterguard Superintendent.

Through the overlapping of the areas of Waterguard Divisions and Collections, it will sometimes happen that a mobile crew will make visits to places outside their home Collection, but no difficulty is anticipated on that account provided the range of work or programme of visits has been carefully planned and clearly defined by the Waterguard Superintendent who will be expected to keep the Collectors concerned informed of the working of the mobile unit.

**22. Office accommodation.**—Superintendents should know about the adequacy, suitability, condition, decoration and equipment of all offices, watch-houses, boat-houses and other departmental accommodation in their areas and should take the earliest possible action in cases where the accommodation is found to be inadequate or inconvenient either for the health of the staff or the efficiency of the work. The fact that no complaint has been made by the officials for whom the accommodation is provided will not be accepted as a reason for inaction. The attention of the Collector should be drawn at once to any case in which, owing to changes of staff or to other causes, accommodation becomes in whole or in part superfluous, care being taken that accommodation is not regarded as unnecessary if it can be used with advantage for the relief of pressure elsewhere.

If accommodation seems bad, inadequate or inconveniently situated, regard must be had to the exact points in which the existing accommodation is faulty, and before it is said that new accommodation is necessary, it must be clear that the existing accommodation cannot be suitably adapted to meet requirements, *e.g.* by the removal of unnecessary partitions or the substitution of modern equipment for bulky and inconvenient furniture.

**23. Approvals—furnishing of information.**—Information reaching a Superintendent in regard to contemplated new quays, wharves, docks, aerodromes, or other places which would need approval in order to become operative should be reported to the Collector at the earliest possible moment. Contemplated extensions or changes in character of existing approved wharves should be similarly reported.

**24. Approved wharves conditioned as to payment of charges (previously known as "unapproved places").**—A record of these wharves is kept in the Long Room at each port. If in any particular case effective supervision becomes difficult, the Superintendent should submit the facts to the Collector.

**25. Agency work performed for other Departments.**—Everything possible (consistent with Departmental interests) should be done to secure prompt attention to work done on behalf of another Government Department or a Local or other Authority.

No fresh item of work for such a Department or Authority is to be undertaken without the specific authority of the Board.

No personal fee or reward is to be accepted for any official or semi-official services rendered to another Department or Authority without the prior consent of the Board.

**26. Returns of trade and seizures.**—As soon as possible after the end of each month Superintendents are to submit reports on the forms provided by the Inspector-General covering the general trade and seizures made in the Division during the month. The form should include general observations by the Superintendent as regards trade tendencies, and their actual or potential effect on staffing, etc.

Matters of special importance, urgency or special interest should, of course, be reported as they arise, even though they may fall for inclusion in the return.