

BLACK SLUICE

INTERNAL DRAINAGE BOARD



Audit & Risk Committee Meeting

Wednesday, 14th October 2020 at 2pm

Station Road, Swineshead, Lincolnshire PE20 3PW



Black Sluice Internal Drainage Board

Station Road
Swineshead
Boston
Lincolnshire
PE20 3PW

01205 821440

www.blacksluiceidb.gov.uk

mailbox@blacksluiceidb.gov.uk

Our Ref: IW/DPW/B10_1

Your Ref:

Date: 7th October 2020

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, 14th October 2020 at 2pm at which your attendance is requested.

The offices of the Board are COVID-19 Secure and the meeting will be held in the Boardroom adhering to COVID-19 Compliance procedures (please see enclosed procedure document).

Should you wish to attend remotely rather than attending the offices, in accordance with The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, please use the virtual meeting details circulated by email on Monday 5th October 2020 or contact Jessica Baxter at the office.

Chief Executive

AGENDA

1. Apologies for absence.
2. Declarations of interest.
3. To receive and, if correct, sign the Minutes of the Audit & Risk Committee Meeting held on the 13th May 2020 (**pages 1 - 14**)
4. **CONFIDENTIAL** - To receive and, if correct, sign the Confidential Minutes of the Audit & Risk Committee Meeting held on the 13th May 2020 (**pages 15**)
5. Matters arising.
6. To receive a report on Insurance arrangements (**page 16**)
7. To receive the Annual Return including External Auditors Opinion for 2019/20 (**pages 17 - 22**)
8. To review the following Board's Policies:
 - (a) Policy No. 15: Employees Code of Conduct (**pages 23 - 26**)
 - (b) Policy No. 16: Fraud & Corruption (**pages 27 - 30**)
 - (c) Policy No. 20: Officers Car Loan (**pages 31 - 33**)
 - (d) Policy No. 42: Near Miss Reporting (**pages 34 & 35**)
 - (e) Policy No. 47: Business Continuity Plan – COVID-19 (**pages 36 - 47**)
9. To receive a new policy on Crop Loss Compensation (Policy No. 46) (**pages 48 & 49**)
10. To receive the Catalogue of Board Policies with recommended approval dates (**page 50**)
11. To review the Risk Register (**page 51**)
12. Any Other Business.

BLACK SLUICE INTERNAL DRAINAGE BOARD

MINUTES

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

held remotely on
13th May 2020 at 2pm

Members

Chairman - * Mr M Brookes

* Mr W Ash	* Mr V Barker
* Mr R Leggott	* Mr N Scott
* Cllr R Austin	* Cllr S Walsh

* Member Present

In attendance: Mr I Warsap (Chief Executive)
Mr D Withnall (Finance Manager)
Mr C Harris (Internal Auditor)

Due to COVID-19, this meeting was held remotely in accordance with The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020.

The Chairman welcomed Mr C Harris, the Internal Auditor, to the meeting.

1594 APOLOGIES FOR ABSENCE - Agenda Item 1

There were no apologies for absence.

1595 DECLARATIONS OF INTEREST - Agenda Item 2

There were no declarations of interest.

1596 MINUTES OF THE LAST MEETING - Agenda Item 3

Minutes of the last meeting held on 9th October 2019, copies of which had been circulated, were considered and it was AGREED that they should be signed as a true record with the following amendment:

- Minute 1523(d), paragraph 6, 'The Finance Manager felt that *is* the individual...' should be 'The Finance Manager felt that *if* the individual...'

1597 CONFIDENTIAL MINUTES OF THE LAST MEETING - Agenda Item 4

It was agreed and thereby RESOLVED to exclude the public from the next part of the meeting due to the confidential nature of the business to be transacted, in accordance with section 2 of the Public Bodies (Admission to Meetings) Act 1960.

1598 MATTERS ARISING - Agenda Item 5

(a) DATA TAGGING - Minute 1521

The Finance Manager informed the committee that all the excavators, Twiga's, telehandler and the Aebi are now data tagged. The new Unimog received in the last few weeks has also been booked in.

1599 RECEIVE A PRESENTATION FROM THE INTERNAL AUDITOR - Agenda Item 6

Mr C Harris, the Internal Auditor, presented this item.

(a) INTERNAL AUDIT REPORT 2019/20

The Internal Auditor informed the committee that, following the audit, Black Sluice IDB have achieved 'substantial assurance', the highest level that can be awarded, adding that he can confirm and ratify that the accounts, governance, risk and control are working very well.

One area that was picked up as a routine recommendation was the area of Health and Safety. The Internal Auditor noted that he is pleased to say that the Chief Executive, Finance Manager and Operations team have reacted positively to this recommendation, which will be followed up in the 2020/21 audit, adding that it will help in providing solid assurance that Health and Safety matters are being managed appropriately.

The Internal Auditor highlighted point 11.28 and 11.29 of the report, pensions, which was previously highlighted by Mr V Barker at a past Audit & Risk Committee meeting, noting that everything was as it should be and works well.

The Internal Auditor invited any questions.

The committee expressed their thanks to the Chief Executive, Finance Manager and team for the hard work put in to enable the achievement of substantial assurance.

The Chairman also noted back to the recommendation around Health and Safety and highlighted that it is included on today's agenda.

Mr V Barker thanked the Internal Auditor for reviewing the pensions as requested.

(b) AUDIT PROGRAMME 2020/21

The Internal Auditor explained that this doesn't change significantly as the work within it has to satisfy the Annual Governance and Accountability Return document, covering all aspects of governance, risk and control and financial systems.

The Internal Auditor noted, however, that due to gaining substantial assurance, the audit programme has been reduced slightly to reduce the cost by one day; a 20% reduction on the fee.

The Internal Auditor invited views and any other elements the committee felt should be included.

The committee expressed that they were satisfied with the audit programme for 2020/21.

The Chairman thanked the Internal Auditor for attending the meeting and invited him to stay for the remainder of the meeting should he wish to, the Internal Auditor accepted and remained present throughout the whole meeting.

1600 TO REVIEW THE FOLLOWING BOARD'S POLICIES - Agenda Item 7

The Finance Manager explained that these are policies that have been identified for review and any changes have been made in red and any additional notes made in green.

(a) POLICY No. 01: RISK MANAGEMENT STRATEGY

3. Skills and Expertise

Mr V Barker referred to the Risk Management Strategy, Skills and Expertise, point 3.2. He further focused on the operation of Board vehicles and equipment, explaining that the Environment Agency (EA) employees are not allowed to travel in any vehicle along riverbanks until they have gained a specific qualification, questioning whether this is the same with the IDB workforce?

The Chief Executive responded that he was not aware of the qualification the EA use, this is not currently applied to the workforce, the only qualification required for the workforce to operate the vehicle on a bank top is the adequate road licence for that particular vehicle. The Chief Executive questioned the extent the committee want to go to in regard to qualification recognition, is it not adequate for the operator to operate the vehicle on a bank top having passed the qualification to operate it on a public highway?

The Chairman suggested that enquiries be made with the EA to find out exactly what the qualification is and entails. Once this is known, the committee will be in a better position to make a judgement about whether it should be applicable to the workforce.

All AGREED that the officers will contact the EA to find out more details about the qualification used by themselves for operating vehicles on bank tops, which can then be reported back to the committee to decide whether it should be employed by the IDB.

Risk Analysis Appendix C

The Finance Manager noted that there are no proposed changes until this appendix.

1.1 Risk of being unable to prevent flooding to property or land

The Finance Manager explained that, following previous committee discussions, what used to be (a) Coastal and fluvial flooding, has been separated as follows;

- (a) Coastal flooding from failure or overtopping of defences
- (b) Fluvial flooding from failure or overtopping of defences

This relates to the previous concern over the implications of the Black Sluice Pumping Station (Boston) site. The higher risk is now associated with the fluvial flooding due to still not having received the operations manual from the EA.

Following discussion with the Chairman prior to the meeting, it is additionally proposed to add the following to 1.1(b):

'Future Work: Waiting on the EA Management Plan to be published on the operation of the sluice and navigation lock at Black Sluice Pumping Station.'

Mr V Barker suggested another addition, 'Fluvial flooding from failure to control rodents in the EA or Board's banks'.

The Finance Manager felt that rodents in EA banks would be out of the Board's control and therefore wouldn't be our risk.

The Chief Executive acknowledged Mr V Barker's suggestion but felt that 1.1(b) is already all inclusive of any possibility of failure or overtopping and if rodents are listed, there would be argument for multiple other factors, such as breaching for example, to be listed. He felt the list could become very long if every possible eventuality was listed.

Mr V Barker acknowledged that he was satisfied to leave it as originally proposed.

The Chairman felt that the main concern regarding this is the failure of the EA to produce the operations documentation, noting that ways of increasing pressure to encourage them to produce the document needs considering.

The Chief Executive confirmed that he will be back in touch with the EA and re-emphasis that there has been a considerable waiting time for the operational manual and that it is causing delays in the finalisation of the Emergency Plan, as it needs to be included as an appendix.

1.2 Risk of Loss of Electrical Supply

This change is to clarify that the phone system is also supported by the uninterrupted power system.

Cllr S Walsh questioned the timescale for the UPS to remain in force? The Finance Manager responded that the phone system and network are all on the same UPS, which have enough or brief interruption. The UPS on the telemetry should give approximately 1.5 days.

1.4 Risk of Board Watercourses being unable to convey water

Mr V Barker made reference to the asset database, questioning if it is available to be viewed by Board Members or the public?

The Finance Manager explained that the database is included within the mapping system, which is not accessible to anybody outside of the office. It could be requested to be viewed, there is nothing confidential within it.

1.5 Risk of operating machinery to maintain watercourses

This change is to clarify that plant such as the excavators, Twiga's etc. are included in this.

1.6 Risk of claims from third parties for damage to property or injury

This change is to clarify that plant such as the excavators, Twiga's etc. are included in this.

1.8 Risk of loss of senior staff

The Finance Manager explained that the added change is a result of the situation experienced during the exceptional rainfall events during October 2019, there were two senior staff members unavailable due to illness and holiday, therefore becoming short staffed with no formal plan in place for this situation. This has therefore been formalised both within this risk and the Emergency Response Plan.

1.9 Insufficient finance to carry out works

The Finance Manager reminded the committee of the exceptional circumstances of the final quarter of 2019, due to the amount of rainfall received, with the excessive repair bills and electricity costs, it was felt it was important to emphasise and so has led to the proposed additions, highlighted in red in the agenda.

3.3 Risk of critical incident loss of office

Due to the COVID-19 situation and having to work from home, the Board has been forced to upgrade the backup system so that the tapes do not need changing every day. Previously, as well as having the daily tapes on a two-week rotation, there were also monthly tapes on an annual rotation. This new system is a cloud backup system, which wasn't deemed value for money to implement whilst staff were in the office anyway to change the tapes, however, now, due to the circumstances, having the new cloud system prevents somebody from having to attend the office every day to change the tape. The backup on the HBP servers is daily, kept for 365 days.

Mr V Barker questioned if 365 days was long enough, perhaps two years instead?

The Finance Manager responded that the previous back up was 365 days, the justification for this time period being that if the system did encounter a cryptolocker type virus then it was felt one year was more than sufficient. It is on HBP servers off site, so providing that nothing happens to the actual building, the back ups will be both on site at Black Sluice offices and also on the HBP servers.

Mr R Leggott questioned how much the new cloud back up system costed and whether any of it can be claimed back from the government?

The Finance Manager noted that the system cost £670.00 with an additional ongoing cost but didn't think it would be likely to get anything back from the government.

5.2 Risk of loss of money invested in building societies and banks and managed Funds

This addition highlights the inclusion of the £500,000 invested in a managed fund.

Mr V Barker questioned whether money could be withdrawn during the wet period if required and questioned the current rate?

The Finance Manager explained that it did drop considerably around the end of March 2020 but has recovered to an extent. None of the £500,000 invested with Brewin Dolphin has been withdrawn or any of the £300,000 in the building society as it wasn't required. If required, the building society funds would have been used first.

8.1 Risk of loss of telemetry

This has been changed to include the ongoing work on the telemetry systems, which was discussed and approved at the Board meeting, to upgrade the telemetry and the automation of the pumping stations.

8.2 Risk of loss of telephone communication

The number of VOIP phones and analog lines has been updated accordingly, with the addition of six power supplies, which are currently all being used at employees homes to allow them to use their phones at home.

8.5 Risk of breach in cyber security

This is the same change as seen in 3.3, in relation to the new cloud back up system.

8.8 Risk of loss of accounting records

The Finance Manager noted that the first point of the 'How risk is managed section', as follows, 'Records backed up each day on a 2 week rotation and monthly on an annual rotation' needs removing, as it is now the new cloud system, which has also been added, as shown in red in the agenda.

8.9 Risk of loss of rating records

The Finance Manager noted that the first point of the 'How risk is managed section', as follows, 'Records backed up each day on a 2 week rotation and monthly on an annual rotation' needs removing, as it is now the new cloud system, which has also been added, as shown in red in the agenda.

Cllr R Austin raised a point that he felt was possibly too minor to be included within the Risk Management Strategy, but thought it needed to be noted and kept an eye on. He referred to the issue of invasive species, in particular the Giant Hogweed and Japanese Knotweed. Cllr R Austin emphasised the importance of the workforce being aware of the invasive species, as they can have serious implications such as medical issues, noting that they need monitoring and controlling.

The Chairman noted that this is covered within the Biodiversity Action Plan, section 6.2.11 (Non-Native Invasive Species) which was displayed on screen.

The Chief Executive further added that Invasive Species are also included within the annual pre-cutting brief in July, attended by all relevant employees. They are also provided with a brochure of invasive species and is immediately reported to the EA and Greater Lincolnshire Nature Partnership (GLNP).

Cllr R Austin noted that the Giant Hogweed is on the Boardside, close to the Great Fen Road junction, for a few years.

The Committee RESOLVED to recommend that the Risk Management Strategy (No. 01) be approved at the next Board meeting with the above amendments.

(i) ASSETS LIST

The Finance Manager explained that the whole asset register has been included as at the year end. The element that was highlighted most in the previous meeting by Mr V Barker was the various pieces of land registered in the Board's name.

The Finance Manager displayed on screen the map of the catchment, explaining that he can focus in on any particular piece of land that the committee members want to.

Mr V Barker acknowledged this but noted that he has spoken to the chair of the Structures committee as he feels it is more relevant to that committee, referring to electricity poles etc. on land.

Mr V Barker also noted the value for the forklift within the Plant & Vehicles asset register, however, the Finance Manager clarified that the values on the assets register are for accounting purpose only, whereas the values given to the insurance are the cost of replacement.

(b) POLICY No. 05: INVESTMENT STRATEGY

The Finance Manager explained that this was reviewed by the Chairman prior to the meeting, who was not satisfied with paragraph 2.5. Following more research, it is not unlawful, but frowned upon. Therefore, the suggestion was made to change paragraph 2.5 shown in the agenda to the following;

'The Board recognises borrowing monies to purely invest, or to lend and make a return, from the PWLB or another lender, would not be appropriate and the Board will not engage in such activity.'

All AGREED that paragraph 2.5 be changed to the above.

Cllr S Walsh made reference to paragraph 1.1, questioning whether COVID-19 should be added as well as the credit crunch of 2008-09?

All AGREED the addition of a reference to COVID-19 be made.

The Finance Manager highlighted the only other proposed change, the addition of paragraph 4.2.1. Noting that paragraph 4.2 explains that non specified investments shall not be made without a resolution stating otherwise, therefore, paragraph 4.2.1 acknowledges the resolution that was made by the Board to allow the Brewin Dolphin investment.

The Committee RESOLVED to recommend that the Investment Strategy (No. 05) be approved at the next Board meeting with the above amendments.

(c) POLICY No. 12: STANDING ORDERS

The standing orders have been processed to allow for meetings to happen virtually, they have been approved by the Chairman, Chief Executive and DEFRA Minister, to then be retrospectively approved at the Board meeting.

The Finance Manager highlighted the changes as follows;

Regulations to Proceedings

Paragraph 1(a) is completely new.

Cllr S Walsh made reference to paragraphs 7 and 8(c), questioning the phrase correctness of 'choose some one of their number'. It was clarified that it is correctly written and understood by the committee.

Standing Orders Order of Debate

Paragraph 15, '...shall be proposed and seconded and shall, *if required*, be written out...' used to state '...shall be proposed and seconded and shall, *if absolutely necessary*, be written out...'.
Paragraph 17 used to state that any member declaring an interest would have to leave the meeting for that item, whereas this new version, gives the Chairman the authority to decide whether they can take part in the discussion and whether they can vote. The Chairman felt the change was sensible as the member with the interest is often able to provide useful information. Mr R Leggott agreed with the Chairman's view.

Special Circumstances

The addition of paragraphs 28 and 29 allows for the facility of holding remote meetings.

The Committee RESOLVED to recommend that the Standing Orders (No. 12) be approved at the next Board meeting.

(d) POLICY No. 13: EMERGENCY RESPONSE PLAN

The Chief Executive presented this plan, reminding the committee that all confidential information has been removed.

The Chief Executive further reminded the committee that this document used to be the 'Emergency Flood Response Plan', however, it was realised that there may be an emergency that doesn't involve water, such as the current COVID-19 circumstances being faced.

The Chief Executive noted two changes on the first title page, firstly, the removal of 'seventh' to simply read 'Revision date' and secondly, the version number requires changing to 1.6.

The Chief Executive highlighted all of the proposed changes in red throughout the plan, drawing particular attention to the following;

Emergency Response Section - Summary

Mr V Barker made reference to the possible failure of the EA pump at the end of the Bourne Eau, expressing his concern that is it right on the edge of our catchment and that the EA may not wish to operate it, which would then impact on the IDB's catchment. The Chief Executive noted that it sits on the boundary between Black Sluice IDB and Welland & Deepings IDB and it is currently being considered to transfer it to one of the IDBs to operate.

A Fluvial Emergency

The formalisation of a staffing rota for continuous monitoring of the telemetry has been introduced.

The Chairman noted that this is where the EA navigation lock operational manual information will be introduced.

Operation of Pumping Stations

There has been quite a substantial change to the table, especially the column that states, 'To be switched off in emergency'. Previously, this column had every pumping station to be switched off, the Chief Executive has now removed some at his discretion, following discussion with the Pump Engineer and Operations Team.

The Chief Executive questioned, with the agricultural members particularly, if they agreed with the choice of pumping stations to not be switched off in an emergency, as per the table?

Mr V Barker made reference to the Dowsby Lode drain, stating he would like the levels of the banks and land to be looked at in relation to the pump, to see if the figures in the table are still relevant. The Chief Executive acknowledged this would be looked into.

Mr R Leggott and Mr W Ash questioned what criteria the Chief Executive used to come to the decision about which pumping stations to turn off in an emergency?

The Chief Executive responded that in regard to criteria for not turning off in an emergency there are three of them that are major pumping stations, or they are catchments that can be doubled up, or they are pumps that don't pump into the South Forty Foot Drain (SFFD).

Mr R Leggott expressed that he could see the Chief Executive's reasoning but questioned if there were any figures to support it?

The Chief Executive clarified that this is the indication to the EA, it is not to say that they definitely won't be switched off. Further noting the resilience seen of the SFFD in the recent emergency event, and that not as many pumps are required to be switched off as used to be.

Mr R Leggott noted a recent conversation he had held with Matt Warman and that he suggested to Mr Warman that if he saw anything about opening another gravity flow at the Black Sluice Pumping Station (Boston), he hoped he would support. The Chief Executive agreed.

Mr W Ash questioned why this list of pumps needs to be included, when in an event anyway, the officers would make judgement about which areas are most likely to flood?

The Chief Executive responded that, yes, the different catchments are monitored, but it is a general partnering approach to the EA that the IDB will take the strain off the SFFD banks by holding the water.

Mr W Ash questioned why it needs to be in writing in this document, feeling it was too specific about some areas, couldn't the EA just be informed of the exact locations that are going to be switched off at the time?

The Chief Executive stated that it needs to be documented, like the EA's operation manual for the Black Sluice Pumping Station (Boston). The Finance Manager also noted that if the Chief Executive and Operations Manager were unavailable during an event, like previously, the Finance Manager would use this table as guidance in their absence.

Operational Procedures

The Chief Executive noted that the recent prolonged emergency event highlighted that some officers maybe unavailable, due to sickness for instance, or for example, cannot work the whole period due to the longevity of it and so the additions of formal cover for staff have been added to the plan, especially in regard of the expertise of the Pump Engineer. The Pump Engineer has therefore created the three charts showing the process to take in relation to electrical faults, pump faults and weed screen cleaner fault.

Mr V Barker confirmed that the previous Pump Engineer, Colin Richards, was still happy to be called upon if required? It was confirmed that he is more than happy that he is included in the plan.

Extended Area Map

Mr V Barker noted that there is an area west of Bourne that he is unsure whether should be highlighted as part of the Board's extended area. The Chief Executive noted that he believed it is Welland and Deepings IDB catchment, but will have a look on a more detailed map and confirm.

The Committee RESOLVED to recommend that the Emergency Response Plan (No. 13) be approved at the next Board meeting with the above amendments.

(e) POLICY No. 21: H&S CONTROL & MANAGEMENT OF ASBESTOS

The Finance Manager explained that this policy was previously in the format of a Copes Health and Safety policy, so this has been changed to standardise it into the form of the Board policies, with no suggested changes to this policy.

The Committee RESOLVED to recommend that the Health & Safety Policy for the Control and Management of Asbestos (No. 21) be approved at the next Board meeting.

(f) POLICY No. 22: H&S CONTROL OF NOISE AT WORK

The Finance Manager explained that this policy was previously in the format of a Copes Health and Safety policy, so this has been changed to standardise it into the form of the Board policies, with no suggested changes.

The Committee RESOLVED to recommend that the Health & Safety Policy for the Control of Noise at Work (No. 22) be approved at the next Board meeting.

(g) POLICY No. 24: H&S FIRST AID & ACCIDENT REPORTING

The Finance Manager explained that this policy was previously in the format of a Copes Health and Safety policy, so this has been changed to standardise it into the form of the Board policies.

The Finance Manager felt it was important to acknowledge the reporting of near misses within this policy even though there is a separate near miss policy, which has been added in red, as shown in the agenda.

The Finance Manager also noted the change in Note(1) which directs to the relevant document.

The Committee RESOLVED to recommend that the Health & Safety Policy for First Aid & Accident Reporting (No. 24) be approved at the next Board meeting.

(h) POLICY No. 30: LOCAL GOVERNMENT PENSION SCHEME DISCRETIONS STATEMENT

The Finance Manager noted that this was reviewed last year. Since then, there has been an addition, shown in red, to Section 3 - Flexible Retirement. However, the last sentence in red 'Your flexible retirement policy should set out your position on this matter' needs removing, as this was a guidance note that shouldn't have been included.

The Committee RESOLVED to recommend that the Local Government Pension Scheme Discretions Statement (No. 30) be approved at the next Board meeting with the above amendment.

(i) POLICY No. 35: FIRE MANAGEMENT PLAN

The Finance Manager noted that the Fire Management Plan only has a few proposed changes; due to the office building work there are some changes to the escape routes at 3.2 and there are completely new office drawings showing the escape routes and fire extinguishers.

Cllr S Walsh made reference to section 2.3, Fire Precautions, noting that he felt the only required bit of the second paragraph was 'Corridors, stairways, landings and escape routes must be kept clear at all times'. He felt the rest of that sentence was irrelevant as there should be nothing blocking these routes at all.

All AGREED to remove the remainder of the second paragraph of section 2.2.

It was clarified that all employee policies are placed on the notice board in the office kitchen and workforce canteen.

The Committee RESOLVED to recommend that the Fire Management Plan (No. 30) be approved at the next Board meeting with the above amendment.

(j) POLICY No. 47: COVID-19 BUSINESS CONTINUITY PLAN

The Finance Manager explained that this document was produced at an early stage of the COVID-19 pandemic, which needs to be a document that can be reviewed and changed frequently by the officers rather than requiring the approval of a committee and Board.

As a result of this requirement to continually change the policy, is it proposed to include the following;

'Due to the requirement of this policy to be adaptable according to the situation, responsibility to review the policy will be delegated to the CEO with the Executive Committee and Board reviewing retrospectively.'

The Chairman felt this was a sensible addition as the guidance around COVID-19 is changing rapidly.

All AGREED to add the above paragraph to enable the policy to be changed as required by the circumstances, without approval from committees.

The Finance Manager added that the following are precautions that are being put in place for returning to work at the office when it is safe to do so:

- Purchase of 10 screens for around desks in shared offices
- Screens for reception to barrier between employees and general public
- Daily temperature monitoring for all employees in the office / depot and regularly for workforce

Mr N Scott shared an idea that he has used within his business that he thought could be of benefit to use within the IDB. He further explained that a matrix can be used for employees, made up of the following information; employee age, pre-existing conditions (using the NHS risk categories), living with key workers and whether the employee thinks they may have had the virus. This can then be colour coded red, amber, green and an employee of green status, least at risk, should be tasked with more high risk jobs initially rather than somebody at high risk, with red status.

The Finance Manager noted that this has been partially done informally, but felt it was a good idea to do this formally in a written document. All AGREED.

The Committee RESOLVED to recommend that the COVID-19 Business Continuity Plan (No. 47) be approved at the next Board meeting with the above amendment.

1601 IDENTIFY GOVERNANCE TRAINING REQUIREMENTS FOR BOARD MEMBERS
- Agenda Item 8

The Finance Manager presented this item, reminding the committee what is already in place in terms of training as follows; firstly, there were a number of members that attended the Joint Lincolnshire IDB training day at the end of last year, there is a formal introduction for all new members with refresher training every three years following the election, council members also receive additional training through their council and lastly, each member should have a copy of the 'Good Governance' booklet.

Cllr S Walsh, as one of the newest members to join the Board, noted that he did not recall receiving the Good Governance booklet. It was noted that the administration team will look into ensuring that all new members who joined the Board in May 2019 have got the booklet.

The Chairman felt that the Board was adequately covered with the measures already in place. The Internal Auditor agreed, also noting how well the meeting had been chaired.

All AGREED that the Board are adequately covered in relation to training for Board members.

1602 IDENTIFY HEALTH & SAFETY TRAINING REQUIREMENTS - Agenda Item 9

The Chief Executive presented this item, making reference to the ADA Health, Safety & Welfare Survey that took place in 2018 as included in the agenda, noting that there was only a 75% response rate.

The Chief Executive further referred to the top three recommendations, governance and leadership, ensuring competence and recording accidents and near misses, which the Chief Executive stated are all already in practice.

The Chief Executive secondly referred to the additional recommendations for IDBs to consider, noting how they are applied at Black Sluice IDB;

- Quality of advice
Cope safety, an approved health, safety and welfare consultant are employed.
- Welfare facilities
The welfare facilities within the catchment at the pumping stations are used. For larger construction sites, facilities are hired in.
- Routine training
Health and Safety training is shown in the annual report to the Board, which is detailed and extensive.
- Health surveillance
Reference was made to the earlier update regarding temperature checks for all staff during the COVID-19 pandemic, with eye tests also provided for office employees. The Chief Executive felt this may be a point that more could be done, and so can be reviewed and considered.

- Capacity
The Chief Executive felt that the IDB works closely with other IDBs and Risk Management Authorities.
- Risk assessment
All risks are clearly identified and a method for reducing that risk written, both on site and in the office.
- Toolbox talks & training
Toolbox talks are employed, in addition to other training such as the pre-cutting brief.
- Machinery inspection
All machinery is inspected on a daily basis when used, which is documented.

The Chairman raised the point of health surveillance, questioning what the Chief Executive may introduce? The Chief Executive responded referring to Weil's Disease, noting that previously each member of the operations team was tested for this, unsure why this was ceased, this will be looked into again.

Mr V Barker made reference to the welfare facilities at Gosberton Pumping Station, noting that when the employees use it they climb over the fence rather than open the gates. Mr V Barker suggested a pedestrian gate could be beneficial. The Chief Executive acknowledged that he will speak to the workforce about this and look into pedestrian access.

Mr C Harris added that it all looks positive and felt it was a beneficial exercise for ADA to carry out.

1603 RECEIVE THE RISK REGISTER - Agenda Item 10

The Finance Manager noted that this reflects the Risk Management Strategy, reviewed previously in the meeting.

The committee AGREED that the Risk Register be accepted.

1604 RECEIVE THE CATALOGUE OF BOARD POLICIES WITH RECOMMENDED APPROVAL DATES - Agenda Item 11

The Chairman noted that this programme is kept up to date, and if it is felt it is required, policies are brought forward to be reviewed before their review date.

The committee AGREED that the Catalogue of Board Policies be adopted.

1605 ANY OTHER BUSINESS - Agenda Item 12

There was no additional business.

There being no further business the meeting closed at 15.55.

BLACK SLUICE INTERNAL DRAINAGE BOARD
AUDIT & RISK COMMITTEE - 14 OCTOBER 2020

AGENDA ITEM 06

Insurance Renewal

Renewal Premium

Details of the renewal premiums presented by John Cooke from Towergate Insurance brokers are as follows. Please note that the values highlighted in yellow are still to be confirmed at the date of printing.

Black Sluice IDB

Insurance renewal 30th September 2020

		Towergate 2019/20 (End of year)	Towergate 2020/21	Increase in Premium	Premium Increase %
Motor Fleet	Equity Red Star	£ 19,497.66	£ 18,628.96	-£ 868.70	-4.46%
Motor Legal Expenses	ARAG	£ 191.15	£ 197.12	£ 5.97	3.12%
Commercial Combined	AXA	£ 20,890.58	£ 21,729.14	£ 838.56	4.01%
Low Claims Rebate	AXA	-£ 2,027.20	-£ 2,027.20		
Commercial Legal Expenses	AXA	£ 146.18	£ 146.18		
Customer Service Charge	Towergate	£ 300.00	£ 300.00	£ -	0.00%
Personal Accident	Aviva	£ 297.26	£ 268.83	-£ 28.43	-9.56%
Engineering Inspection	Allianz	£ 8,252.50	£ 8,345.27	£ 92.77	1.12%
Engineering Insurance	Allianz	£ 2,341.81	£ 2,435.47	£ 93.66	4.00%
Professional Indemnity	Dual	£ 1,680.00	£ 1,680.00	£ -	0.00%
Directors & Officers and Crime	Dual	£ 1,488.48	£ 1,488.48	£ -	0.00%
TOTAL PREMIUM		£ 53,058.42	£ 53,192.25	£ 133.83	0.25%

Annual Governance and Accountability Return 2019/20 Part 3

To be completed by Local Councils, Internal Drainage Boards and other Smaller Authorities*:

- where the higher of gross income or gross expenditure exceeded £25,000 but did not exceed £6.5 million; or
- where the higher of gross income or gross expenditure was £25,000 or less but that:
 - are unable to certify themselves as exempt (fee payable); or
 - have requested a limited assurance review (fee payable)

Guidance notes on completing Part 3 of the Annual Governance and Accountability Return 2019/20

1. Every smaller authority in England that either received gross income or incurred gross expenditure exceeding £25,000 **must** complete Part 3 of the Annual Governance and Accountability Return at the end of each financial year in accordance with *Proper Practices*.
2. The Annual Governance and Accountability Return is made up of three parts, pages 3 to 6:
 - The **Annual Internal Audit Report** is completed by the authority's internal auditor.
 - **Sections 1 and 2** are to be completed and approved by the authority.
 - **Section 3** is completed by the external auditor and will be returned to the authority.
3. The authority **must** approve Section 1, Annual Governance Statement, before approving Section 2, Accounting Statements, and both **must** be approved and published **before 1 July 2020**.
4. An authority with either gross income or gross expenditure exceeding £25,000 or an authority with neither income nor expenditure exceeding £25,000, but which is unable to certify itself as exempt, or is requesting a limited assurance review, **must** return to the external auditor by email or post (not both) **no later than 30 June 2020**. Reminder letters will incur a charge of £40 +VAT:
 - the Annual Governance and Accountability Return Sections 1 and 2, together with
 - a bank reconciliation as at 31 March 2020
 - an explanation of any significant year on year variances in the accounting statements
 - notification of the commencement date of the period for the exercise of public rights
 - Annual Internal Audit Report 2019/20

Unless requested, do not send any additional documents to your external auditor. Your external auditor will ask for any additional documents needed.

Once the external auditor has completed the limited assurance review and is able to give an opinion, the Annual Governance and Accountability **Section 1, Section 2 and Section 3 – External Auditor Report and Certificate** will be returned to the authority by email or post.

Publication Requirements

Under the Accounts and Audit Regulations 2015, authorities must publish the following information on a publicly accessible website:

Before 1 July 2020 authorities **must** publish:

- Notice of the period for the exercise of public rights and a declaration that the accounting statements are as yet unaudited;
- **Section 1 - Annual Governance Statement 2019/20**, approved and signed, page 4
- **Section 2 - Accounting Statements 2019/20**, approved and signed, page 5

Not later than 30 September 2020 authorities **must** publish:

- Notice of conclusion of audit
- **Section 3 - External Auditor Report and Certificate**
- **Sections 1 and 2 of AGAR** including any amendments as a result of the limited assurance review.

It is recommended as best practice, to avoid any potential confusion by local electors and interested parties, that you also publish the Annual Internal Audit Report, page 3.

The Annual Governance and Accountability Return constitutes the annual return referred to in the Accounts and Audit Regulations 2015. Throughout, the words 'external auditor' have the same meaning as the words 'local auditor' in the Accounts and Audit Regulations 2015.

*for a complete list of bodies that may be smaller authorities refer to schedule 2 to the Local Audit and Accountability Act 2014.

Guidance notes on completing Part 3 of the Annual Governance and Accountability Return 2019/20

- The authority **must** comply with *Proper Practices* in completing Sections 1 and 2 of this Annual Governance and Accountability Return. *Proper Practices* are found in the *Practitioners' Guide** which is updated from time to time and contains everything needed to prepare successfully for the financial year-end and the subsequent work by the external auditor.
- Make sure that the Annual Governance and Accountability Return is complete (no highlighted boxes left empty), and is properly signed and dated. Where amendments are made by the authority to the AGAR after it has been approved by the authority and before it has been reviewed by the external auditor, the Chairman and RFO should initial the amendments and if necessary republish the amended AGAR and recommence the period for the exercise of public rights. If the AGAR contains unapproved or unexplained amendments, it may be returned and additional costs will be incurred.
- The authority **should** receive and note the annual internal audit report if possible before approving the annual governance statement and the accounts.
- Use the checklist provided below to review the Annual Governance and Accountability Return for completeness before returning it to the external auditor by email or post (not both) no later than 30 June 2020.
- Do not send the external auditor any information not specifically requested. However, **you must inform your external auditor about any change of Clerk, Responsible Financial Officer or Chairman, and provide relevant email addresses and telephone numbers.**
- Make sure that the copy of the bank reconciliation to be sent to your external auditor with the Annual Governance and Accountability Return covers all the bank accounts. If the authority holds any short-term investments, note their value on the bank reconciliation. The external auditor must be able to agree the bank reconciliation to Box 8 on the accounting statements (**Section 2, page 5**). An explanation **must** be provided of any difference between Box 7 and Box 8. More help on bank reconciliation is available in the *Practitioners' Guide**.
- Explain fully significant variances in the accounting statements on **page 5**. Do not just send a copy of the detailed accounting records instead of this explanation. The external auditor wants to know that you understand the reasons for all variances. Include complete numerical and narrative analysis to support the full variance.
- If the external auditor has to review unsolicited information, or receives an incomplete bank reconciliation, or variances are not fully explained, additional costs may be incurred.
- Make sure that the accounting statements add up and that the balance carried forward from the previous year (Box 7 of 2019) equals the balance brought forward in the current year (Box 1 of 2020).
- The Responsible Financial Officer (RFO), on behalf of the authority, **must** set the period for the exercise of public rights. From the commencement date for a single period of 30 consecutive working days, the approved accounts and accounting records can be inspected. Whatever period the RFO sets it **must** include a common inspection period – during which the accounts and accounting records of all smaller authorities must be available for public inspection – of the first ten working days of July.
- The authority **must** publish the information required by Regulation 15 (2), Accounts and Audit Regulations 2015, including the period for the exercise of public rights and the name and address of the external auditor **before 1 July 2020**.

Completion checklist – 'No' answers mean you may not have met requirements		Yes	No
All sections	Have all highlighted boxes have been completed?	✓	
	Has all additional information requested, including the dates set for the period for the exercise of public rights , been provided for the external auditor?	✓	
Internal Audit Report	Have all highlighted boxes been completed by the internal auditor and explanations provided?	✓	
Section 1	For any statement to which the response is 'no', has an explanation been published?	✓	
Section 2	Has the authority's approval of the accounting statements been confirmed by the signature of the Chairman of the approval meeting?	✓	
	Has an explanation of significant variations from last year to this year been published?	✓	
	Has the bank reconciliation as at 31 March 2020 been reconciled to Box 8?	✓	
	Has an explanation of any difference between Box 7 and Box 8 been provided?	✓	
Sections 1 and 2	Trust funds – have all disclosures been made if the authority as a body corporate is a sole managing trustee? NB: do not send trust accounting statements unless requested.		

**Governance and Accountability for Smaller Authorities in England – a Practitioners' Guide to Proper Practices*, can be downloaded from www.nalc.gov.uk or from www.ada.org.uk

Annual Internal Audit Report 2019/20

Black Sluice Internal Drainage Board

This authority's internal auditor, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls to be in operation **during** the financial year ended 31 March 2020.

The internal audit for 2019/20 has been carried out in accordance with this authority'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 control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of this authority.

Internal control objective	Agreed? Please choose one of the following		
	Yes	No*	Not covered**
A. Appropriate accounting records have been properly kept throughout the financial year.	✓		
B. This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.	✓		
C. This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	✓		
D. The precept or rates 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 petty cash expenditure was approved and VAT appropriately accounted for.	✓		
G. Salaries to employees and allowances to members were paid in accordance with this authority's 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 or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.	✓		
K. IF the authority certified itself as exempt from a limited assurance review in 2018/19, it met the exemption criteria and correctly declared itself exempt. (If the authority had a limited assurance review of its 2018/19 AGAR tick "not covered")			✓
L. The authority has demonstrated that during summer 2019 it correctly provided for the exercise of public rights as required by the Accounts and Audit Regulations.	✓		
M. (For local councils only) Trust funds (including charitable) – The council met its responsibilities as a trustee.	Yes	No	Not applicable

For any other risk areas identified by this authority adequate controls existed (list any other risk areas on separate sheets if needed).

Date(s) internal audit undertaken

21/01/20 22/01/20

Name of person who carried out the internal audit

CHRISTOPHER R. HARRIS

Signature of person who carried out the internal audit

Ch Harris

Date

27/05/20

*If the response is 'no' you must include a note to 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, the annual internal audit report must explain why not (add separate sheets if needed).

Section 1 – Annual Governance Statement 2019/20

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 arrangements for 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 2020, that:

	Agreed		'Yes' means that this authority:
	Yes	No*	
1. We have put in place arrangements for effective financial management during the year, and for the preparation of the accounting statements.	✓		prepared its accounting statements in accordance with the Accounts and Audit Regulations.
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 this authority to conduct its business or manage 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 gave all persons interested the opportunity to inspect and ask questions about this authority's accounts.
5. We carried out an assessment of the risks facing this authority and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.	✓		considered and documented the financial and other risks it faces and dealt with them properly.
6. We maintained throughout the year an adequate and effective system of internal audit of the accounting records and control systems.	✓		arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether internal controls meet the needs of this smaller authority.
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 this authority 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.
9. (For local councils only) Trust funds including charitable. In our capacity as the sole managing trustee we discharged our accountability responsibilities for the fund(s)/assets, including financial reporting and, if required, independent examination or audit.	Yes	No	N/A
			✓

*Please provide explanations to the external auditor on a separate sheet for each 'No' response and describe how the authority will address the weaknesses identified. These sheets must be published with the Annual Governance Statement.

This Annual Governance Statement was approved at a meeting of the authority on:

30/06/20

and recorded as minute reference:

MINUTE REFERENCE
1634

Signed by the Chairman and Clerk of the meeting where approval was given:

Chairman

KCe SIGNATURE REQUIRED

Clerk

P. W. H. H. M. SIGNATURE REQUIRED

Other information required by the Transparency Codes (not part of Annual Governance Statement)
Authority web address

www.blacksluiceidb.gov.uk

Section 2 – Accounting Statements 2019/20 for

Black Sluice Internal Drainage Board

	Year ending		Notes and guidance
	31 March 2019 £	31 March 2020 £	
1. Balances brought forward	1,215,291	897,175	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. (+) Precept or Rates and Levies	2,091,886	2,094,287	Total amount of precept (or for IDBs rates and levies) received or receivable in the year. Exclude any grants received.
3. (+) Total other receipts	735,582	982,421	Total income or receipts as recorded in the cashbook less the precept or rates/levies received (line 2). Include any grants received.
4. (-) Staff costs	1,109,305	1,199,214	Total expenditure or payments made to and on behalf of all employees. Include gross salaries and wages, employers NI contributions, employers pension contributions, gratuities and severance payments.
5. (-) Loan interest/capital repayments	0	0	Total expenditure or payments of capital and interest made during the year on the authority's borrowings (if any).
6. (-) All other payments	2,036,279	1,914,515	Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan interest/capital repayments (line 5).
7. (=) Balances carried forward	897,175	860,154	Total balances and reserves at the end of the year. Must equal (1+2+3) - (4+5+6).
8. Total value of cash and short term investments	1,236,663	869,382	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 long term investments and assets	5,954,313	6,061,652	The value of all the property the authority owns – it is made up of all its fixed assets and long term investments 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).
11. (For Local Councils Only) Disclosure note re Trust funds (including charitable)	Yes	No	The Council, as a body corporate, acts as sole trustee for and is responsible for managing Trust funds or assets. N.B. The figures in the accounting statements above do not include any Trust transactions.

I certify that for the year ended 31 March 2020 the Accounting Statements in this Annual Governance and Accountability Return have been prepared on either a receipts and payments or income and expenditure basis following the guidance in Governance and Accountability for Smaller Authorities – a Practitioners' Guide to Proper Practices and present fairly the financial position of this authority.

Signed by Responsible Financial Officer before being presented to the authority for approval

D. Withnall

Date

19/05/2020

I confirm that these Accounting Statements were approved by this authority on this date:

30/06/20

as recorded in minute reference:

MIN 1635 REFERENCE

Signed by Chairman of the meeting where the Accounting Statements were approved

KC

Section 3 – External Auditor Report and Certificate 2019/20

In respect of **Black Sluice Internal Drainage Board – DB0010**

1 Respective responsibilities of the body and the auditor

This authority is responsible for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The authority prepares an Annual Governance and Accountability Return in accordance with *Proper Practices* which:

- summarises the accounting records for the year ended 31 March 2020; and
- confirms and provides assurance on those matters that are relevant to our duties and responsibilities as external auditors.

Our responsibility is to review Sections 1 and 2 of the Annual Governance and Accountability Return in accordance with guidance issued by the National Audit Office (NAO) on behalf of the Comptroller and Auditor General (see note below). Our work **does not** constitute an audit carried out in accordance with International Standards on Auditing (UK & Ireland) and **does not** provide the same level of assurance that such an audit would do.

2 External auditor report 2019/20

On the basis of our review of Sections 1 and 2 of the Annual Governance and Accountability Return (AGAR), in our opinion the information in Sections 1 and 2 of the AGAR is in accordance with Proper Practices and no other matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met.

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

None.

3 External auditor certificate 2019/20

We certify that we have completed our review of Sections 1 and 2 of the Annual Governance and Accountability Return, and discharged our responsibilities under the Local Audit and Accountability Act 2014, for the year ended 31 March 2020.

External Auditor Name

PKF LITTLEJOHN LLP

External Auditor Signature

Date

24/09/2020

* Note: the NAO issued guidance applicable to external auditors' work on limited assurance reviews for 2019/20 in Auditor Guidance Note AGN/02. The AGN is available from the NAO website (www.nao.org.uk)

BLACK SLUICE INTERNAL DRAINAGE BOARD

Policy No 15

EMPLOYEES CODE OF CONDUCT

1. INTRODUCTION

The Board's Code of Conduct is set out below. It covers the main standards of behaviour the Board requires from employees and includes the Board Rules, which employees need to follow.

The Board's Rules and the examples of misconduct are not exhaustive. All employees are under a duty to comply with the standards of behaviour and performance required by the Board and to behave in a reasonable manner at all times.

A breach of the Board's Rules may result in disciplinary action. A single instance of gross misconduct may result in dismissal without notice.

2. BOARD RULES

2.1 Attendance and Timekeeping

Employees are required to:

- a) comply with the rules relating to notification and certification of sickness as set out in the ADA Lincolnshire White Book;
- b) arrive at work promptly, ready to start work at their contracted starting times;
- c) remain at work until their contracted finishing times.

Employees must obtain management authorisation if for any reason they wish to arrive later or leave earlier than their agreed normal start and finish times.

The Board reserves the right not to pay employees in respect of working time lost because of poor timekeeping.

Persistent poor timekeeping may result in disciplinary action.

2.2 Standards and Conduct

Employees are required to:

- a) behave in a way that does not constitute unlawful discrimination;
- b) comply with all reasonable management instructions;
- c) comply with the Board's operating policies and procedures;
- d) co-operate fully with their colleagues and with management;
- e) maintain satisfactory standards of performance at work;

- f) ensure that any queries received from the media are referred immediately to the CHIEF EXECUTIVE. Employees must not attempt to deal with queries themselves;
- g) ensure the maintenance of acceptable standards of politeness;
- h) take all necessary steps to safeguard the Board's public image and preserve positive relationships with:
 - i) Local Authorities
 - ii) Members of the public
 - iii) Other associates
 - iv) Other Boards
 - v) Ratepayers of the District

2.3 Flexibility

Employees may be required:

- a) from time to time to undertake duties outside their normal job remit;
- b) from time to time to work at locations other than their normal place of work;
- c) to work additional hours at short notice, in accordance with the needs of the Board.

2.4 Confidentiality

Employees are required to keep confidential, both during their employment and at any time after its termination, all information gained in the course of their employment about the Board's business, members, colleagues or ratepayers, except as required by law or in the proper course of their duties.

Employees are not permitted to engage in any activity outside their employment with the Board, which could reasonably be interpreted, as competing with the Board.

2.5 Work Clothing and Personal Protective Equipment

Employees are required to:

- a) wear the appropriate clothing for the role in which they are employed;
- b) wear or use any personal protective equipment as instructed by and supplied by the Board.

2.6 Health and Safety

2.6.1 General

Employees are required to:

- a) make an entry in the Board's Accident Book of all accidents, however small;
- b) report all accidents, however small, as soon as possible to the Health and Safety Officer;

- c) observe the Board's health and safety procedures;
- d) ensure that safety equipment and clothing are always used in accordance with the Board's health and safety procedures;
- e) ensure lone-worker devices are used at all times in accordance with instructions and training provided.
- f) gain an understanding of the Board's health and safety procedures.

2.6.2 On Site Rules

Employees working on site are required to:

- a) follow any site-specific rules;
- b) wear any required Personal Protective equipment on site at all times.

2.6.3 Smoking

In order to comply with the Law and Board policies, Employees **must not** smoke or vape or allow any non-employees to smoke or vape;

- a) in any of the Board's Buildings
- b) in any of the Board's vehicles
- c) anywhere on site or outside on the Board's premises where it would cause:
 - i) an unpleasant environment for non-smokers
 - ii) offence to others
 - iii) the harmful effects of second hand smoke to be experienced by others
 - iv) anywhere it would cause a fire risk

The designated smoking area for the offices and depot at Swineshead is located at the front of the building in the smoking shelter.

2.7 Property and Equipment

Employees must not without permission of the Chief Executive:

- a) Use the Board's telephone, fax, postal or other services for any reason except on authorized Board's business.
- b) remove Board or site property or equipment from Board or site premises unless for use on authorised Board business

On termination of their employment employees must return **all** Board property, such as keys, laptops, mobile telephones, vehicles, documents or any other items belonging to the Board. This list is not exhaustive.

Where an employee damages property belonging to the Board, either through misuse or carelessness, the Board reserves the right to make a deduction from the employee's pay in respect of the damaged property.

2.8 Personal Property

Personal possessions on Board premises are the sole responsibility of employees who should ensure that their personal possessions are kept in a safe place at all times.

2.9 Environment

In order to provide a cost-effective service, employees are requested:

- a) handle all materials with care;
- b) switch off equipment when it is not in use;
- c) to use the Board's equipment, materials and services wisely;
- d) to try to reduce wastage and the subsequent impact on the environment ensuring that they close windows, avoid using unnecessary lighting or heating or leaving taps running.

2.10 Changes in Personal Details

To ensure the prompt payment of monies due to you and ensure the Board is able to contact you or another designated person in case of an emergency, employee must notify the Board as soon as possible of any change of:

- a) name
- b) address
- c) marital status
- d) next of kin
- e) telephone number
- f) bank account (*which effects where monies due to you from the Board are received*)

2.11 Gross Misconduct

Examples of behaviour which the Board treats as misconduct can be found In the Lincolnshire Branch of ADA's Wages, Salaries and conditions of Service booklet provided to all employees.

Board Approved 4th November 2015

Black Sluice Internal Drainage Board

Policy No 16

Fraud and Corruption Policy

1. INTRODUCTION

One of the basic principles of public sector organisations is the proper use of public funds. It is therefore important that all those working in the public sector are aware of the risk of wrongdoing and the means of enforcing the rules against it. The aim of this document is to set out a policy and response plan for the organisation for suspected or detected irregularities.

2. POLICY

The Board is committed to a culture of honesty, openness and fairness. It is therefore also committed to the elimination of any fraud and corruption and to the rigorous investigation of any such cases and the punishment of those involved.

The Board actively encourages anyone having reasonable suspicion of irregularities to report them. It is also the policy of the Board that no employee should suffer as a result of reporting reasonably held suspicions.

The Board will always seek to recover fully all losses from those responsible in proven cases of fraud or corruption including all costs incurred in the pursuit of action against them.

3. DEFINITIONS

The Fraud Act 2006 introduced an offence of Fraud and Section 1 of this Act states the following;

Fraud

(1) A person is guilty of fraud if he is in breach of any of the sections listed in subsection (2) (which provide for different ways of committing the offence).

(2) The sections are—

(a) section 2 (fraud by false representation),

(b) section 3 (fraud by failing to disclose information), and

(c) section 4 (fraud by abuse of position).

(3) A person who is guilty of fraud is liable—

(a) on summary conviction, to imprisonment for a term not exceeding 12 months or to a fine not exceeding the statutory maximum (or to both);

(b) on conviction on indictment, to imprisonment for a term not exceeding 10 years or to a fine (or to both).

(4) Subsection (3)(a) applies in relation to Northern Ireland as if the reference to 12 months were a reference to 6 months.

Fraud can be defined as – “the intentional distortion of financial statements or other records by persons internal or external to the authority which is carried out to conceal the misappropriation of assets or otherwise for gain”.

Corruption can be defined as – “the offering, giving, soliciting or acceptance of an inducement or reward which may influence the action of any person”.

4. DISCOVERY OF FINANCIAL IRREGULARITIES

Financial irregularities can come to light in a number of ways. They are usually discovered as a result of:

- Manual & Craft employees or Office Staff becoming aware of or suspecting that management controls are not being complied with;
- Routine work, or Audit testing;
- Information (tip-off) from a third party, internal or external to the organisation.

Any allegation, but particularly an anonymous one, should be treated with caution and discretion, because what appears to be suspicious circumstances may have a reasonable explanation. There is also a risk that some reports may be malicious.

Under no circumstances should information about any suspected irregularity, be passed to a third party or to the media without the **express authority** of the Chief Executive or Internal Auditor.

5. RESPONSIBILITY OF EMPLOYEES

Employees who are aware of, or suspect that a financial irregularity is taking place, or has taken place, have a duty to report their suspicions, since by doing nothing they may be implicating themselves.

Employees who may feel uncomfortable referring suspicions to line managers are encouraged to contact an Executive Committee Board Member or the Internal Auditor. If these reporting lines are unacceptable to an employee, an alternative is available in the Board’s “Whistle Blowing Procedure”.

If an employee suspects that a financial irregularity of any type has occurred or is in progress, they should immediately inform their line manager. The only exception to this rule is where the employee suspects that the *line manager* might be involved in the irregularity. In that event, the employee should advise the Chief Executive, Internal Auditor or an Executive Committee Board Member.

Employees must not attempt to investigate suspected irregularities themselves, or discuss their suspicions other than with more senior managers in accordance with the guidance above..

Examples of the types of financial irregularity that might be suspected are: -

Theft or abuse of Board property or funds

Deception or falsification of records (e.g. fraudulent time or expense claims)

6. RESPONSIBILITIES OF MANAGERS

It is Management's responsibility to maintain system controls to ensure that the Board's resources are properly applied in the manner, on the activities and within the limits approved. This includes responsibility for the prevention and detection of fraud and other irregularities.

Where a manager receives a report from an employee or other party of a suspected financial irregularity, they should immediately inform the Chief Executive, who in turn will notify the duly appointed Internal Auditor.

Line Managers should not themselves attempt to undertake any detailed investigation of the possible irregularity and should not discuss their suspicions or those reported to them, other than with the Chief Executive and the Internal Auditor.

In cases of suspected irregularities, it is often necessary to suspend a suspect from duty. Before an employee is suspended, advice should be sought from the Chief Executive. The purpose of suspension is to prevent any suggestion of a suspect having the opportunity to continue with the act complained of, falsify or destroy records, influence witnesses, etc. Suspension is not a punishment nor does it imply any fault or guilt on the part of the employee concerned.

7. RESPONSE PLAN

Upon receiving a report of suspected financial irregularity, the Internal Auditor will launch an investigation and a record will be made in the Board's Fraud Log. The Log will record all reported suspicions including those dismissed as unsubstantiated, minor or otherwise not investigated. It will also contain details of actions taken and conclusions reached. Significant matters will be reported to the Board and the Chairman will be updated on the situation.

The Internal Auditor will confer with the Chief Executive to agree the action plan to be adopted in the light of the particular circumstances.

When a prima facie case of fraud or corruption has been established, the Internal Auditor and Chief Executive will inform the Chairman and consultation with the Police will take place as soon as possible.

Depending upon Police advice, the case will be reviewed by the above officers and the Chairman who will decide if it should be referred officially to the Police for investigation. If it is decided to do so the Chief Executive will authorise the official complaint.

Following the official report to the Police, any further investigations by the Internal Auditor that are considered necessary will be planned and executed in close co-operation with the Police, with the Chief Executive and Chairman of the Board being kept informed.

8. INVOLVING THE POLICE

Internal Auditors and Chief Executives may be reluctant to involve the Police in the belief that: -

- They are only interested if the alleged criminal offence is greater than a specific monetary value
- They will not be interested because of the potential complexity of the issues involved which render little chance of a successful prosecution
- The organisation prefers to deal with such incidents internally, avoid publicity but implementing dismissal and recovery through civil action
- The Police will want hard evidence before they will pursue investigations, but when it is provided they advise that the rules of evidence have not been complied with.

Protracted internal investigations often unnecessarily delay involving the Police, thereby diminishing the value of co-operation with them. However properly organised investigations, conducted by individuals with an inside working knowledge of the organisation, will be of great assistance to any subsequent Police enquiry, and management should follow the above procedure and liaise with the Police as soon as the issues are identified.

Telephone Contacts :

Chief Executive 01205 821440

Internal Auditor – TIAA Ltd. 0845 3003333

Revised 14 October 2020

Board Approved 4th November 2015

Black Sluice Internal Drainage Board

Policy No 20

Officers Car Loan Policy

1. INTRODUCTION

Salaried Officers of the Board who are paid an Essential Car User Allowance and have in their terms of employment the requirement that they should provide a car to use for their employment can request a loan for the purchase of a suitable vehicle.

2. POLICY

Any Salaried Officer can apply for a loan after one month's employment by the Board.

The loan shall be limited to 90% of the cost of the vehicle.

Simple interest shall be paid at 1% above the Bank of England Base Rate when the loan is taken out, and be fixed for the term of the loan.

The maximum term of the loan should be four years.

The loan shall be repaid by deductions from the Officers pay each month.

3. RESPONSIBILITY OF EMPLOYEES

If the Officer leaves the Board's employment he/she shall repay the entire loan before the final day of that employment.

4. RESPONSIBILITIES OF MANAGERS

The agreement shall be signed by the Chief Executive and reported to the next meeting of the Board Executive Committee.

Revised 14 October 2020

Board approved 4th November 2015

THIS AGREEMENT is made the day of Two Thousand and nine BETWEEN(full name) of(Address) (hereinafter called "the Officer") of the one part and BLACK SLUICE INTERNAL DRAINAGE BOARD (hereinafter called "the Board") of the other part.

WHEREAS:

1. The Officer is employed by the Board.
2. The Board consider that it is essential in the interests of the efficient conduct of the business of the Board that the Officer shall be permitted to use his private motor car in carrying out his official duties.
3. The Board have been requested by the Officer to make an advance to the Officer to enable him to complete the purchase of a motor car.
4. The Board have agreed to advance to the Officer the sum of £.....(numbers) (typed in words) for the said purchase upon the terms and conditions hereinafter contained.

NOW IT IS HEREBY AGREED as follows:-

1. IN consideration of the sum of £..... paid to the Officer by the Board on the (date) (the receipt whereof the Officer hereby acknowledges) the Officer shall repay to the Board the said sum of £..... together with interest thereon at the rate of% fixed on the loan by equal monthly instalments of £..... per month until the whole of the said sum of £..... together with interest thereon as aforesaid has been repaid the first instalment being due on the 1st day of (date).
2. THAT if before the whole of the said sum of £..... and interest has been repaid to the Board by the Officer as aforesaid the Officer shall:-
 - 2.1. Dies; or
 - 2.2. Cease to serve the Board for any reason whatsoever; or
 - 2.3. Fail to observe any term or terms of this deed; or
 - 2.4. Become bankrupt; or make any composition or arrangement with his creditors.
3. IN the event of any balance of the said sum of £..... becoming repayable as provided under Clause 2 thereof the Board shall in addition to exercising all other legal or equitable rights and remedies be entitled to deduct such balance from any sum that may be or become due to the Officer whether by way of salary refund or superannuation contributions or otherwise.

4. THE Board may affect with an Insurance Company a fidelity guarantee bond for the due performance by the Officer of his obligations under this deed and the Officer will repay to the Board the premium required in connection therewith.
5. THE Officer shall keep the Motor Car and all parts thereof in good repair condition and working order (reasonable wear and tear only excepted).
6. EXEMPT when the Motor Car is receiving necessary repairs or over hauls the Officer shall during the continuance of this Agreement utilise the Motor Car in the performance of his official duties as required by the Board.
7. THE Officer shall during the continuance of this Agreement maintain a comprehensive policy of insurance covering the Motor Car with an approved Insurance Company and shall whenever requested so to do by the Board produce such policy of insurance and the last receipt for this premium for inspection.
8. THE Officer shall be solely responsible for the Motor Car and for any accidents or injuries arising to himself or third parties by reason of the user thereof and hereby indemnifies the Board against all proceedings costs and claims demands or liability whatsoever in respect of any claims howsoever arising or through any default in repayment of the loan or through the breach of non-performance of any of the terms of this Agreement.
9. THE Officer may at any time during the subsistence of this Agreement on the last day of any calendar month repay to the Board any balance of the said sum of £..... or part thereof with interest.
10. THE Board shall be entitled to deduct the above mentioned monthly instalments of loan and interest and the fidelity bond premium or any other monies due hereunder from the salary or other monies from time to time due from the Board to the Officer.

SIGNED, SEALED and DELIVERED by

THE said(full name)

In the presence of:

Black Sluice Internal Drainage Board

Policy No 42

Near Miss Reporting Policy

1. INTRODUCTION

A near miss is an unplanned event that did not result in injury, illness or damage but had the potential to do so. 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 near miss events.

2. RESPONSIBILITIES OF MANAGERS

You must ensure that the work areas for which you have responsibility, an approved Risk Assessment procedure is in place, and potential for near miss events has been avoided so far as is reasonably practicable.

You must ensure that all employees report near miss events. **Minimal or no reports suggest people are not completing the reports due to a lack of understanding of relevance.**

You must ensure reports of near misses are acted upon with further training or an amended task Risk Assessment to reduce potential future events.

Repeated issues must be acted upon with some urgency in identifying the reason for risk and the method by which it can be removed.

3. RESPONSIBILITY OF EMPLOYEES

You must adhere to the Risk Assessment for the specific task, using the appropriate equipment.

You must report any near miss events to your line manager using the form provided.

Board Approved 4th November 2015

Black Sluice Internal Drainage Board

Near Miss and Hazard Alert Report Form

Near Miss is an occurrence that has not resulted in any injury or damage, but easily could have done.

Hazard Alert is notification of unsafe plant, equipment, substances, procedures etc. or unsafe behaviour.

Drainage Board..... Date.....

Location of Near Miss Incident / Hazard.....

Brief description of Near Miss Incident / Hazard and any actions taken

.....
.....
.....

Your idea(s) to eliminate the problem

.....
.....

When was the Near Miss Incident / Hazard first identified?

Date..... Time.....

Reported by.....

Please ensure that your Manager or Supervisor receives this information

Thank you for your support

To be completed by Supervisor or Manager and handed to Office

Corrective Action taken.....

.....

Date of Action Taken..... Name.....

Black Sluice Internal Drainage Board

Policy No: 47

COVID-19 Business Continuity plan

Review Dates:

Reviewed	23 September 2020 (Exec)
Board Approved	30 June 2020

Introduction

A coronavirus is a type of virus. As a group, coronaviruses are common across the world. COVID-19 is a new strain of coronavirus first identified in Wuhan City, China in January 2020.

The incubation period of COVID-19 is between 2 to 14 days.

Stay aware of the latest information on the COVID-19 outbreak, available on the World Health Organisation website and through your national and local public health authority. Many countries around the world have seen cases of COVID-19 and several have seen outbreaks. Authorities in China and some other countries have succeeded in slowing or stopping their outbreaks. However, the situation is unpredictable so check regularly for the latest news.

The latest information on COVID 19 in the UK can be found at <https://www.gov.uk/guidance/coronavirus-covid-19-information-for-the-public>

Phases and Actions

- 1. Contain Phase.** Across the whole of the UK, public health agencies and authorities, the NHS, and Health and Social Care NI (HSCNI) have established plans and procedures to detect and isolate the first cases of COVID-19 as they emerge in the UK.
 - Anyone visiting infected areas in the previous 14 days should self-isolate and contact NHS 111 or use the NHS 111 online tool.
 - Anyone that has been in contact with someone with confirmed COVID-19 should self-isolate and contact NHS 111 or use the NHS 111 online tool.
 - Anyone experiencing COVID-19 symptoms (fever, dry cough, loss of smell or taste) should stay at home and contact NHS 111 or use the NHS 111 online tool.
 - Make sure the Sickness reporting procedures are followed.
 - Is it necessary to shake hands?
 - If you have any plans to travel abroad please discuss these with your line manager.
- 2. Delay Phase.** The Delay phase buys time for the testing of drugs and initial development of vaccines and/or improved therapies or tests to help reduce the impact of the disease.
 - Continue actions as per Contain Phase
 - People with COVID-19 symptoms (fever, dry cough, loss of smell or taste) may be asked to self-isolate by the authorities
 - If you have any plans to travel abroad please discuss these with your line manager.
 - Consider postponing or cancelling meetings. Given the age of Board members some will be at greater risk of death if they were to contract COVID-19. Could meetings be held by Webinar if this phase became prolonged?

- Workforce
 - Encourage Lone-working – 1 person per machine
 - Don't congregate – e.g scan and send timesheets (install adobe scan on work phones)
- Office Staff
 - Clean surfaces regularly, daily as a minimum (Desks, keyboards, phones, light switches, door handles, anything you touch)
 - Can you work from home? Discuss with your line manager
 - Consider Reception and phone answering functions – rota basis from home? (Jill, Alex, Jess)
 - Restrict visitors to the office, can the outcome be achieved with a phone call or remote meeting? (The Board has set up web conferencing using Go To Meeting and MS Teams)
 - On 22nd September 2020 the 'Work from home if you can' guidance was re-instated

3. Research Phase It is possible that an outbreak or pandemic of COVID-19 could occur in multiple waves (it is not known yet if the disease will have a seasonal pattern, like flu) and therefore, depending upon what the emerging evidence starts to tell us, it may be necessary to ensure readiness for a future wave of activity.

The intention is to gather evidence about effective interventions in order to inform decision-making going forward. The UK government will keep emerging research needs under close review and progress research activities set out above.

4. Mitigate Phase As and when the disease moves into different phases, for example if transmission of the virus becomes established in the UK population, the nature and scale of the response will change. The chief focus will be to provide essential services, helping those most at risk to access the right treatment.

General Advice to Prevent the Spread of COVID-19

Public Health England (PHE) recommends that the following general cold and flu precautions are taken to help prevent people from catching and spreading COVID-19:

- cover your mouth and nose with a tissue or your sleeve (not your hands) when you cough or sneeze.
- put used tissues in the bin straight away
- wash your hands with soap and water often – use hand sanitiser gel or the provided wipes if soap and water are not available.
- try to avoid close contact with people who are unwell
- clean and disinfect frequently touched objects and surfaces
- do not touch your eyes, nose or mouth if your hands are not clean
- Avoid being face to face with people outside your household

Face Coverings

In England, you must wear a face covering in premises providing professional, legal or financial services which includes the Board's Offices. You are expected to wear a face covering before entering any of these settings and must keep it on until you leave unless there is a reasonable excuse for removing it. More detailed advice on the application of these requirements in different settings can be found in the Government's guidance for working safely.

All visitors to the office will be expected to wear a face covering for the entirety of their visit with the exception of pre-planned meetings, where the meeting room will be set up in a COVID Secure way, and then should be worn unless seated in their designated seat.

Whilst working social distancing should be adhered to at all times, if this is not possible to complete as specific task then you should discuss this with your Line Manager.

COVID Secure

COVID Secure is the terminology used for an employer to demonstrate it has taken all the necessary considerations to allow its employees to work in as safe an environment as possible. The actions taken so far for the workforce and the office include;

1. Purchase of divider screens for shared offices and offices that are or will become thoroughfares.
2. Screens purchased for reception to barrier public from staff. (Public will only be permitted to enter the office in exceptional circumstances.)
3. Contractors will only be permitted on site if necessary and if they can work adhering to Social Distancing guidelines. (2m Apart) All surfaces where they have worked to be cleaned when they have left.
4. Daily temperature monitoring of all employees in the office/depot and regularly for workforce working remotely.
5. Introduced limitations to number of people in each part of the building with signage as follows;
 - a. Reception
 - i. Public side – 1 person
 - ii. Staff Side – 2 people
 - b. Administration Office
 - i. 3 people
 - c. Rear Administration Office (Photocopier) – 2 People
 - d. Strong room – 1 Person
 - e. Toilets – 2 People
 - f. Operations Office – 5 People (3 desks + 2)
 - g. Chief Executive Officer Office – 4 People
 - h. Finance Manager Office – 3 People
 - i. Boardroom – 10 People (we can set out tables and measure later?)
 - j. Kitchen – 1 Person
 - k. Drawing Office – 4 People (2 desks + 2)
 - l. Server room – 1 Person
 - m. Meeting room – 2 People
 - n. Operations Manager – 3 People
 - o. Fitter – 2 People
 - p. Workforce Handwash/Toilet – 2 People
 - q. Canteen – 2 People
 - r. Small Workshop – 2 People
 - s. Pump Store – 1 Person
 - t. General Store – 1 Person
 - u. Workshop – Keep 2m apart
 - v. Store – Keep 2m apart
6. Hand sanitiser stations have been set up at the foot entrance to the Workshop, at the entrance to the canteen, staff entrance to the office and public entrance to the office as well as hand sanitiser and sanitising wipes being provided at every individual workstation.
7. Workforce have all been provided hand wipes to clean hands whilst on site without access to hand washing facilities.
8. COVID-19 Risk Assessments have been completed for Office, Construction and Outdoors and Use of Vehicles

9. Regular cleansing of all multiple user hard surfaces (e.g. Light switches, door handles, photocopiers, printers, stair banisters, telephones, Multiple user Machines)
10. Staff to be encouraged to open windows and doors regularly to aid ventilation.
11. Staff to use assigned printers and photocopiers etc.
12. Paper towels have been re-instated in toilets for drying of hands and then opening doors.
13. Non fire doors are to be propped open to avoid having to touch more door handles than necessary. Fire doors that are used frequently have Fire Compliant holding open devices fitted.

Appendixes

Please see attached the following documents:

1. Safe System of Work for Protecting the Workforce During COVID-19
2. Risk Assessment Coronavirus – COVID-19
3. COVID-19 Procedures for Guests attending the Office

Policy Review

Due to the requirement of this policy to be adaptable according to the situation, responsibility to review the policy will be delegated to the CEO with the Executive Committee and Board reviewing retrospectively.

Safe System of Work for Protecting the Workforce During COVID-19

Precautions to be taken by management include:

- All Managers and Supervisors are empowered to enforce the measures adopted. Managers will ensure employees are fully briefed so that they have a clear understanding of why measures must be adopted, what measures have been adopted and what the consequences are if the measures are not followed;
- Office based staff were permitted to return to their COVID Secure workplace from 03 August but arrangements to work from home will remain in a state of preparedness in case there is a requirement to return to home working
- Every effort will be made to comply with the social distancing guidelines set out by the Government (see below);
- Vulnerable or extremely vulnerable employees, as well as persons who live with them, will be identified and supported following the recommendations set out by the Government¹;
- **No employees / visitors who are unwell with symptoms of COVID-19 (a high temperature ($\geq 37.8^{\circ}\text{C}$) or a new persistent cough) are permitted to travel to work and / or enter the place of work;**
- Signage will be placed at entrances reminding employees / visitors not to enter the place of work if they have any symptoms;
- Where employees / visitors who are unwell with symptoms do travel to work and / or enter the premises, this will be dealt with and the area cleaned in accordance with the Government advice²;
- Work times / break times will be staggered to reduce the risk of employees meeting at such times;
- The number of washing / toilet facilities will be increased, where possible, and / or limits will be imposed to the numbers of employees using them at any one time (with signage applied to doors), again to reduce the risk of employees meeting. Signage and other resources can be accessed at Public Health England³;
- Access / egress points to the site will be improved, wherever possible, to enable social distancing, e.g. using different doors / one-way systems;
- Entry systems that require skin contact, e.g. fingerprint scanners, will be disabled. Where necessary, an alternative system to record who is on site will be kept for emergency purposes;
- Enough space will be provided between workstations and areas where employees need to wait e.g. changing rooms. This will be achieved using signage and / or floor markings, e.g. spaced at 2 metres;
- Employees will be encouraged to use alternative means of travel to work other than public transport or the sharing of vehicles;
- Where employees do use public transport, they are advised to avoid peak times (05:45 -07:30 and 16:00 – 17:30); and
- Managers are to refer employees to the Finance Manager for further guidance regarding statutory sick pay, sick notes etc.

Precautions to be taken to mitigate or reduce the risk of transmission between employees when at work include:

- **Travel to Work:**
 - Employees will, wherever possible, travel to work alone using their own transport;
 - If employees need to share transport the following measures need to be complied with:
 - Journeys should be with the same individuals with numbers kept to a minimum, e.g. two;
 - Improve ventilation by opening windows back and front, face away from each other or one in the rear and front;

¹ <https://www.gov.uk/government/publications/guidance-on-shielding-and-protecting-extremely-vulnerable-persons-from-covid-19>

² <https://www.gov.uk/government/publications/guidance-to-employers-and-businesses-about-covid-19/guidance-for-employers-and-businesses-on-coronavirus-covid-19>

³ <https://coronavirusresources.phe.gov.uk/>

- Regularly clean vehicles with standard cleaning products. Gloves should be worn when undertaking this task. Particular attention should be paid to door handles and other areas that may have been touched; and
 - On arrival all employees must wash their hands with soap and water for 20 seconds.
- **Work Access:**
 - Stop all non-essential visitors, see below with regards to maintenance / visitors;
 - Use access / egress point, if assigned, and stand at least 2 metres apart or follow the floor markings if present; and
 - Wash hands for 20 seconds with soap and water.
- **Toilet/Changing Rooms and Hand Washing Facilities:**
 - Wash hands frequently during the working day;
 - Use the designated facilities for your area if assigned, keep the 2 metre distance if waiting outside or when inside facility, and keep to the numbers allowed;
 - Ensure that there is plenty of soap and paper towels, inform management if supplies are running low;
 - If provided, use a wipe disinfectant cloth to clean any surface that you may have touched; for example, door handles, toilet flush handle and taps etc; and
 - Dispose of all paper towels in bin provided (keep lid open or use the foot operated version) and empty bin if full.
- **Canteen/Rest Areas:**
 - Bring your own food and drinks
 - Abide by the numbers allowed into the facility and if allocated a time of use;
 - Wash hands before entering;
 - Maintain 2 metre distancing - do not remove tape if used to screen off tables / chairs;
 - Area to be kept clean with all rubbish placed in the bins provided;
 - Avoid using drink machines - if used then they should be cleaned regularly, and individuals should wash hands after use;
 - Crockery, including cups should not be used unless they are disposable or cleaned between use;
- **Driving for Work:**
 - If travelling between sites or undertaking deliveries / collections, then where possible this should be undertaken alone;
 - If not possible then the vehicle should be shared by the same person or minimum required to undertake task;
 - Keep windows open and face away from each other or site one to the front, and rear seats, before entering and getting out of vehicle;
 - Wash hands with soap and water or hand sanitiser if not available;
 - Obey client site rules for social distancing etc; and
 - Regularly clean vehicle using gloves and with standard cleaning products, paying attention to door handles and other surfaces that may have been touched during the journey.
- **Cleaning:**
 - Cleaning across the workplace will be enhanced, especially communal areas and at touch points:
 - Taps and washing facilities;
 - Toilet flush and seats;
 - Door handles and push plates;
 - Handrails on staircases and corridors;
 - Lift controls;
 - Machinery and equipment controls;
 - Canteen / welfare areas will be cleaned between breaktimes and shifts, include chairs, vending machines, and any payment devices;
 - Telephone equipment;
 - Keyboards, photocopier, and other office equipment; and
 - Rubbish collection and storage areas will be emptied regularly throughout the day and at the end of each day.

- **Work Planning:**

- Below is an overview of how the risk of transmission will be reduced where work activities must be undertaken.

Eliminate	<ul style="list-style-type: none"> • Workers who are unwell with symptoms of COVID-19 will not travel to work. • Tasks will be rearranged to enable them to be done by either one person, or by maintaining social distancing (2 metres). • Skin to skin and face to face contact will be avoided. • Stairs will be used rather than lifts. • Alternative or additional mechanical aids will be considered to reduce the need for worker interface e.g. two persons lifts. • Site meetings will be avoided or will be conducted by telephone or video conferencing. • Where meetings must take place, only necessary meeting participants should attend, attendees will be kept 2 metres apart from each other, rooms will be well ventilated / windows kept open to all air circulation or held outside.
Reduce	<p>Where the social distancing rules cannot be achieved:</p> <ul style="list-style-type: none"> • The time and frequency employees are within 2 metres of each other will be minimised. • The number of employees involved will be reduced to a minimum. • Employees will work side by side or face away from each other not face to face. • Where lifts must be used, the capacity will be reduced to reduce congestion. • Common touch points, doors, buttons, handles, vehicle cabs, tools, equipment etc., will be regularly cleaned. • The ventilation in enclosed areas will be increased – open doors or windows where possible. • Workers will be reminded to wash their hands regularly during the working day not just on arrival or before break time.
Isolate	<ul style="list-style-type: none"> • Shifts and teams will be kept together. • The sizes of shifts and teams will be kept as small as possible. • Shifts and teams will be kept away from other works where possible.
Control	<p>Where face to face working is ESSENTIAL to undertake a task and social distancing cannot be achieved:</p> <ul style="list-style-type: none"> • The work will be kept to 15 minutes or less. • Authorisation processes, such as a permit to work, will be used. • Additional supervision will be provided to monitor compliance.
Personal Protective Equipment (PPE)	<p>Sites should not need to use Respiratory Protective Equipment (RPE) for COVID-19 where the 2 metre social distancing guidelines are met.</p> <ul style="list-style-type: none"> • Where it is not possible to maintain a 2 metre distance, each activity will be assessed using the hierarchy of controls and any sector-specific guidance. The use of PPE and RPE is a last resort. • Re-usable RPE will be cleaned between use and NOT shared. • Single use PPE / RPE will be disposed of so it cannot be reused. • If works must take place in areas where persons have symptoms, are shielding or have confirmed cases, e.g. healthcare facilities, additional PPE will be required, and information will be sought before attending site.


Safe System of Work Progress and Review Sheet
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Issue:	1	Task:	Safe System of Work for Protecting the Workforce During COVID-19
Company Name:			

Date:	Details of Progress Made:	Initials:

Date:	Details/Reason for Review:	Initials:

RAF4 Rev2	Risk Assessment	©Cope Safety Management 2012 www.jwcope.co.uk
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Risk Assessment No:		Issue:	1	Task:	Coronavirus – COVID-19		
Company Name:	Black Sluice Internal Drainage Board	Signature & Position:			Operations Manager	Date:	27.04.2020

Probability	Severity		
5	Very Likely	5	Fatality
4	Likely	4	Major Injury
3	Probable	3	Medical Injury
2	Possible	2	Minor Injury
1	Very Unlikely	1	No Injury

Risk Factor = Probability x Severity
Low Risk = 1 to 6
Medium = 7 to 11
High = 12 +

The following guidelines should be applied to risk factors after control measures have been applied:

Risk factor after control measures: 1 – 6
OK to proceed

Risk factor after control measures: 7 – 11
Further control measures should be applied. Seek further advice if unsure.

Risk factor after control measures: 12+
Unacceptable – Do not proceed

Relevant legislation <i>This list is not exhaustive</i>	Health and Safety at Work Etc. Act 1974 Management of Health and Safety at Work Regulations 1999 (as amended) Manual Handling Operations Regulations 1992 (as amended) Control of Substances Hazardous to Health Regulations 2002 (as amended)	Provision and Use of Work Equipment Regulations 1998 Lifting Operations and Lifting Equipment Regulations 1998 Personal Protective Equipment Regulations 1992 Workplace (Health, Safety, Welfare) Regulations 1992 (as amended)
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Hazard:	Risk:	Risk Factor Before Control:	Control Measure	Risk Factor After Control:																																																																																				
Employees attending work showing symptoms of COVID-19	Infecting people who are in close vicinity. Persons contracting COVID-19	<table border="1" style="width:100%; text-align: center;"> <tr><td>5</td><td>Green</td><td>Yellow</td><td>Red</td><td>15</td><td>Red</td><td>Red</td></tr> <tr><td>4</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>0</td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> </table>	5	Green	Yellow	Red	15	Red	Red	4	Green	Yellow	Red	Red	Red	Red	3	Green	Green	Yellow	Red	Red	Red	2	Green	Green	Green	Yellow	Yellow	Yellow	1	Green	Green	Green	Green	Green	Green	0	1	2	3	4	5		Current Control Measures: <ul style="list-style-type: none"> Employees who experience symptoms of continuous coughing and a high temperature (37.8 degrees centigrade or higher) are advised to stay at home, self-isolate and follow NHS current advice. Current advice can be found on www.nhs.uk/coronavirus and https://www.gov.uk/government/collections/coronavirus-covid-19-list-of-guidance, including where a person becomes ill at work. All other employees undertaking thorough personal hygiene and cough etiquette. 	<table border="1" style="width:100%; text-align: center;"> <tr><td>5</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>4</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td>0</td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> </table>	5	Green	Yellow	Red	Red	Red	Red	4	Green	Yellow	Red	Red	Red	Red	3	Green	Green	Yellow	Red	Red	Red	2	Green	Green	Green	Yellow	Yellow	Yellow	1	Green	Green	Green	Green	Green	Green	0	1	2	3	4	5	
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Hazard:	Risk:	Risk Factor Before Control:	Control Measure	Risk Factor After Control:																																																								
Employees attending a customers site showing symptoms of COVID-19	Infecting people who are in close vicinity. Persons contracting COVID-19	<table border="1"> <tr><td>Probability</td><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td><td>0</td></tr> <tr><td></td><td>15</td><td>12</td><td>9</td><td>6</td><td>3</td><td>0</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> <tr><td></td><td colspan="6">Severity</td></tr> </table>	Probability	5	4	3	2	1	0		15	12	9	6	3	0		1	2	3	4	5			Severity						<p>Current Control Measures:</p> <ul style="list-style-type: none"> Employees experience symptoms of continuous coughing and a high temperature (37.8 degrees centigrade or higher) are advised to stay at home, self-isolate and follow NHS current advice. Current advice can be found on www.nhs.uk/coronavirus and https://www.gov.uk/government/collections/coronavirus-covid-19-list-of-guidance. All other employees undertaking thorough personal hygiene and cough etiquette. <p>Recommended Control Measures:</p> <ul style="list-style-type: none"> Monitor and review. 	<table border="1"> <tr><td>Probability</td><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td><td>0</td></tr> <tr><td></td><td>3</td><td>2</td><td>1</td><td>0</td><td>0</td><td>0</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> <tr><td></td><td colspan="6">Severity</td></tr> </table>	Probability	5	4	3	2	1	0		3	2	1	0	0	0		1	2	3	4	5			Severity					
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Employees remaining or returning to work during the COVID-19 pandemic	Persons contracting COVID-19 from persons with symptoms, persons who are asymptomatic	<table border="1"> <tr><td>Probability</td><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td><td>0</td></tr> <tr><td></td><td>15</td><td>12</td><td>9</td><td>6</td><td>3</td><td>0</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> <tr><td></td><td colspan="6">Severity</td></tr> </table>	Probability	5	4	3	2	1	0		15	12	9	6	3	0		1	2	3	4	5			Severity						<p>Current Control Measures:</p> <ul style="list-style-type: none"> Employees and visitors are asked not to attend site if they are showing symptoms of COVID-19. If they have travelled to any affected area or if they have had contact with a confirmed case. Employees or visitors who experience symptoms of continuous coughing and a high temperature (37.8 degrees centigrade or higher) are advised to stay at home, self-isolate and follow NHS current advice. Daily temperature checks to all workforce completed by supervisor Current advice can be found on www.nhs.uk/coronavirus and https://www.gov.uk/government/collections/coronavirus-covid-19-list-of-guidance All other visitors invited to undertake thorough personal hygiene and cough etiquette. A safe system of work for protective the workforce during COVID-19 is in place. <p>Recommended Control Measures:</p> <ul style="list-style-type: none"> Ensure the safe system of work is communicated to all affected employees and that managers and supervisors are enacted to enforce. 	<table border="1"> <tr><td>Probability</td><td>5</td><td>4</td><td>3</td><td>2</td><td>1</td><td>0</td></tr> <tr><td></td><td>3</td><td>2</td><td>1</td><td>0</td><td>0</td><td>0</td></tr> <tr><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td></td></tr> <tr><td></td><td colspan="6">Severity</td></tr> </table>	Probability	5	4	3	2	1	0		3	2	1	0	0	0		1	2	3	4	5			Severity					
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			• Monitor and review.	
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This risk assessment accurately defines the work, identifies Health and Safety risks and the appropriate controls required. This risk assessment will be taken as approved by the Company unless the author is advised to the contrary before work commences and in any event a period not exceeding 7 days from receipt.

This risk assessment must be communicated to all personnel concerned. Signatures confirming receipt and understanding of information are required.



Black Sluice Internal Drainage Board

Station Road
Swineshead
Boston
Lincolnshire
PE20 3PW

01205 821440

www.blacksluiceidb.gov.uk

mailbox@blacksluiceidb.gov.uk

COVID-19 Office Procedure for attending Guests

Please follow the guidelines below: -

Entering the building

- Please do not attend the offices if you or anybody in your household are displaying any symptoms of COVID-19.
- Please wear a face covering at all times in the building. You may take it off once sat in the meeting room.
- Upon entering the building, please use the hand sanitiser provided.
- The meeting host will take and record your temperature, anybody with a temperature over 37.8°C will be asked to leave the building.
- When taking your temperature, the meeting host will also ask for a contact number for the track and trace system.
- Social distancing must always be adhered to (2 metres).

Preventing cross contamination & maintaining social distance

- All doors will be open, please leave them open.
- There is signage on each room door indicating the maximum number of persons allowed in the room, please respect this.
- Refreshments will be provided but made only by the meeting host.
- Please use the disabled toilet only, to prevent cross contamination between employees and members of the public.
- If attending for a meeting in the Board Room, please fill seats from the furthest away end of the room first and vacate accordingly.

Thank you for your co-operation in helping prevent the spread of COVID-19.

HM Government

**CORONAVIRUS
STAY ALERT TO
THE SYMPTOMS**

**HIGH TEMPERATURE OR
NEW CONTINUOUS COUGH OR
LOSS OF TASTE OR SMELL?**

Find out how to get a test, and how
long to isolate, at nhs.uk/coronavirus

NHS

**STAY ALERT
CONTROL
THE VIRUS
SAVE LIVES**

Black Sluice Internal Drainage Board

Policy No: 46

Crop Loss Compensation

Review	Audit & Risk Committee 14 October 2020
Board Approved	

1. PURPOSE

This document sets out the policy of the Black Sluice Internal Drainage Board concerning crop loss compensation for summer drain maintenance, any other maintenance works and permanent loss of land.

2. WHEN DOES CROP LOSS COMPENSATION APPLY?

The Board will only pay crop loss compensation to the ratepayer if a field is cropped at the time the work is carried out and the work causes damage to the crop or coverage of the crop with arising's from the works. There is a twelve-month cutoff date for claiming compensation following any such crop damage. Following any crop damage, the Boards Officers seek to agree any crop loss payments with the relevant party involved.

3. SUMMER DRAIN MAINTENANCE (WEED CUTTING)

Where the Board travels through standing crops to undertake weed cutting operations, compensation will be paid for crop loss at the rate of 25p per linear metre for all cereal crops and 44p per linear metre for oil seed rape. Root crops will be subject to private negotiation. Compensation will not be payable for access through grassland.

The Board has authorised the Operations Department to go through standing crops where deemed necessary in the interest of economy, efficiency and to minimise soil structure damage.

Cereals: 1000m x 25p per metre = £250.00
Oil Seed Rape: 1000m x 44p per metre = £440.00

4. OTHER MAINTENANCE WORKS (DE-SILTING/BUSHING)

Where **notice of entry (August/September notice) has been served** before a field has been cultivated, drilled or planted, compensation will be calculated at the rate of **£1,310 per hectare whatever crop** is in the field.

Where **notice of entry has not been served** and a field has been cultivated, drilled, planted or sprayed, compensation will be calculated at the rate of **£1,495 per hectare for cereals** and **£1,720 per hectare for oil seed rape**.

5. PERMANENT LOSS OF LAND

The Board will only pay land loss compensation to the landowner for widths lost greater than 500mm, the Board has limited records on landowners, if the compensation forms are posted to the ratepayer and they are not the landowner the ratepayer must immediately inform the Board and pass on the papers to the landowner. There is a twelve-month cutoff date for claiming compensation following any such land loss.

Land Loss Calculator			
Multiplier	Ave rentable value £/acre	Comp £/acre	Comp £/ha
125	85	10,625	26,254
125	80	10,000	24,710
125	75	9,375	23,165
125	70	8,750	21,621
125	65	8,125	20,077
125	60	7,500	18,532
125	55	6,875	16,988
125	50	6,250	15,444
125	45	5,625	13,899

CATALOGUE OF BOARD POLICIES

	A&R Committee Review	To be reviewed																					
		Oct 13	Apr 14	Dec 14	Apr 15	Sep 15	Apr 16	Sep 16	Apr 17	Sep 17	Apr 18	Sep 18	Apr 19	Sep 19	Apr 20	Sep 20	Apr 21	Sep 21	Apr 22	Sep 22	Apr 23	Sep 23	
Management Accounts	3 years				✓		✓		✓		✓						✓						
Annual Accounts	3 years							✓		✓			✓					✓					
A Policy Statement Water Level & Flood Risk Management	5 years										✓											✓	
B BSIDB Byelaws	5 years										✓											✓	
1 Risk Management Strategy	Annual		✓		✓	✓	✓		✓		✓		✓		✓		✓		✓		✓		✓
2 Risk Register	Annual	To be reviewed at every Board and A&R meeting																					
3 Financial Regulations	3 years			✓				✓				✓						✓					
4 Procurement Policy	5 years			✓				✓				✓		✓								✓	
5 Investment Strategy	5 years				✓										✓								
6 Insurance Arrangements	3 years	✓							✓				✓		✓				✓				
7 Black Sluice IDB H&S Booklet		Not reviewed by Audit & Risk Committee																					
8 Relaxation of Board Byelaw No 10 (the 9m byelaw)	5 years								✓					✓					✓				
9 Structures Replacement	Annual	To be reviewed annually by Culverts & Bridges Committee																					
10 Delegation of Authority	5 years			✓						✓										✓			
11 Biodiversity Action Plan	Annual	To be reviewed annually by Environment Committee																					
12 Standing Orders		No review required										✓	No review required										
13 Emergency Flood Response Plan	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 Blowing Confidential Reporting Code	5 years					✓				✓										✓			
19 Anti Bribery	5 years									✓										✓			
20 Officers Car Loan	5 years						✓									✓							
21 H&S Control & Management of Asbestos	5 years				✓											✓							
22 H&S Control of Noise at Work	5 years				✓											✓							
23 H&S Policy for Display Screen Equipment	5 years		✓									✓										✓	
24 H&S First Aid and Accident Recording	5 years				✓											✓							
25 Lone Worker	5 years		✓									✓										✓	
26 H&S Young Persons Safety at Work policy	5 years													✓									
27 Control of Ragwort	5 years	✓							✓				✓		✓								✓
28 Land Drains discharging into Board Maintained Watercourse	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 Policy	5 years			✓												✓							
34 Gift and Hospitality	5 years	✓							✓				✓										✓
35 Fire Management Plan	5 years				✓											✓							
36 H&S Manual Handling Operations	5 years			✓												✓							
37 H&S Managing Stress in the Workplace	5 years			✓												✓							
38 H&S Vibration at Work policy	5 years			✓												✓							
39 H&S Wearing of seat belts in Boards vehicles	5 years			✓												✓							
40 Commercial Works	5 years		✓	✓						✓					✓								
41 Public Sector Co-operation Agreement	5 years		✓							✓					✓								
42 Near Miss Reporting	5 years					✓										✓							
43 Electronic Information and Communication Systems	5 years									✓										✓			
44 Development Control Charges and Fees Policy	5 years												✓	✓									✓
45 Mobile Phones & Devices	5 years													✓									
46 Crop Loss Compensation	5 years																✓						
47 COVID-19 Business Continuity Plan	N/A															✓							

**BLACK SLUICE INTERNAL DRAINAGE BOARD
RISK REGISTER**

Objectives	Ref	Risk	Potential Impact of Risk	Potential Likelihood of Risk	Risk Score	Gaps in control	Action Plan
To provide and maintain standards of sound needs based sustainable flood protection.	1.1	Being unable to prevent flooding to property or land (a) Coastal flooding from failure or overtopping of defences	High	Low	3		
	1.1	(b) Fluvial flooding from failure or overtopping of defences	High	Medium	6		
	1.1	(c) Flooding from failure of IDB pumping stations or excess rainfall	High	Low	3		
	1.1	(d) Flooding from sewers or riparian watercourses	Medium	Low	2		
	1.2	Loss of Electrical Supply	High	Low	3		
	1.3	Pumps failing to operate	High	Low	3		Maintenance
	1.4	Board Watercourses being unable to convey water	Medium	Low	2		Maintenance
	1.5	Operating machinery to maintain watercourses	Medium	Low	2		Training
	1.6	Claims from third parties for damage to property or injury	Medium	Low	2		
	1.7	Third Parties damage to Board maintained assets	Medium	Low	2		
	1.8	Loss of senior staff	Medium	Low	2		
	1.9	Insufficient finance to carry out works	Medium	Low	2		
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	Medium	Low	2		BAP
	2.2	Non delivery of objectives	Low	Low	1		BAP
To provide a 24 hour/365 day emergency response for the community	3.1	Emergency Plan inadequate or not up to date	Low	Low	1		Review
	3.2	Insufficient resources (Staff and Equipment)	Medium	Low	2		Review
	3.3	Critical Incident loss of office	High	Low	3	None	
To provide a safe and fulfilling working environment for staff.	4.1	Injury to staff and subsequent claims and losses	Medium	Low	2		Training
	4.2	Not complying with Health and Safety legislation	High	Low	3		Consultant
To maintain financial records that are correct and comply with all recommended accounting practice.	5.1	Loss of cash	Low	Low	1	None	
	5.2	Loss of money invested in building societies, banks and managed funds	Medium	Low	2	None	
	5.3	Fraud by senior officers	Low	Low	1	None	
	5.4	Inadequacy of Internal Checks	Medium	Low	2		
	5.5	Fraudulent use of credit cards	Low	Medium	2		
To ensure that all actions taken by the Board comply with all current UK and EU legislation	6.1	Board Members in making decisions	Low	Low	1		
	6.2	Not complying with all employment regulations and laws	Medium	Low	2		
A cost efficient IDB that provides a Value for Money service.	7.1	Collecting insufficient income to fund expenditure	Low	Low	1		Accounts
	7.2	IDB abolished or taken over	Low	Low	1		
Information Technology and Communications	8.1	Loss of telemetry	Medium	Low	2		Maintenance
	8.2	Loss of telephone Communications	Low	Low	1		
	8.3	Loss of Internet Connection	Medium	Low	2		
	8.4	Network Failure	High	Low	3		
	8.5	Breach in Cyber Security	Medium	Low	2		
	8.6	Network Security Breach	Medium	Low	2		
	8.7	Virus being introduced to Network	Medium	Low	2		
	8.8	Loss of accounting records	Medium	Low	2	None	
	8.9	Loss of rating records	Medium	Low	2	None	