

BLACK SLUICE INTERNAL DRAINAGE BOARD

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Our Ref: IMW/DPW/B10_1

Date: 3rd December 2014

To the Chairman and Members of the Audit & Risk Committee

Notice is hereby given that a Meeting of the Audit & Risk Committee will be held at the Offices of the Board on Wednesday, 10th December 2014 at 2pm at which your attendance is requested.



Chief Executive

AGENDA

1. Apologies for absence
2. To receive and if correct sign the Minutes of the Audit & Risk Committee Meeting held on the 9th April 2014 (pages 1 - 6)
3. Matters arising
4. Review the Committee's Terms of Reference (pages 7-8)
5. To receive a verbal report on the Review of Pumping Station Valuations
6. To receive the Annual Return including External Auditors Report (pages 9-15)
7. To receive the following from the Internal Auditor:
 - (a) Internal Audit Follow Up Report 2013/14 (pages 16 - 21)
 - (b) Audit Strategy and plan for 2014/15 (pages 22 - 25)
8. To review the following Boards policies:
 - (a) Financial Regulations..... (pages 26-30)
 - (b) Procurement..... (pages 31-34)
 - (c) Delegation of Authority..... (pages 35-37)
 - (d) Draft Smoking..... (pages 38-39)
 - (e) Fire Management Plan..... (pages 40-51)
 - (f) Manual Handling..... (page 52)
 - (g) Stress..... (page 53)
 - (h) Vibration..... (page 54)
 - (i) Wearing of seat belts in Boards vehicles..... (page 55)
 - (j) Rechargeable Commercial Works..... (page 56)
 - (k) Complaints Procedure..... (pages 57-58)
9. To receive the Catalogue of Board Policies with recommend approval dates.(page 59)
10. To review the Risk Register (page 60)
11. Any other business

BLACK SLUICE INTERNAL DRAINAGE BOARD

MINUTES

of the proceedings of a meeting of the Audit & Risk Committee

held at the offices of the Board on
9th April 2014 at 2pm

Members

Chairman - * Cllr M Brookes

Mr W Ash	* Mr V A Barker
* Mr J G Fowler	* Mr R Leggott
* Cllr B Russell	Cllr R Singleton-McGuire

* Member Present

In attendance: Mr I Warsap (Chief Executive)
Mr D Withnall (Finance Manager)

520 **APOLOGIES FOR ABSENCE**

Apologies were received from Mr W Ash and Cllr R Singleton-McGuire.

521 **MINUTES OF THE AUDIT & RISK COMMITTEE MEETING**

Minutes of the last meeting held on the 22nd October 2013, copies of which had been circulated, were considered and it was RESOLVED that the Minutes should be signed as a true record.

522 **MATTERS ARISING**

(a) **Debit & Credit Card Policy - Minute No 436(a)**

The Finance Manager reported that he had now reviewed comparisons between other service providers and Paypal has been contracted, which will also enable payment of drainage rates via the website.

(b) **Business Interruption Insurance Cover - Minute No 437(b)**

Cllr B Russell asked if the question regarding insurance cover for re-housing tenants of 54 Hessle Drive after an event be included in the policy. The Finance Manager will contact NFU and email the answer to members of the Committee.

(c) **Vehicle Insurance Cover - Minute No 437(e)**

The Chief Executive stated that the Manitou Forklift value has been increased to £4,000.

(d) Pumping Station Valuations - Minute No 437(g)

The Chief Executive stated that they had categorised pumping stations into four different categories, Phil Ingleby visited one of each category and believes they are undervalued compared to other IDB's. The problem being that there is no comparison for these types of pumping stations. The Chief Executive has approached a contractor with a view to giving a professional rebuild cost. The underwriters have requested a value of each pumping station.

The Committee discussed the value of the building itself as a basic build compared to the structure below ground construction and foundations. The Chief Executive also stated that in the future a pumping station rebuild may not be built within a building itself just the pumps above ground and fenced.

Mr V Barker referred to Kier Construction who built Dowsby Lode pumping station they could possibly give a quotation on the original plans with today's costing.

(e) Annual Return & External Audit Opinion for year ended 31st March 2013 - Minute No 440

The Finance Manager stated that the matter raised by Grant Thornton regarding depreciation of assets was discussed at the Clerks Forum and that the advice provided to each Board by the external auditor is contradictory. ADA has been approached to clarify this in order that all IDB's deal with it in a consistent manner.

523 TO RECEIVE DRAFT INTERNAL AUDIT REPORT FOR 2013/14 INCLUDING MANAGEMENT RESPONSE - Agenda Item 4

The Finance Manager presented the Committee the Internal Auditors Draft Audit Report with a 'substantial assurance', this is the highest possible rating that can be awarded in an Audit and signifies that we follow all our policies and procedures.

The Internal Auditor recommended that Staff be reminded to comply fully with the procurement policy. The Finance Manager stated that Staff have been reminded and in addition each duplicate green copy of the order book is stamped to prompt for details of other quotations attained.

The Committee requested that the Finance Manager pass on to the Staff their sincere thanks for the hard work achieved to attain a Substantial Assurance audit.

524 TO RECEIVE A PRESENTATION ON THE NEW BOARD WEBSITE INCLUDING DATA TRANSPARENCY - Agenda Item 5

The Finance Manager presented a view of the old website and then the new one which has been up and running to coincide with the drainage rate demands. There is still some work to be carried out on drop down menus and uploading of information to be compliant with data transparency. The paypal account enables drainage rates to be paid directly through the website.

Once control of the website is transferred items can be developed with additional information, uploading environmental projects and local photographs.

525 TO REVIEW THE PENSION DISCRETION POLICIES - Agenda Item 6

The Finance Manager presented the new Pension Discretion Policy which will be presented to the Executive Committee and then to the Board on 25th June 2014.

The following three sets of policies are based upon when an employee leaves the employment of the Board. Only the "Post 2014" policy can be changed and all policies need to be approved by the Board.

(a) Discretion for Employees

This policy refers to members of staff who left the Boards employ before 31st March 2008. This policy cannot be changed and the Committee AGREED therefore to recommend approval by the Board.

(b) Discretionary Compensation on Early Termination of Employment

This policy came into force 1st April 2008 and has been replaced with the new pension scheme from 1st April 2014. This policy cannot be changed and the Committee AGREED therefore to recommend approval by the Board.

(c) Exercise of Discretions within the Local Government Pension Scheme

The Finance Manager presented a slide presentation. The Committee reviewed the following points:

- Career average required
- Who to offer membership
- Rate of employee's contribution including overtime is estimated and the percentage applied which is set for the year and only reviewed at the end of the year.
- Shared costs of additional pension contributions ie unpaid leave, reserved forces and strike where they will bear the cost themselves.

525 Cont.....

- Assumed pensionable pay refers to full paid sick, maternity, paternity.
- New joiner within 12 months with another council the employee can choose to join their pension together.
- The Board has a policy to cover ill health in determining this medical advice should be obtained from the Board's occupational health provider.

The Committee RESOLVED to recommend that the above policies be approved by the Board.

526 TO RECEIVE RECHARGEABLE POLICIES - Agenda Item 7

The Chief Executive presented these policies which have been in development through this Committee.

(a) Commercial Works

The Committee reviewed the Commercial Works Policy and RESOLVED to recommend that it should be approved at the next Board Meeting with the following amendment:

"Any works with a value greater than £1,000 must not commence prior to the receipt of a pre-payment or an official order".

(b) Public Sector Works

The Chief Executive stated that Public sector cooperation agreements have been signed with SKDC for summer cutting, Mayflower Housing have also signed for their maintenance works.

The Committee RESOLVED to recommend that the Public sector co-operation Agreement Policy should be approved at the next Board Meeting.

527 TO RECEIVE THE LONE WORKER POLICY - Agenda Item 8

The Chief Executive presented the Lone Worker Policy and stated that in addition to this policy a risk assessment is completed for each job and signed by the Workmen.

The Workmen are provided with a phone or use their own phone with a paid allowance. There is also an ongoing development of a system of ring back on completion of the job.

The Committee reviewed the policy and RESOLVED to recommend that the policy be approved at the next Board Meeting.

528 TO REVIEW THE EMERGENCY FLOOD RESPONSE PLAN - Agenda Item 9(a)

The Chief Executive stated that this document has a controlled distribution due to the private information detailed within. Cllr B Russell agreed to remove the relevant pages in order for the Council to view the agenda document.

The Chief Executive stated that during the review of this document it was recognised that very little reference was made to tidal flooding and therefore the plan was updated.

The Committee reviewed the policy and RESOLVED to recommend that the policy be approved at the next Board Meeting.

529 TO REVIEW THE DEBIT & CREDIT CARD POLICY - Agenda Item 9(B)

The Finance Manager recommended to the Committee that the Debit & Credit Card Policy be withdrawn as it is no longer required.

The Committee RESOLVED to recommend that the policy be withdrawn and approved at the next Board Meeting.

530 TO REVIEW THE DISPLAY SCREEN POLICY - Agenda Item 9(c)

The Finance Manager stated that the current Health and Safety policy regarding Display Screen users meets with the law. The Finance Manager highlighted to the Committee Paragraph 4 "an eye test and corrective glasses used for display use through the appointed Board's ophthalmologist".

Mr J Fowler asked the question regarding new machinery with computer visual control screens. The Finance Manager replied that they are not focused on the screen for long periods of time.

The Committee reviewed the policy and RESOLVED to recommend that the policy be approved at the next Board Meeting.

531 TO REVIEW THE RISK MANAGEMENT STRATEGY AND RISK REGISTER - Agenda Item 9(d)

The Committee reviewed the policy and RESOLVED to recommend that the policy be approved at the next Board Meeting with the following amendment.

7.3 Premises at 72 Carlton Road remain Unsold

Consequence: Low balances

How risk is managed: Produce five year plan with building unsold.
Review major items for expenditure.

Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Monitor

531 Cont.....

The Committee discussed "1.7 – Risk of Loss of Senior Staff", had formal arrangements been put in place with other IDB's to help cover Officers. The Finance Manager agreed to progress this.

The Finance Manager stated that the Chairman is covered by Vice Chairman, Chief Executive on the operations side by the Operations Manager, Rating Officer is covered by Finance Assistant and Finance Manager.

The Chairman stated that minutes should record that the item has been discussed and risk assessed.

532 TO RECEIVE THE REGISTER OF BOARD POLICIES WITH RECOMMENDED REVIEW DATES - Agenda Item 10

The Committee reviewed the recommended review dates and AGREED.

533 ANY OTHER BUSINESS - Agenda Item 11

There being no further business the meeting closed at 4:05pm.

BLACK SLUICE INTERNAL DRAINAGE BOARD

BOARD MEETING – 4th NOVEMBER 2009

AGENDA ITEM No 8

AUDIT & RISK COMMITTEE – PROPOSED TERMS OF REFERENCE

1. **GENERAL**

The Black Sluice IDB shall have an Audit & Risk Committee.

The Committee shall have five members who will be appointed by the Board.

The Membership shall include:

- One elected member from Northern Works Committee.
- One elected member from Southern Works Committee.
- Two appointed Members
- One additional Member.

The Chairman shall be appointed by the Board at the annual meeting.

2. **MEETINGS OF THE COMMITTEE**

The Committee shall meet at least once each year and a quorum shall be three members. No one other than the Committee members shall be entitled to attend Committee Meetings, but any other persons shall attend meetings if invited by the Committee.

The external auditors may request a meeting if they consider that one is necessary.

3. **POWERS OF THE COMMITTEE**

The Committee is authorised:

- To investigate any activity within its responsibilities;
- To seek any information that it requires from any Officer or employee of the Board and all employees are directed to cooperate with any request made by the Committee;
- To obtain outside legal or independent professional advice, and secure the attendance of outsiders with relevant experience and expertise if it consider this necessary.

4. RESPONSIBILITIES OF THE COMMITTEE

The responsibilities of the Committee shall be:

Financial Reporting

- To review, and challenge where necessary, the actions and judgements of Officers in relation to the Boards financial statements and related formal statements.
- To consider other relevant topics, as proposed by the Board.

Internal Control and Risk Management

- To review the arrangements for the Boards employees to raise concerns, in confidence, about possible wrong doings in financial reporting or other matters;
- To keep under review the effectiveness of the Board's internal controls and risk management systems;
- To review and approve the statements to be included in the Annual Report concerning internal controls and risk management.

Internal Audit

To review Internal audit programme of works and ensure effective liaison with external auditors.

External Audit

- To oversee the relationship with the external auditors;
- To meet with the external auditors, at least once a year, without management present, to discuss their remit and;
- To review the findings of the audit including the management letter and managements response to the auditors findings and recommendations.

Reporting

Minutes of meetings of the Committee shall be presented to the next meeting of the Board.

The Committee shall periodically review its terms of reference and its own effectiveness and recommend any necessary changes to the Board.



Internal Drainage Boards in England

Annual return for the financial year ended 31 March 2014

Internal Drainage Boards in England with an annual turnover of £6.5 million or less must complete an annual return in accordance with proper practices summarising their activities at the end of each financial year.

Each annual return on pages 2 to 5 is made up of four sections:

- **Sections 1 and 2** are completed by the person nominated by the board.
- **Section 3** is completed by the external auditor appointed by the Audit Commission.
- **Section 4** is completed by the board's internal audit provider.

Each board must approve this annual return no later than 30 June 2014.

Completing your annual return

Guidance notes, including a completion checklist, are provided on page 6 and at relevant points in the annual return.

Complete all sections highlighted in blue. Do not leave any blue box blank. Incomplete or incorrect returns require additional external audit work and may incur additional costs.

Send the annual return, together with your bank reconciliation as at 31 March 2014, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to your external auditor by the due date.

Your external auditor will identify and ask for any additional documents needed for audit. Therefore, unless requested, do not send any original financial records to the external auditor.

Audited and certified annual returns will be returned to the board for publication or public display of sections 1, 2 and 3. You must publish or display the audited annual return by 30 September 2014.

It should not be necessary for you to contact the external auditor or the Audit Commission directly for guidance.

More guidance on completing this annual return is available in the Practitioners' Guide for Internal Drainage Boards that can be downloaded from the Association of Drainage Authorities' website at www.ada.org.uk

Section 1 – Accounting statements 2013/14 for

Enter name of reporting body here:

BLACK SLUICE

Internal Drainage Board

	Year ending		Notes and guidance
	31 March 2013 £	31 March 2014 £	
1 Balances brought forward	539,031	527,482	Total balances and reserves at the beginning of the year as recorded in the financial records. Value must agree to Box 7 of previous year.
2 (+) Rates and special levies	1,967,066	1,970,438	Total amount of direct rates on landowners and special levies on local authorities received or receivable in the year.
3 (+) All other income	226,346	541,196	Total income or receipts as recorded in the cashbook less the rates and special levies (line 2). Include all grants and contributions from EA here.
4 (-) Watercourses and pumping stations	1,421,806	1,758,715	Total expenditure or payments including capital spending and employment costs on construction and maintenance of watercourses and pumping stations.
5 (-) Loan interest/ capital repayments	0	0	Total expenditure or payments of capital and interest made during the year on the Board's borrowings (if any).
6 (-) All other payments	783,155	587,230	Total payments or expenditure as recorded in the cashbook less watercourses and pumping stations (line 4) and loan interest/ capital repayments (line 5). Include all contributions to EA here.
7 (=) Balances carried forward	527,482	693,171	Total balances and reserves at the end of the year. Must equal (1+2+3) – (4+5+6)
8 Total cash and short term investments	476,035	782,198	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – to agree with bank reconciliation.
9 Total fixed assets plus other long term investments and assets	5,306,127	5,291,278	The original Asset and Investment Register value of all fixed assets, plus other long term assets owned by the Board as at 31 March.
10 Total borrowings	0	0	The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).

I certify that for the year ended 31 March 2014 the accounting statements in this annual return present fairly the financial position of the Board and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:

D. Withmatt

Date 25/04/2014

I confirm that these accounting statements were approved by the Board on this date:

25/06/2014

and recorded as Board minute reference:

561

Signed by Chair of meeting approving these accounting statements:

[Signature]

Date 25/06/2014

Section 2 – Annual governance statement 2013/14

We acknowledge as the members of: BLACK SLUICE Internal Drainage Board our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2014, that:

	Agreed –		'Yes' means that the board:
	Yes	No*	
1 We approved the accounting statements prepared in accordance with the requirements of the Accounts and Audit Regulations and proper practices.	✓		prepared its accounting statements in the way prescribed by law.
2 We maintained an adequate system of internal control, including measures designed to prevent and detect fraud and corruption, and reviewed its effectiveness.	✓		made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.
3 We took all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with laws, regulations and proper practices that could have a significant financial effect on the ability of the board to conduct its business or on its finances.	✓		has only done what it has the legal power to do and has complied with proper practices in doing so.
4 We provided proper opportunity during the year for the exercise of electors' rights in accordance with the requirements of the Accounts and Audit Regulations.	✓		during the year has given all persons interested the opportunity to inspect and ask questions about the board's accounts.
5 We carried out an assessment of the risks facing the board and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.	✓		considered the financial and other risks it faces and has dealt with them properly.
6 We maintained throughout the year an adequate and effective system of internal audit of the board's accounting records and control systems.	✓		arranged for a competent person, independent of the board's financial controls and procedures, to give an objective view on whether internal controls meet the needs of the board.
7 We took appropriate action on all matters raised in reports from internal and external audit.	✓		responded to matters brought to its attention by internal and external audit.
8 We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on the board and where appropriate have included them in the accounting statements.	✓		disclosed everything it should have about its business activity during the year including events taking place after the year-end if relevant.

This annual governance statement is approved by the board and recorded as minute reference

560

dated 25/06/2014

Signed by:

Chair 

dated 25/06/2014

Signed by:

Clerk 

dated 25/06/2014

*Note: Provide explanations to the external auditor on a separate sheet for each 'No'. Describe how the board will address the weaknesses identified.

Section 3 – External auditor certificate and opinion 2013/14

Certificate

We certify that we have completed the audit of the annual return for the year ended 31 March 2014 of:

BLACK SLUICE

Internal Drainage Board

Respective responsibilities of the board and the auditor

The board is responsible for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The board prepares an annual return in accordance with proper practices which:

- summarises the accounting records for the year ended 31 March 2014; and
- confirms and provides assurance on those matters that are important to our audit responsibilities.

Our responsibility is to conduct an audit in accordance with guidance issued by the Audit Commission and, on the basis of our review of the annual return and supporting information, to report whether any matters that come to our attention give cause for concern that relevant legislation and regulatory requirements have not been met.

External auditor report

~~(Except for the matters reported below)*~~ on the basis of our review, in our opinion the information in the annual return is in accordance with proper practices and no matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met. (*delete as appropriate).

—

(continue on a separate sheet if required)

Other matters not affecting our opinion which we wish to draw to the attention of the board:

See attached

(continue on a separate sheet if required)

External auditor signature



External auditor name

Barrie Morris for Grant Thornton UK LLP

Date

26/8/14

Note: The auditor signing this page has been appointed by the Audit Commission and is reporting to you that they have carried out and completed all the work that is required of them by law. For further information please refer to the Audit Commission's publication entitled Statement of Responsibilities of Auditors and of Audited Small Bodies.

Section 4 – Annual internal audit report 2013/14 to

Enter name of reporting body here:

BLACK SLUICE

Internal Drainage Board

The board's internal audit, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ended 31 March 2014.

Internal audit has been carried out in accordance with the board's needs and planned coverage. On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and, alongside, are the internal audit conclusions on whether, in all significant respects, the following control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of the board.

Internal control objective	Agreed? Please choose from one of the following		
	Yes	No*	Not covered**
A Appropriate accounting records have been properly kept throughout the year.	✓		
B The board's financial regulations have been met, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.	✓		
C The board assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	✓		
D The annual rating requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.	✓		
E Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.	✓		
F Petty cash payments were properly supported by receipts, all expenditure was approved and VAT appropriately accounted for.	✓		
G Salaries to employees and allowances to board members were paid in accordance with board approvals, and PAYE and NI requirements were properly applied.	✓		
H Asset and investments registers were complete and accurate and properly maintained.	✓		
I Periodic and year-end bank account reconciliations were properly carried out.	✓		
J Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments/income and expenditure), agreed to the cash book, were supported by an adequate audit trail from underlying records, and where appropriate debtors and creditors were properly recorded.	✓		

For any other risk areas identified by the board (list any other risk areas below or on separate sheets if needed) adequate controls existed:

See Annual Internal Audit Report for details.

Name of person who carried out the internal audit: DAVID GAWING

Signature of person who carried out the internal audit: *D. Gawing* Date: 28 04 2014

*Note: If the response is 'no' please state the implications and action being taken to address any weakness in control identified (add separate sheets if needed).

**Note: If the response is 'not covered' please state when the most recent internal audit work was done in this area and when it is next planned, or, if coverage is not required, internal audit must explain why not (add separate sheets if needed).

Guidance notes on completing the 2013/14 annual return

- 1 You must apply proper practices for preparing this annual return. Proper practices are found in the Practitioners' Guide* which is updated from time to time and contains everything you should need to prepare successfully for your financial year-end and the subsequent audit.
- 2 Make sure that your annual return is complete (i.e. no empty blue boxes), and is properly signed and dated. Avoid making any amendments to the completed return. But, if this is unavoidable, make sure the amendments are drawn to the attention of, and approved by the board, properly initialled and an explanation is provided to the external auditor. Annual returns containing unapproved or unexplained amendments will be returned unaudited and may incur additional costs.
- 3 Use the checklist provided below. Use a second pair of eyes, perhaps a board member or the Chair, to review your annual return for completeness before sending it to the external auditor.
- 4 Do not send the external auditor any information not specifically asked for. Doing so is not helpful. However, you must notify the external auditor of any change in Clerk, Responsible Finance Officer or Chair.
- 5 Make sure that the copy of the bank reconciliation which you send to your external auditor with the annual return covers all your bank accounts. If your board holds any short-term investments, note their value on the bank reconciliation. The external auditor must be able to agree your bank reconciliation to Box 8 on the Accounting statements (Section 1). You must provide an explanation for any difference between Box 7 and Box 8. More help on bank reconciliation is available in the Practitioners' Guide*.
- 6 Explain fully significant variances in the accounting statements on page 2. Do not just send in a copy of your detailed accounting records instead of this explanation. The external auditor wants to know that you understand the reasons for all variances. Include a complete analysis to support your explanation. There are a number of examples provided in the Practitioners' Guide* to assist you.
- 7 If the external auditor has to review unsolicited information, or receives an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which the auditor will make a charge.
- 8 Make sure that your accounting statements add up and that the balance carried forward from the previous year (Box 7 of 2013) equals the balance brought forward in the current year (Box 1 of 2014).
- 9 Do not complete section 3. The external auditor will complete it at the conclusion of the audit.

Completion checklist - 'No' answers mean you may not have met requirements		Done?
All sections	All blue boxes have been completed?	✓
	All information requested by the external auditor has been sent with this annual return? Please refer to your notice of audit.	✓
Section 1	Board approval confirmed by signature of Chair of meeting approving accounting statements?	✓
	An explanation of significant variations from last year to this year is provided?	✓
	Bank reconciliation as at 31 March 2014 agreed to Box 8?	✓
	An explanation of any difference between Box 7 and Box 8 is provided?	✓
Section 2	For any statement to which the response is 'no', an explanation is provided?	✓
Section 4	All blue boxes completed by internal audit and explanations provided?	✓

*Note: Governance and Accountability for Internal Drainage Boards in England – A Practitioners' Guide, is available from the ADA website www.ada.org.uk or from The Association of Drainage Authorities, 12 Cranes Drive, Surbiton, Surrey, KT5 8AL.

This page is part of Section 3 - External auditor certificate and opinion 2013/14

**Black Sluice Internal Drainage Board
Audit Report for the year ended 31 March 2014**

**Other matters not affecting our opinion which we wish to draw to the attention
of Black Sluice Internal Drainage Board for the year ended 31 March 2014**

Expenditure Decisions

The internal financial controls do not specifically include a check as to whether all payments made are legal and within the powers of the Drainage Board. We recommend that this control be included in the internal controls documents and incorporated as part of the procedures undertaken by the Financial Officer as well as bank reconciliations.

Internal Financial Controls.

The Procurement Policy and the Financial Regulations Policy were last reviewed in January 2013. It is good practice to regularly review and update Internal Financial Controls.



for Grant Thornton UK LLP

Date 26/8/14.

Our ref LIN041

GOWING INTERNAL AUDIT SERVICES LTD

INTERIM INTERNAL AUDIT REPORT

**Black Sluice
Internal Drainage Board
November 2014**

INTERNAL AUDIT REPORT

1 EXECUTIVE SUMMARY

- 1.1 I have completed a follow up of the 2013/14 internal audit report in accordance with the Public Sector Internal Audit Standards and with regard to the ADA Practitioners guide.
- 1.2 This audit included an implementation review of previous audit recommendations, review of any system changes, sample testing of 2013/14 transactions and provision of best practice advice gained through my audit of other IDBs.
- 1.3 The main findings were:-
- all agreed recommendations from my 2013/14 audit have been implemented
 - well presented financial records
 - good level of drainage rate collection
 - accurate payroll rates paid
 - detailed, accurate and valid petty cash payments
 - excellent web-site including full compliance with Data Transparency
 - potential issue with the calculation of workforce pay when on leave
 - no evidence of the Chief Executive authorising individual staff annual salaries and wages.
- 1.4 Recommendations have been proposed, discussed and agreed with the Director of Finance and Chief Executive. A management action plan is in Section 3.
- 1.5 It is my opinion that, in respect of the areas covered by this report I am pleased to continue to provide **substantial assurance** on the system of control.
- 1.6 I would like to place on record my thanks for the co-operation and assistance given by all staff during this audit.

David Gowing
Gowing Internal Audit Services Ltd.
November 2014

EVALUATION CRITERIA

Substantial Assurance	There is a sound system of control designed to achieve the system objectives and the controls are being consistently applied.
Adequate Assurance	While there is a basically sound system, there are weaknesses that put a minority of the system objectives at risk and/or there is evidence that the level of non-compliance with some of the controls may put a minority of the system objectives at risk.
Limited Assurance	Weaknesses in the system of controls are such as to put most or all of the system objectives at risk and/or the level of non-compliance puts most or all of the system objectives at risk.
No Assurance	Control is poor, leaving the system open to significant error or abuse and/or significant non-compliance with basic controls.

2 FINDINGS

- 2.1** The new web-site contains all the information expected to demonstrate the work and operations of the Board. A "Data Transparency" page has been recently added with all of the required information or links to information.
- 2.2** The financial records are well maintained, accurate and easy to locate. No errors were found on sample testing bank reconciliations, staff rates of pay, petty cash and management accounts. The income collection rates were good.
- 2.3** The new system of online payment using paypal was reviewed and has sufficient controls.
- 2.4** There is now a full check on the placing of orders for goods and services to ensure compliance with the procurement policy. This is evidenced on the order and invoice.
- 2.5** There is a potential problem with how the rate of pay for staff on leave is calculated. At the current time staff are paid at their basic hourly rate with no allowance for overtime. This is not in accordance with the ADA "White Book" and if the overtime was deemed to be regular and expected of the staff it is not in accordance with recent a legal ruling.
- 2.6** There is no evidence of the Chief Executive authorising individual staff annual salaries and wages at the start of the financial year. This is an expected control especially as the Director of Finance has overall responsibility for salary and wage rates, including his own.

3 MANAGEMENT ACTION PLAN

This action plan has been fully discussed and agreed with management.

The priority is based on the following;-

Critical

A control failure that is critical to the organisation's aims and objectives. This will require immediate action by management.

High

A significant control weakness which is a significant risk to the service or organisation and is likely to lead to material loss or significant public criticism. This will require immediate action by management.

Medium

A control that undermines the effectiveness of internal control and may lead to some loss or some public criticism but does not represent a significant risk to the organisation. This will require prompt action by management.

Low

This might be important to the service but does not represent a significant risk for the service or organisation. This will require action by management but not necessarily immediate.

Recommendation	Priority	Management Comments	Responsibility for implementation and date
The Chief Executive to authorise a schedule of salary and wage rates at the start of each financial year.	M	The Chief Executive authorises the annual salary rate of the Finance Manager. The Finance Manager, as the Board Appointed Responsible Financial Officer, authorises the salary rate for the rest of the Board's Employee's. This has been completed retrospectively in 2014/15 as it was identified the CEO had not signed it. All changes in scale points are as agreed by the Executive Committee with their Delegated Authority. Any Annual "cost of living increase" is in accordance with the ADA Lincolnshire Terms and Conditions.	Immediate for 2014/15 and then annually from April 2015
The Director of Finance to review the calculation system of hourly wage rates paid to staff when on leave.	M	Holiday Pay is paid in accordance with the White book. The calculated Salary rate includes a 7.5% uplift as agreed with employees to compensate for discontinuing the bonus scheme and a 15% increase in hourly rate for holidays, bank holidays and extra statutory days in accordance with previous arrangements.	December 2014

BLACK SLUICE INTERNAL DRAINAGE BOARD

INTERNAL AUDIT STRATEGY AND AUDIT PLAN

2014 - 2015

INTERNAL AUDIT STRATEGY

- 1.1** This Audit Strategy is designed to be a high level statement of how the Internal Audit Service will be delivered and developed.
- 1.2** The internal audit service is an assurance function that provides an independent and objective opinion to the organisation on the control environment by evaluating its effectiveness in achieving the organisation's objectives. It objectively examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper economic, efficient and effective use of resources.
- 1.3** The Accounts and Audit Regulations 2011 state that the Board is responsible for ensuring the financial management of the organisation is adequate and effective and that the Board has sound systems of internal control which facilitate the effective exercise of their functions (including risk management). The Board should conduct a review, at least once a year, of the effectiveness of its systems of internal control. The Regulations also require that following the review, the Board must approve an annual governance statement, prepared in accordance with proper practices in relation to internal control. The Internal Audit Service is a key independent and objective source of assurance for the Board.
- 1.4** The authority of Internal Audit is included within Financial Regulations.

2 RESOURCES

- 2.1** The Internal Audit Service is to be provided by an external contractor, appointed by the Board, who is an experienced and qualified internal auditor.

3 AREAS OF WORK

- 3.1** All internal audit work will be undertaken with due regard to the Governance and Accountability in Internal Drainage Boards – a Practitioners' Guide and the Public Sector Internal Audit Standards.
- 3.2** The annual audit plan will be devised through discussions and agreement with the Chief Executive, Board Members and the External Auditor.
- 3.3** The following paragraphs describe the main areas of audit work. The work concentrates on assurance and risk-based audits, traditional probity checks, assistance with risk management and provision of advice.

3.3.1 Assurance Audits

Financial systems are to be reviewed to provide assurance to the Board and for the annual return. Where appropriate probity audits will be undertaken and the propriety, accuracy and recording of transactions sample tested. A risk based approach will be adopted so detailed checking of all systems and transactions will not be undertaken.

3.3.2 Risk Management

The risk register will be used to determine the main areas of audit. If the risk register is not fully developed assistance will be given if required to complete an operational document. This approach offers flexibility to address the Board's risks as they arise and establishes greater synergy between internal audit and the management of risks facing the Board.

3.3.3 Consultancy and Advice

Internal Audit will be available to assist the Board with control or operational issues. During the year there might be emerging risks or issues that need an independent view or review. In addition, internal audit will be pro-active with suggestions and advice to management from information gained through experience, other IDBs and organisations and networking groups.

3.3.4 Anti-fraud and Corruption

Internal Audit will be pro-active in counter fraud work. Although it is not a function of Internal Audit to detect fraud (this is a responsibility of management and good system control) work will be undertaken to help ensure there are adequate systems and procedures to highlight potential instances.

3.3.5 Value for Money (VFM)

As a part of the audit review, systems and controls established by management to secure VFM will be examined and evaluated. Internal audit can undertake detailed VFM reviews upon request.

4.0 Audit Reports

4.1 At the completion of each audit a report will be produced and agreed with the Chief Executive. This details the terms of reference and scope of the audit, findings, recommendations and a management action plan. An executive summary which includes an audit opinion on controls will be included.

4.2 An annual internal audit report shall be produced to the Board to provide an overall opinion on controls and detail the audit work for the year.

Internal Audit Plan

April 2014 to March 2015

Audit Areas	Plan Days
Follow-up of 2013/14 audit and Implementation of action plan	1
Planning, discussions, advice and reporting.	1
Systems Review	0.5
Transaction Tests	1.5
Testing and completion of Annual Return	0.5
TOTAL	4.5

This plan is based on the current ADA practitioner's guide which requires revision especially with the introduction of the Local Audit and Accountability Act 2014. This could result in increased internal audit work.

BLACK SLUICE INTERNAL DRAINAGE BOARD

POLICY NO 03

FINANCIAL REGULATIONS POLICY

Review Dates:

Original Issue	16 TH January 2013
Board Approved	
Due for Review	

1.0 Introduction

- 1.1 The Accounts and Audit Regulations 2011 and the financial provisions of the Land Drainage Act 1991, place a responsibility on Drainage Boards to ensure that the financial management of Boards is adequate and effective.
- 1.2 Financial Regulations set out the framework of the rules for the proper financial administration of the Board and the responsibility of those charged with carrying out duties with financial implications.

2.0 Responsibility for Financial Control

- 2.1 The Finance Manager shall be responsible to the Board for overall financial control of the Board's financial affairs and the continuous provision of financial management information.
- 2.2 The Finance Manager shall be responsible for maintaining the integrity of the accounting, financial administration and financial control systems of the Board.

3.0 Annual Estimates and Budgets

- 3.1 The Chief Executive and the Finance Manager shall, each financial year, prepare estimates of income and expenditure for the ensuing financial year. Such estimates will be presented to the Executive Committee in January to allow recommendations to be put to the Board before 15th February on the level of the penny rate and council special levies.
- 3.2 The Chief Executive and the Finance Manager shall also each year produce a ten year projection to estimate levels of balances, so that the penny rate can be set at appropriate levels.
- 3.3 The Board meeting in February will set and seal the Rate for the ensuing financial year.

- 3.4 The Board shall be kept informed by the Finance Manager of the overall financial position of the Boards finances through monthly management accounts, quarterly forecasts and other reports as necessary.

Payments of Accounts / Orders

- 4.1 All requests for goods and services shall be issued on official order forms authorised as set down in the procurement policy.
- 4.2 All invoices, claims and accounts shall be authorised by the Finance Manager before payment.
- 4.3 Payments will be made twice each month processed by the second and last Friday in each period.
- 4.4 The Finance Manager shall prepare a monthly schedule of payments that have been made.
- 4.5 All Schedules of payments are to be reported to the next available Board meeting.

5.0 Income

- 5.1 Procedures for the collection of all income due to the Board shall be under the control of the Finance Manager.
- 5.2 Payment received on behalf of the Board by cheque will be paid into the Board's bank account on a regular basis and at least within a week. Payments received in cash may be transferred to the petty cash float if required otherwise paid into the Board's bank account without delay. Payments may also be taken by debit or credit card, by phone or on the Board's website or paid directly into the Board's bank account by the Debtor.
- 5.3 All payments received by which ever method shall be recorded in the collection and deposit book.
- 5.4 The Finance Manager shall have responsibility to ensure that all monies received are correctly recorded in the Board's accounting records and the correct amount of VAT is added to income accounts where applicable.
- 5.5 The Finance Manager shall keep the Board regularly informed on the level of drainage rates collected.
- 5.6 An official receipt showing date of receipt, amount received, type of remittance and reason for payment will be issued for all cash payments and for cheque payments on request.

- 5.7 Keys to **the** safe and cash boxes shall only be available to designated officers. Any lost keys must be immediately reported to the Chief Executive and Finance Manager.

6.0 Insurance

- 6.1 The Finance Manager, in consultation with responsible Officers initiates all appropriate insurance cover and negotiates all claims in consultation with relevant Officers.
- 6.2 All Policies and covers are to be reviewed on an annual basis.
- 6.3 The Finance Manager shall inform the Insurer in a manner and at intervals requested by the Insurer, of all asset changes and cover required.
- 6.4 Officers shall promptly notify the Finance Manager of any loss, liability or damage or any event likely to lead to a claim on any Board policy.

7.0 Stock and Assets

- 7.1 The Finance Manager shall receive a weekly **stock** list from the Operations Manager detailing issues, receipts and balances of **stock** items.
- 7.2 The Finance Manager will arrange a physical stock take at least twice a year with one coinciding with the financial year end on the 31st March.
- 7.3 The Operations Manager shall ensure proper and safe custody of all stock.
- 7.4 The Finance Manager shall keep an asset register. This shall record all assets above £5,000 in value. The Finance Manager will carry out at least an annual physical check of assets.

8.0 Payment to Employees

- 8.1 The Finance Manager shall keep a record of all employees to show details of the appointment, grade and payments in respect of each employee of the Board.
- 8.2 The Finance Manager shall be responsible for the payment of all, salaries, wages and other emoluments to all employees.
- 8.3 The Finance Manager shall be responsible for keeping and maintaining all records for the proper administration of PAYE, NI and Superannuation.

8.4 All authorised officers shall notify the Chief Executive and Finance Manager immediately of all matters affecting payments including resignations, suspensions, absences from duty and changes in remuneration.

9.0 Treasury Management / Banking Arrangements

9.1 The Finance Manager shall include in the monthly management accounts details on all investments which will be distributed to the Executive Committee.

9.2 The Board has a limit of funds that may be deposited, in a fixed term investment, with any institution which is £300,000.

9.3 The Board only places deposits with financial institutions which are **regulated by the Financial Conduct Authority**.

9.4 Bank transactions and instructions must be authorised by two approved officers.

9.5 In relation to 9.4 above, the approved officers are: Chief Executive, Finance Manager, Finance Supervisor and Operations Manager.

9.6 The Chief Executive, Finance Manager and Operations Manager may hold a Business Chargecard, with a monthly limit of £2500 for payment of expenses and Internet orders. Statements are to be certified by the Finance Manager every month. Chief Executive to certify the Finance Manager's statement.

9.7 Small payments may be made by Petty cash under the control of the Finance Supervisor. All petty cash claims are to be recorded on a voucher supported by a receipt and authorised by the Finance Manager or Chief Executive. The maximum amount of petty cash that may be held is £500. The Finance Manager is to certify the analysis every month.

9.8 Bank accounts must be in the name of Black Sluice IDB.

10.0 Audit and Accounts

10.1 The Finance Manager shall arrange for an **internal** audit of the accounting, financial management and other operations of the Board. This will be undertaken by a suitably qualified and experienced internal auditor and be undertaken in accordance with the CIPFA code of audit practice.

10.2 The internal auditor shall produce an annual report to the Executive **C**ommittee and the Audit and Risk Committee.

10.3 Any qualified or adverse Internal or External audit reports or opinions will be reported to the next available Board meeting.

10.4 The Annual Financial Statements shall be approved by the Board before the 30th June each year.

11.0 Irregularities / Fraud

11.1 In any case where irregularity is suspected in connection with financial or accounting transactions, it shall be the duty of the Finance Manager to inform the Chief Executive, Chairman of the Board, and the Board's Auditor without delay.

16th January 2013

Black Sluice Internal Drainage Board

Policy No: 4

Procurement Policy

Review Dates:

Original Issue	16 th January 2013
Board Approved	
Due for Review	

1. INTRODUCTION

Until 2008 all payments made by the Board were approved by two Members of the Board on a monthly basis. This provided a unique control on the procurement of the Board.

This practice was amended to allow the use of direct debits with the discounts available. A record of all payments is reported to every Board meeting by the Finance Manager. The Board approve an annual budget in February for all expenditure by the Board. Items of expenditure are discussed and approved by the Executive Committee, the Works Committees and the Board.

There has been a culture of the Board approving major items of expenditure which brings with it value for money.

2. THE PROCUREMENT PROCESS

Whatever the cost of an item or service that the Board purchases the following process is followed through to payment of that item:-

- 1 A Board order form must always be completed for any purchase made by the Board, except for purchases made using the internet or for items purchased by the Woldmarsh Group.
- 2 The following people are authorised to be issued with order books:
 - a. Chief Executive
 - b. Finance Manager
 - c. Operations Manager
 - d. Pump Engineer
 - e. Finance Supervisor
 - f. Operations Supervisor
 - g. Fitter/Pump Engineers Assistant
 - h. Unimog Driver
- 3 The order form should be filled out at the time of order and signed by the person who is organising the order and countersigned as required.
- 4 The management team is the Chief Executive, Finance Manager and Operations Manager.

- 5 The order is given to the supplier with where possible the agreed price of the item or service.
- 6 The green copy of the order form is given to the Finance Assistant. If additional quotations for the goods have been obtained then these should be noted on this copy.
- 7 When a delivery note is obtained this should be given to the Finance Assistant.
- 8 When the Finance Assistant receives an invoice for the goods he attaches the order and the delivery note to this.
- 9 The invoice is approved by the Finance Manager before payment is made.
- 10 A report is made to every Board Meeting of the invoices paid by the Board.

3. BASIS OF PROCUREMENT POLICY

The policy sets out guidelines for procurement for four bands of expenditure:-

- Greater than £10,000
- Between £2,000 and £10,000
- Between £500 and £2,000
- Below £500

The Policy for Delegation of Authority gives the following authorities:

- 1 Executive Committee to approve any item of expenditure up to a value of £25,000.
- 2 The Chief Executive or Finance Manager to approve expenditure up to a value of £10,000 which is included in annual estimates and regular budgeted expenditure (eg electricity) in excess of £10,000.

4. PROCUREMENT POLICY

(a) Items with a value greater than £10,000

These items will typically be:

- Large items of plant
- Machinery and electrical equipment for pumping stations
- Substantial repair contracts
- Large contracts
- Insurance policies
- Large amounts of pipes, steel piles and other materials for stock

These items will be included in the annual budgeted expenditure and through this method the expenditure will be approved by the Board. In most cases three quotations will be obtained or the proposed purchase will be approved by the Board.

In the case of specialised equipment or in an emergency where it is not possible to obtain alternative quotations the Chairman or the Vice Chairman of the Board shall authorise the purchase.

(b) Items between £2,000 and £10,000

These items will typically be:

- Items of new plant
- Large repairs to plant
- Repairs to equipment at pumping stations
- Purchase of pipes, steel sheet piles and other construction equipment for stock.
- Items of office equipment
- Consultancy services
- Contracts for maintenance works
- Monthly payments to electricity companies.

Quotations will be obtained for items of new plant, office equipment, consultancy services and contracts for maintenance works. These will be approved by the Executive Committee before procurement, unless these have been approved within the annual budgets when the Finance Manager or Chief Executive will approve the expenditure.

Repairs of plant and pumping station equipment need to be progressed without delay and will normally be carried out by contractors or suppliers who regularly carry out work for the Board. The Finance Manager or Chief Executive shall approve this expenditure and this will be reported to the Executive Committee as part of the monthly Accounts Analysis sent to members by Email.

Regular purchases of equipment and materials for stock will be approved by the Finance Manager or Chief Executive. The Operations Manager or Works Supervisor will where possible obtain three quotations and the best value will be chosen.

Some monthly utility payments, particularly electricity bills, will be included in this category. These payments will be approved by the Finance Manager and Chief Executive. Best value for money is achieved by using a broker to negotiate annual, 2 year or 3 year contracts with the electricity supply companies.

(c) Items between £500 and £2,000

These items will typically be:

- Purchase of small items of plant
- Hire of plant and machinery
- Repairs to plant and machinery
- Purchase of spare parts for machinery
- Material for construction materials.
- Computers and office equipment

The Finance Supervisor, Operations Supervisor, Fitter/Pump Engineers Assistant and Unimog Driver shall, where possible obtain three quotations and obtain the authorisation from a member of the management team before signing an order for this level of procurement.

The Pump Engineer shall after obtaining three quotations, where possible, have the authorisation to sign an order for this level of procurement when associated with pumping station equipment.

(d) Items below £500

These items or services are typically spare parts for machinery, office materials and other similar goods.

If possible, value for money will be achieved by obtaining at least one other quotation or by comparing the price with previous purchases of similar goods or services. **It is accepted that small incidental purchases will be purchased from the most appropriate local supplier and this is to be noted on the carbon copies of the order.**

5. ITEMS PURCHASED BY CREDIT CARD

Credit cards have been issued to the Chief Executive, Finance Manager and Operations Manager for use in purchasing goods and services for the Board. These items will be authorised by the management team and no one officer should authorise their own expenditure.

These purchases will be subject to the same guidelines as normal purchases.

6. ITEMS PURCHASED BY WOLDMARSH GROUP

The Board has become a member of the Woldmarsh Buying Group which works on behalf of its members to procure goods and services at preferential prices.

If goods or services are required a member of the Management Team will contact Woldmarsh who will procure the items on behalf of the Board.

As soon as Woldmarsh have completed an order to the suppliers a confirmation of the order is sent to the Operations Manager.

Woldmarsh submit an invoice for payment once per month for all of the goods and services purchased for the Board.

7. SUMMARY

The above policy is not exhaustive and is written as a guide to the appropriate level of authorisation for the level of procurement required.

Members of staff should always liaise with members of the management team to ensure that procurement of materials and services give satisfactory value for money.

Staff should look for every opportunity to make bulk purchases with other authorities to achieve additional value for money.

16th January 2013

Black Sluice Internal Drainage Board

Policy No: 10

Delegation of Authority Policy

Review Dates:

Original Issue	
Board Approved	
Due for Review	

DELEGATION OF AUTHORITY TO COMMITTEES

Executive Committee

- (a) Approve salary levels for members of staff.
- (b) Recruitment of Senior Officers.
- (c) Set levels of rents for Board's property and land.
- (d) Approve awards of large contracts following tender or quotation submission.
- (e) Approve orders for plant expenditure in excess of £10,000 within annual budget estimate.
- (f) Approve any changes to the investment portfolio of the Bourne Fen Farm Account.
- (g) Any formal consent which requires determination before the next Board Meeting which officers cannot approve.
- (h) Approve any item of expenditure up to a value of £25,000.

Minutes of all actions taken by the Executive Committee should be presented to the following meeting of the Board

Works Committees

- (a) Any formal consent which requires determination before the next Board Meeting which officers cannot approve.
- (b) Approve any individual works or scheme up to a value of £25,000.

Minutes of all actions taken by the Works Committees should be presented to the following meeting of the Board.

Bridges & Culverts Committee

- (a) Determine applications for the renewal of Bridges and Culverts and the level of any contribution required from the ratepayer
- (b)
- (c)

Minutes of all actions taken by the Bridges & Culverts Committee should be presented to the following meeting of the Board.

Environment Committee

- (a) Approve expenditure of the Environmental budgets to the level set in the annual budgets.
- (b)
- (c)

Minutes of all actions taken by the Environment Committee should be presented to the following meeting of the Board.

Audit & Risk Committee

- (a) To investigate any activity within its responsibilities
- (b) To seek any information that it requires from any Officer or employee of the Board and all employees are directed to cooperate with any request made by the Committee
- (c) To obtain outside legal or independent professional advice, and secure the attendance of outsiders with relevant experience and expertise if it consider this necessary

Minutes of all actions taken by the Audit & Risk Committee should be presented to the following meeting of the Board.

Nominations Committee

- (a) Prepare nominations for approval of the Board in the Board meeting following an election and any vacancies mid-term.
- (b)
- (c)

Minutes of all actions taken by the Nominations Committee should be presented to the following meeting of the Board.

DELEGATION OF AUTHORITY TO BOARD MEMBERS AND OFFICERS

Chairman of the Board

- (a) Sign agreements on behalf of the Board.
- (b) Negotiate purchases and sales on behalf of the Board.
- (c) Approve expenditure and arrangements for inspections, meetings, visits and other similar items.

Chairmen of Works Committees

- (a) Approve minor works.
- (b) Approve consents for relaxing Bye-Laws:
 - Relaxation to 4.5 metres from the centre line when a watercourse is piped.
 - Relaxation to 6.0 metres if a clear strip of land is left clear adjacent to the watercourse for the sole use of the Board.
 - Relaxation to allow bushes to be planted 4.5 metres and trees 6.0 metres from the brink of a small or medium sized drain.

Chief Executive

- (a) Day to day operation of the Board.
- (b) Recruitment of staff and workforce.
- (c) Approve expenditure up to a value of £10,000 on maintenance of plant and items which are included in annual estimates and regular budgeted expenditure (e.g. Electricity) in excess of £10,000.
- (d) Sign Board cheques and instructions to the bank with the Finance Manager, with the Operations Manager and/or the Finance Supervisor substituting if required.
- (e) Sign agreements and consents on behalf of the Board as set out in the Board's policies.

Finance Manager

- (a) Approve the write-off of Drainage Rates up to a value of £250.
- (b) Approve the investment of Board funds in accordance with the Board's Financial Regulations.
- (c) Approve expenditure up to a value of £10,000 on maintenance of plant and items which are included in annual estimates and regular budgeted expenditure (e.g. Electricity) in excess of £10,000.
- (d) Sign Board cheques and instructions to the bank with the Chief Executive, with the Operations Manager and/or the Finance Supervisor substituting if required.

Black Sluice Internal Drainage Board

Policy No: 33

Smoking Policy

Review Dates:

Original Issue	
Board Approved	
Due for Review	

Introduction

This smoking policy seeks to guarantee the right of all employees and visitors to breathe air free of tobacco smoke and to comply with smoke-free legislation included in The Health Act 2006. Passive smoking, has been medically proven to cause lung cancer and heart disease in non-smokers, also been proven to cause asthma and migraine attacks, as well as other serious illnesses and minor conditions.

The Penalties for Non-Compliance with the Legislation

- Failing to display no-smoking signs in premises covered by the law (£200 fixed penalty notice, or up to £1,000 Court fine);
- Smoking in a smoke-free place (£50 fixed penalty notice, or up to £200 Court fine);
- Failing to prevent smoking in a smoke-free place (up to £2500 Court fine).

The Management of this Policy

It is the policy of Black Sluice Internal Drainage Board that all our workplaces are smoke free, and all employees have a right to work in a smoke free environment. Smoking is not permitted in any part of the premises, or within one metre of an entrance or window, including pumping stations, company vehicles and machines at any time. At the Board's headquarters smoking is only permitted in the designated smoking shelter.

This policy also covers the use of Electronic Cigarettes.

Adequate Signage and Facilities for Disposal of Smoking Refuse, etc.

Managers/Supervisors are responsible for ensuring the implementation and maintenance of this policy. Appropriate 'no-smoking' signs will be clearly displayed at the entrances to and within the premises, and in all vehicles and machines. Smokers are responsible for disposal of cigarette litter including discarded cigarette butts, cigarette packets, matches and match boxes.

Smoking litter should be disposed of in designated bins and not discarded on the ground.

Enforcement of the Smoke-Free Legislation

Council enforcement officers have the power to enter no-smoking premises to determine whether the law is being upheld. They also assess whether or not those in control of the premises have taken all reasonable precautions to avoid people smoking.

All staff have a personal responsibility in ensuring their personal compliance and in ensuring that all those who enter the premises are made aware of the policy. Those who do not comply with the smoke-free law may be liable to a fixed penalty fine and possible criminal prosecution.

Help for those who Smoke

It is recognised that the smoking policy will impact on smokers' working lives. Black Sluice IDB will support those staff that would like to quit smoking

The following free services are available to assist smokers to quit:

- NHS Smoking Helpline 0800 169 0 169
- Lincolnshire Phoenix Stop Smoking Service 0800 8401533 or 01522 574200

Non Compliance

Disciplinary procedures will be followed if employees do not comply with this policy.

BLACK SLUICE INTERNAL DRAINAGE BOARD

EMERGENCY FIRE PLAN

FOR PREMISES

AT

STATION ROAD

SWINESHEAD

PE20 3PN

CONTENTS

- 1 General Policy
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1 GENERAL POLICY

It is the policy of Black Sluice Internal Drainage Board, to ensure that all employees, contractors and visitors are protected from the risks of fire. With this aim appropriate fire safety measures shall be taken. In addition, appropriate evacuation procedures shall be developed, implemented and periodically tested. All employees shall be provided with sufficient appropriate fire awareness training and instruction. The premises shall comply with relevant fire safety legislation and recognised good practice.

The main legislation relevant to this is:

The Regulatory Reform (Fire safety) Order 2005

2. PROCEDURES / GUIDANCE

2.1 General Staff Instruction

All staff must be familiar with the fire procedures as required by **The Regulatory Reform (Fire safety) Order 2005** and the **Health & Safety at Work, etc. Act 1974**.

Fire procedures are posted throughout the building and can be found on exit routes normally adjacent to fire alarm call points.

All staff must ensure that they are familiar with the means of escape in case of fire by walking the routes from the area in which they are employed.

Staff should be familiar with the fire assembly point, which is indicated in the fire procedure for the building.

If you have to evacuate the premises:

- **DO** exit quickly and calmly
- **DO** go directly to open air
- **DO NOT** stop to collect personal belongings
- **DO** close the doors behind you

Sounders, Push button howlers or gong type are strategically located in each workplace building and new employees must be shown their location as part of their induction, together with the location of fire extinguishers.

Portable fire extinguishers are sited in 'high risk' areas and at regular intervals on corridors / exit routes.

Any instructions given by the management must be complied with as they are exercising their duties outlined in the Health & safety Policy.

2.2 Fire safety

Fire safety is everyone's responsibility. All employees, contractors and visitors are expected to follow established safety procedures to ensure the safe use of electrical / gas appliances, the safe use, storage and disposal of hazardous / combustible materials and compliance with the requirements of the building smoking policy.

To this end all contractors will be required to be provided with a copy of the general fire safety policy and to provide suitable risk assessments for the work undertaken.

2.2 Fire Precautions

Fire resisting doors must be kept closed at all times (unless the are doors which automatically close when the alarm is sounded) to maintain compartmentalisation of the building and to prevent the spread of the fire and / or toxic smoke.

Corridors, stairways, landings and escape routes must be kept clear at all times of anything that is likely to cause a fire or accident or to impede evacuation in an emergency. Everyday objects such as building materials left on an escape corridor pose serious obstacles during an emergency evacuation.

Hazardous materials must be stored, used and disposed of in accordance with all legal requirements and safe working practices.

All fire fighting equipment must be kept free from obstruction and be readily available for use in an emergency. Portable fire fighting equipment must not be removed or repositioned without authority.

Any obvious or suspected damage to, or misuse of, the fire alarm or fire fighting equipment must be reported immediately.

2.4 Fire Action Procedure

Any person suspecting or discovering a fire shall:

- Raise the alarm vocally or nearest sounder point.
- Call the Fire brigade direct by dialling 999 and give the correct address of the building and any other information they require.
- If possible, tackle the fire with the correct type of extinguisher - **but only** if there is no risk to oneself **and** practical, **"hands on"** training has previously been undertaken.
- If circumstances dictate, or if ordered to do so, leave the building by the nearest available exit route.

Any person hearing a report of fire or a fire alarm shall:

- Leave the building by the nearest available fire exit route
- Go directly to the assembly point

- Never re-enter the building until instructed to do so by a member of the Fire Brigade or your supervisor or manager. Never re-enter a building whilst the alarm is still sounding.
- Instructions given in an emergency evacuation by nominated staff must be followed.

2.5 Evacuation Procedures for Disabled Persons

Individuals having a disability, which may affect their ability to recognise that an emergency is taking place or to evacuate a building unaided, will have a personal emergency evacuation strategy drawn up. This evacuation strategy will be specific to the needs and abilities of the individual in question.

Wheelchair users and persons with mobility impairment.

The wheelchair user must notify an official of the details of their personal evacuation strategy. If, due to the nature of the illness / injury, the individual cannot be removed from their wheelchair without risk of serious injury, movement to a point of temporary refuge will be considered as part of the personal evacuation strategy.

It is essential that wherever possible co-ordinators are aware of staff or visitors to the building who have specific emergency evacuation needs.

Deaf / Hearing impaired Persons.

There are no visual fire signals within the building. Deaf or hearing impaired persons who are likely to be working in an isolated area are encouraged to advise an appropriate member of staff of this fact, so that they may be notified of any alarm.

Blind / Visually impaired Persons.

Blind / visually impaired persons are advised to identify himself or herself to an official or member of staff rather than wait until an evacuation takes place.

2.6 Fire Safety Co-ordinator

The Building shall have a Fire Safety Co-ordinator who will normally be your supervisor or manager. In the event of evacuation of the building the Fire safety Co-ordinator will liaise with the emergency services.

The Fire safety Co-ordinator will:

- remain at the fire assembly point until told to stand down by the senior officer from emergency services.
- check-in each group as they arrive and make note of their responses.
- provide this information to the senior officer from emergency services on request.

- inform the senior officer from emergency services of the location of any member of staff, contractor or visitor who is waiting for evacuations in a refuge.
- provide information gathered during the evacuation.

The Fire Safety Co-ordinator on this site is Daniel Withnall.
Substitute Andrew Scott.

2.7 Trained Personnel

Where there are a significant number of people, it is not practicable to have a roll call or keep a formal fire register. Similarly, where there are a significant proportion of 'mobile' people at any given time, specific locations are not predictable.

In such cases, responsible persons are appointed to assist in the safe evacuation of all staff and visitors present from pre-designated areas of the building.

Responsible persons will be familiar with all the exit points for their area and will direct staff and visitors towards the most appropriate available exit.

Additionally, fire safety training allows any responsible person to act as Fire Co-ordinator and to be the first point of contact with the Emergency Services when they arrive on site.

It must be stressed, however, that staff are **NOT** trained to be fire fighters. Their main function is to assist the progress of the evacuation and to report its progress to the fire safety Co-ordinator.

When the alarm sounds or vocal fire alarm is given

- Direct staff and visitors towards the **nearest available fire exit**.
- Maintain a steady flow of people evacuating the building and prevent 'bottlenecks' building up by redirecting staff and visitors towards other available exits (so that they are not placed at risk).
- direct staff and visitors away from potential sources of fire, where these are known.
- ensure (so far as is reasonably practicable) that the floor is clear or is actively evacuating.
- leave the building themselves by the nearest available exit.
- report to the Fire Safety Co-ordinator (who will be at the fire control point) on the status of their area (using a pre-determined short checklist).
- remain with the Fire Co-ordinator so that they can be re-deployed to aid in controlling other aspects of the evacuation or to be at the disposal of the senior officer of the emergency services on site.
- take part in a short de-brief session with the Fire Safety Co-ordinator once permission to re-enter the building is given.

2.8 Evacuation Drills

In accordance with fire safety Legislation, fire evacuation drills will be carried out at least annually.

The drills will monitor the effectiveness of the local evacuation procedures and, where necessary, identify required changes. They will also time the evacuation and compare the time to a previously determined acceptable time limit based on national standards and accepted good practice. In cases where the evacuation takes longer than the expected time, a second drill may be carried out at a later date.

The results of each evacuation drill should be recorded in the fire safety log book.

2.9 Training , Instruction and Information

An appropriate person shall give all new employees fire safety induction training in the first week of employment. this will include identification of escape routes, location of fire extinguisher and call points, where assembly point is and any local hazards that they need to be aware of.

2.10 Buildings Alterations

When alterations are being planned the company will ensure that the requirements of relevant fire safety legislation / recognised standards are considered and that the proposed facilities meet the requirements.

2.11 Fire Risk Assessments

In accordance with fire safety legislation, fire risk assessments should be carried out annually. The Risk assessments shall be amended as necessary when circumstances require it (e.g. Building changes). The fire risk assessments shall be reviewed whenever any changes to structure, layout or usage of the building takes place to ensure their on-going relevance and adequacy.

2.12 Monitoring and Audit

Supervisor / manager should, as part of their day-to-day duties and during inspections, ensure that fire safety measures are in place and are working as they are intended to.

Fire safety shall be included in the safety Management System audits carried out by Supervisors / managers.

3. DETAILED INFORMATION

3.1 Location of Fire Extinguishers

Office	Reception:	6 litre water with additive. 2kg carbon dioxide
	Rating Office:	6 litre water with additive. 2kg carbon dioxide.
	Supervisors Office:	6 litre water with additive. 2kg carbon dioxide.
	Ground floor near lift:	6 litre water with additive. 2kg carbon dioxide.
	Kitchen:	Fire Blanket.
	Top of Stairs:	6 litre water with additive. 2kg carbon dioxide
	Design Office:	6 litre water with additive. 2kg carbon dioxide
Workshop	Main Door	6 litre foam.
	Side Wall	3kg powder 9 litre water
	Back Wall	6 litre foam 3 kg powder
Storage Area	Main Door	9 litre foam
	Side Emergency door	9 litre foam

3.2 Escape Routes

Rating Office and Secure Store:	Leave building via escape door in rating office.
Administration Office:	Leave through reception and front doors.
Reception:	Through front doors.
Operations Managers Office:	Either through escape door in stair well. OR through Supervisors Office and into fitting shop escape door.
Supervisor's Office	Through door into workshop and through emergency door .
Chief Executive Office:	Down stairs and leave through emergency door.
Finance Officer's Office:	Down stairs and leave through emergency door.

Engineering Department:	Along corridor, down stairs and leave through emergency door.
Board Room:	Into corridor, down stairs and outside via emergency door.
Workshop	Through main door or exit door to south side of building
Main Storage Area	Through main door onto south side of building, or through fire exit doors on side or rear of the building

3.3 Assembly Point

The assembly point for evacuees from the office is in the car park in front of the office building.

The assembly point for evacuees from the workshop and general store is on the south side of the building.

4. Fire Risks

4.1 Main Risks

Office	Electrical Equipment Gas Boiler Electrical appliances in kitchen Air Conditioning units.
Workshop	Welding Equipment Gas Boiler Grinder Power Tools Batteries Oils
Store Area	Stored Materials (paint, timber etc) Parked equipment Waste materials.
External Storage areas	Diesel Tanks

5. RISK ANALYSIS

5.1 Office.

5.1.1 Electrical Equipment

Risk: Computers could short circuit or fail and catch fire.

Consequence: Fire spreading to furniture

How risk managed: Review equipment before end of life.
Renew any faulty equipment.
Modern electrical system.

Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Satisfactory

5.1.2 Gas Boiler

Risk: Boiler catching fire.

Consequence: Fire in kitchen.

How risk is managed: Annual servicing of boiler.

Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Satisfactory

5.2 Workshop

5.2.1 Welding and Cutting Equipment

Risk: Sparks causing fire.

Consequence: Fire in combustible material.

How risk is managed: Partitions round welding area.

Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Satisfactory

5.2.2 Electrical Equipment

Risk:	Grinders or other equipment could catch fire.
Consequence:	Fire spreading to machinery
How risk managed:	Review equipment before end of life. Renew any faulty equipment. Regular testing.

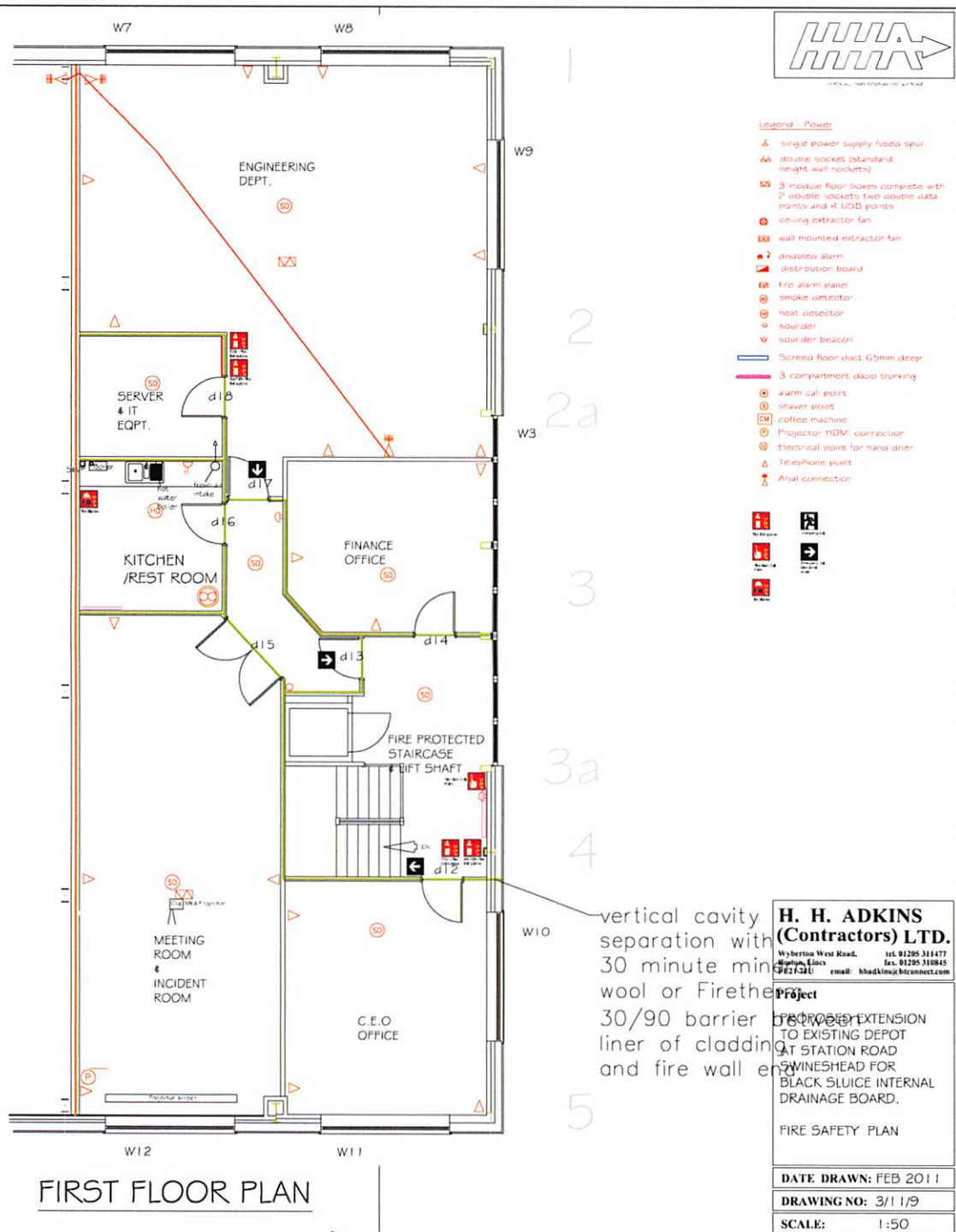
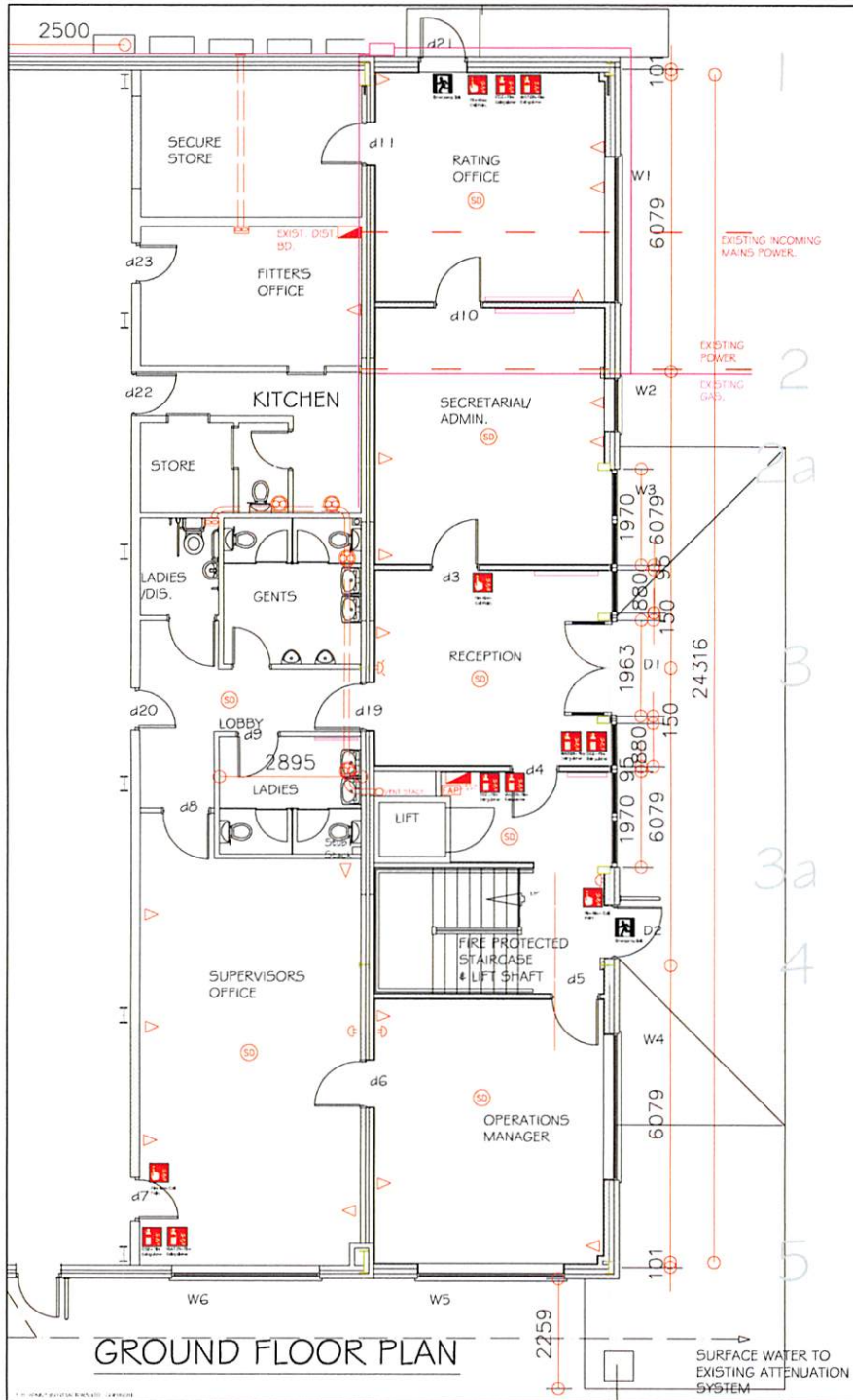
Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Satisfactory

5.3 General Store

5.3.1 Machinery

Risk:	Machinery short circuits causing fire.
Consequence:	Fire spreading
How risk managed:	Review equipment before end of life. Renew any faulty equipment. Regular testing.

Potential Impact of Risk	Potential likelihood of Risk	Risk Level	Action
MEDIUM	LOW	2	Satisfactory



BLACK SLUICE INTERNAL DRAINAGE BOARD

Policy for Manual Handling Operations

Manual handling operations undertaken at work may result in a number of ill health conditions or injuries. Personnel who are engaged in manual handling, as a significant part of their normal work, may be at risk. The purpose of this policy is to state who is responsible, and what they must do, in order to minimise any possible health and safety risks associated with manual handling activities.

Manager responsibilities

1. You must ensure that, in the work areas for which you have responsibility, manual handling operations are avoided, so far as is reasonably practicable. This may involve ensuring that mechanical handling equipment is available, maintained and used appropriately by those in your control.
2. You must ensure that, where manual handling operations cannot be avoided, you have assessed the task and satisfied yourself that the manual handling operation cannot be avoided. This may involve carrying out a risk assessment using the proforma overleaf.
3. You must ensure that, for those manual handling operations which remain, health and safety risks are reduced so far as is reasonably practicable. This may involve introducing job rotation schemes or ensuring that team lifting practices are employed etc. Manual handling training courses are widely available and must also be considered.

Employee responsibilities

1. You must use the appropriate mechanical handling equipment, where it is available, to avoid the need for manual handling. Any deficiency in the equipment must be reported to your Manager.
2. You must assist your Manager in carrying out manual handling risk assessments detailed above.
3. You must ensure that, for the manual handling tasks which remain, that they are undertaken in accordance with any training and instruction you have received. You must be mindful of your own abilities when lifting and carrying etc., and not put yourself at increased risk.

Authorised by: _____ Date: _____

Print Name: _____

BLACK SLUICE INTERNAL DRAINAGE BOARD

Policy on Managing Stress in the Workplace

The Health & Safety Executive definition of stress is “the adverse reaction people have to excessive pressure or other types of demand placed on them”. Whilst others thrive on pressure and a fast working environment, for some people this can be very stressful. Anyone working under pressure due to workload, excessive expectations from management or bullying and harassment may be at risk. Whilst it is accepted that pressures outside the workplace can cause stress there is still a duty to ensure that working practices are not exacerbating an existing condition. The purpose of this policy is to identify who is responsible, and what they must do, in order to minimise any exposure to situations that may result in stress.

Manager responsibilities

1. You must ensure that, in the work areas for which you have responsibility, stress is avoided, so far as is reasonably practicable. Where it cannot be avoided, you must assess the level of risk, which may involve carrying out a risk assessment.
2. You must monitor workloads and working hours to ensure that employees are not overworking. Monitor holidays to ensure that employees are taking their full entitlement.
3. You must ensure good communication between management and employees so that if there are organisational changes employees feel they are kept fully informed. All employees must be fully trained to carry out their duties and have the appropriate management support.
4. You must ensure that bullying and harassment is not tolerated within your work area.
5. You must look out for changes in the behaviour of your employees, as this may be an indication that they are suffering from stress. You must be supportive and treat any employee who says they are suffering from stress compassionately.
6. Be prepared to offer additional support, whenever necessary.

Employee responsibilities

1. You must inform your Manager if you feel you may be suffering from workplace stress. Be as open as possible so that your Manager has the full facts. Work with management to agree realistic and workable solutions.
2. You must co-operate with your Manager when he carries out any risk assessments. Take an active part in any opportunities for discussion when the risk assessment is carried out so that you feel involved in any decisions that are made.
3. Read/listen carefully to all communications from management to make sure you fully understand the reasons for any change. If you do not understand or would like to discuss any concerns, speak to your Manager.
4. You must give full consideration to attending any counselling or stress management courses your employer may suggest.

Authorised by: _____

Date: _____

Print Name: _____

BLACK SLUICE INTERNAL DRAINAGE BOARD

VIB 2/1

Policy for Vibration at Work

Exposure to hand-arm or whole-body vibration at work may result in a number of ill health conditions or injuries. Personnel who are engaged in operations where they may be exposed to hand-arm or whole-body vibration, for example, when using hand held tools or when driving vehicles, as a significant part of their normal work, may be at risk. The purpose of this policy is to state who is responsible, and what they must do, in order to minimise any possible health and safety risks associated with vibration at work.

Manager responsibilities

1. You must ensure that, in the work areas for which you have responsibility, hand-arm or whole body vibration is avoided, so far as is reasonably practicable. This may involve ensuring that work equipment is appropriately selected for the intended use, maintained and used appropriately by those in your control.
2. You must ensure that, for any operation where hand-arm or whole body vibration is likely to lead to exposure, that the work equipment has been selected in order to reduce that risk, so far as is reasonably practicable. For example, when purchasing new work equipment, ensure vibration magnitude is a criterion for selection.
3. You must ensure that, where vibration exposure cannot be avoided, you have assessed the task and satisfied yourself that the vibration exposure cannot be avoided. This may involve carrying out a risk assessment using the proforma overleaf.
4. You must ensure that, for those vibration exposures that remain, health and safety risks are reduced so far as is reasonably practicable. This may involve introducing job rotation schemes or health surveillance regimes, and will require that employees are instructed and trained why and how to detect and report signs of injury.

Employee responsibilities

1. You must use the work equipment as you have been shown and instructed to reduce exposure to vibration. Any deficiency in the equipment must be reported to your Manager.
2. You must assist your Manager in carrying out vibration risk assessments detailed above.
3. You must ensure that, for vibration exposures that remain, that they are reduced as far as is reasonably practicable in accordance with any training and instruction you have received.

Authorised by: _____ **Date:** _____

Print Name: _____

BLACK SLUICE INTERNAL DRAINAGE BOARD

POLICY STATEMENT

THE PROVISION AND USE OF WORK EQUIPMENT
REGULATIONS 1998

WEARING OF SEAT BELTS IN VEHICLES

Background

A number of accidents have resulted in operators attempting to jump clear of an unstable machine and being struck by the Roll Over Protection System (ROPS) or being thrown about the cab of the machine during a roll over. Injuries sustained are usually major, causing entrapment and crushing type injuries.

Regulations

The Health and Safety at Work Act 1974 requires employers to provide safe plant and machinery and this includes all vehicles and heavy plant. The Provision and use of Work Equipment Regulations 1998 supports this requirement in that all new vehicles now supplied are to be fitted with seat belts, and where practical, these should be worn.

The Health and Safety at work Act 1974 and the Management of Health and Safety at Work Regulations 1999 imposes duties on employees to use all machinery, equipment and safety devices as trained or instructed. Therefore, where vehicles are fitted with seat belts they must be worn, unless the job you are doing specifically precludes their use.

In line with current vehicle training, and the Regulations and Act referred to above, the policy of this company is that all vehicle operators must wear seat belts if fitted.

Authorised by: _____ Date: _____

Print Name: _____

Black Sluice Internal Drainage Board

Policy No: 40

Commercial Works Policy

Review Dates:

Original Issue	9 th April 2014
Board Approved	25 th June 2014
Due for Review	

INTRODUCTION

Following a request the Board will offer quotations to complete relevant works within their normal scope of works on a commercial recharge basis.

Quotations will be offered using the following options:

1. Rechargeable day works
2. Schedule of rates
3. Fixed price/lump sum (all risk)

POLICY

A Commercial quotation will be prepared and presented for acceptance following a review of the current operational works programme. If there is scope for the commercial works to be completed without affecting the programme a quotation may be offered .

A quotation within the options above will be prepared using the current year's job costing rechargeable spreadsheets for labour, plant, stock and other cost items in line with the specific request. The job costing spreadsheet will have an annual review of labour and plant rates by the Finance Manager and a quarterly review of stock rates by the Operations Manager, other cost items will be included at market rates.

Where a fixed price/lump sum is requested the works will be assessed against a programme of events with the relevant resources identified and included, all event risks should be included. A second officer opinion will be sourced and the quotation and programme assessed with any adjustments agreed.

A 5% addition will apply to all quotations to assist in the overhead recovery.

Commercial Works quotations will be forwarded to the clients in letter format for acceptance.

Any works with a value greater than £1,000 must not commence prior to the receipt of a pre-payment or an official order. **Any order over £40,000 must be referred to the Board or Committee of the Board before being accepted.**

A unique rechargeable cost centre will be raised for each Commercial works.

Works will be invoiced to include for VAT within the month of completion for fixed price/lump sum works or the following month following the full evaluation of allocated costs for day works.

BLACK SLUICE INTERNAL DRAINAGE BOARD

COMPLAINTS PROCEDURE

The Black Sluice IDB has a procedure for dealing with complaints from members of the public and others. Despite our best endeavours, we recognise that things may not always meet your expectations. We follow a standard procedure to ensure that we investigate your complaint fully and fairly, and which enables complaints to be dealt with in a consistent way.

We want to hear from you if you are unhappy with our services and want to make a complaint.

What is a Complaint?

A complaint is an expression of dissatisfaction, however made, about the standard of service, action or lack of action made by the Board or its staff, contractors etc, affecting an individual member of the public or other group or organisation.

The Steps to Follow

1. Some complaints can be dealt with immediately, and we would like to put things right straight away if possible, rather than involve you in filling out a form and waiting for a response. So your first step if you are not happy with the way we have dealt with you is to go back to the person in the Board who handled the matter in the first place.
2. If you are still not satisfied with the way your complaint has been dealt with, then we will adopt a formal procedure in order to investigate it further. Please fill in the attached form setting out what went wrong and what you think the Board should do to put things right. Please provide as much information about your complaint as possible and include reference numbers, dates of correspondence etc.
3. We will acknowledge your complaint **within 5 working days** in writing or by phone to confirm that we have understood your concerns correctly. The complaint will be investigated by the Board's Chief Executive.
4. We will investigate your complaint, and where possible, send a written reply to you within 15 working days of our acknowledgement. If the matter requires further investigation, we will tell you the reason for the delay and when a full reply will be sent.
5. If you are not satisfied with our reply, please let us know why. If possible, we will investigate further and if then your concerns are still unresolved, the matter will be discussed at a full Board Meeting. We will keep you informed of progress and provide a further reply within 15 working days of receiving your letter.

The Local Government Ombudsman

If you remain unsatisfied with the way we have dealt with your complaint you may refer it to the Local Government Ombudsman, who works independently to the Board, investigating allegations of maladministration causing injustice to the person who has complained. However, the Ombudsman will usually expect you to have tried to get your complaint settled by the Board first. Any complaint to the Ombudsman must involve more than a disagreement with the Board and needs to show that something went wrong and an injustice was caused.

For example it might be maladministration if the Board:-

- made a mistake;
- took too long to do something;
- did not follow its own rules or the law;
- broke its promises;
- treated you unfairly;
- gave you wrong information; or
- did not make a decision in the right way – that is, if it:-
 - did not follow the right procedures when making the decision;
 - did not consider all the relevant information; or
 - wrongly considered irrelevant information.

You might have been caused an injustice by the Board's maladministration if, for example, you:-

- did not get the service or benefit you were entitled to or there was a delay before you got it;
- suffered financial loss; or
- were put to a lot of avoidable expense, trouble or inconvenience, or suffered avoidable uncertainty or stress.

The Local Government Ombudsman might not investigate your complaint if they consider that the injustice is only slight, or if the Board has already taken, or is willing to take, satisfactory action to resolve it.

The Local Government Ombudsman has a leaflet called "*Complaint to the Council? How to Complain to the Local Government Ombudsman*". While the leaflet refers to Councils, the same principles apply equally to IDBs. There is also a leaflet on the Local Government Ombudsman website entitled "*How the Ombudsman will deal with your complaint*". You can get a copy of these leaflets by telephoning their Adviceline on 0300 061 0614, or downloading them from their website at www.lgo.org.uk.

Why we want to hear from you

Although we want to hear from you if you feel you need to complain, we like to hear any comments you have about our overall service performance. We want to provide the best possible service and your comments will help us to know what we are doing well, and also what we need to improve on.

Contact Details:-

mailbox@blacksluiceidb.gov.uk

Chief Executive
Station Road, Swineshead, Boston, Lincs, PE20 3PW
Tel: 01205 821440 Fax: 01205 820671

CATALOGUE OF BOARD POLICIES										
		Reviewed on						REVIEW	REVIEW	
		Jan 2012	Sep 2012	Jan 2013	Oct 2013	Apr 2014	Dec 2014	Apr 15	Sep 15	
	Business Plan	✓		✓		✓		✓		
1	Risk Management Strategy			✓		✓		✓		annual
2	Risk Register	To be reviewed at every A&R meeting								annual
3	Financial Regulations			✓			✓			5 years
4	Procurement Policy			✓			✓			5 years
5	Investment Strategy	✓						✓		5 years
6	Insurance Arrangements				✓			✓		annual
8	9 metre Bye-Law	✓						✓		5 years
9	Culverts & Bridges Replacement	To be reviewed annually by Culverts & Bridges Committee								5 years
10	Delegation of Authority			✓			✓			5 years
11	Biodiversity Action Plan	To be reviewed annually by Environment Committee								annual
12	Standing Orders	No review required								
13	Emergency Flood Response Plan (Control Document)				✓	✓				5 years
14	Complaints Procedure		✓						✓	5 years
15	Employees Code of Conduct		✓						✓	5 years
16	Fraud and Corruption			✓					✓	5 years
17	Members Code of Conduct		✓						✓	5 years
18	Whistle Blower		✓						✓	5 years
19	Disolved Policy Debit and Credit Card									5 years
20	Officers Car Loan		✓						✓	5 years
21	H&S Asbestos Management Plan									
22	H&S Noise at Work									
23	H&S Display Screen Equipment					✓				
24	H&S First Aid and Accident Recording									
25	Lone Worker					✓				
27	The Control of Ragwort				✓					5 years
28	Tile Drains discharging into Boards Watercourses				✓					5 years
29	Control of Rabbits, Rats & other Rodents				✓					5 years
30	Pension Discretion LPF 2014				✓	✓				5 years
31	Publication Scheme			✓						5 years
32	Data Protection			✓						5 years
33	Smoking						✓			5 years
34	Gift and Hospitality Policy				✓					5 years
35	Fire Management Plan						✓			5 years
36	Manual Handling						✓			5 years
37	Stress						✓			5 years
38	Vibration						✓			5 years
39	Wearing of seat belts in vehicles						✓			5 years
40	Rechargeable Commercial Works					✓				5 years
41	Rechargeable Public Sector Works					✓				5 years

**BLACK SLUICE INTERNAL DRAINAGE BOARD
RISK REGISTER**

Objectives	Ref	Risk	Risk Score	Gaps in control	Action Plan	Officer Responsible
To provide and maintain standards of sound needs based sustainable flood protection.	1.1	Being unable to prevent flooding to property or land	3			I Warsap
	1.2	Loss of Electricity Supply	3			I Warsap
	1.3	Pumps failing to operate	3		Maintenance	C Richards
	1.4	Watercourses being unable to convey water	2		Maintenance	I Warsap
	1.5	In operating machinery to maintain watercourses	2		Training	I Warsap
	1.6	Claims from third parties for damage to property or injury	2			I Warsap
	1.7	Loss of senior staff	2			I Warsap
	1.8	Insufficient finance to carry out works	2			D Withnall
	1.9	Reduction in staff performance	2			I Warsap
	1.10	Insufficient staff resources	2		Review	I Warsap
To conserve and enhance the environment wherever practical and possible to ensure there is no net loss of biodiversity.	2.1	Prosecution for not adhering to environmental legislation	2		BAP	I Warsap
	2.2	Non delivery of objectives	2		BAP	I Warsap
To provide a 24 hour/365 day emergency response for the community	3.1	Emergency Plan inadequate or not up to date	1		Review	I Warsap
	3.2	Insufficient resources	2		Review	I Warsap
	3.3	Critical Incident loss of office	3	None		
To provide a safe and fulfilling working environment for staff.	4.1	Injury to staff and subsequent claims and losses	2		Training	I Warsap
	4.2	Not complying with Health and safety legislation	3		Consultant	I Warsap
To maintain financial records that are correct and comply with all recommended accounting practice.	5.1	Loss of cash	1	None		D Withnall
	5.2	Loss of money invested in building societies and banks	2	None		D Withnall
	5.3	Fraud by senior officers	1	None		D Withnall
	5.4	Risk of Inadequacy of Internal Checks	2			D Withnall
To ensure that all actions taken by the Board comply with all current U.K. and E.U. legislation	6.1	Board members in making decisions	1			I Warsap
	6.2	Not complying with all employment regulations and laws	2			I Warsap
A cost efficient IDB that provides a Value for Money service.	7.1	Not collecting sufficient income to fund expenditure	1		Accounts	D Withnall
	7.2	IDB abolished or taken over	1			I Warsap
	7.3	Premises at 72 Carlton Road not sold	2			I Warsap
Information Technology and Communications	8.1	Loss of telemetry	2		Maintenance	C Richards
	8.2	Loss of telephone Communications	1			D Withnall
	8.3	Loss of Internet Connection	2			D Withnall
	8.4	Network Failure	3			D Withnall
	8.5	Network Security Breach	2			D Withnall
	8.6	Virus on Network	2			D Withnall
	8.7	Loss of accounting records	2	None		D Withnall
	8.8	Loss of rating records	2	None		D Withnall