

BLACK SLUICE

INTERNAL DRAINAGE BOARD



Audit & Risk Committee Meeting

Tuesday 24th October 2023 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: DW/JB/B10

Date: 17th October 2023

To the Chairperson 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 Tuesday, 24th October 2023 at 2pm at which your attendance is requested.

D. Withmatt

Chief Executive

A G E N D A

1. Recording the meeting.
2. Apologies for absence.
3. Declarations of interest.
4. To receive and, if correct, sign the Minutes of the Audit & Risk Committee Meeting held on the 25th April 2023 **(pages 1 - 14)**
5. Matters arising.
6. To receive the Annual Return including External Auditors Opinion for 2022/23 **(pages 15 - 20)**
7. To review the following policies:
 - (a) Policy No.3: Financial Regulations **(pages 21 - 25)**
 - (b) Policy No. 4: Procurement **(pages 26 - 34)**
 - (c) Policy No. 5: Investment Strategy **(pages 35 - 37)**
 - (d) Policy No. 7: Health & Safety **(under separate cover)**
 - (i) Health & Safety Committee Terms of Reference **(page 38)**
 - (e) Policy No. 41: Public Sector Co-operation Agreement **(page 39)**
 - (f) Policy No. 43: Electronic Information & Communication Systems **(pages 40-46)**
 - (g) New Policy No. 51: Drone Flying Policy **(page 47)**
8. To receive the Catalogue of Board Policies with recommended approval dates **(page 48)**
9. To review the Risk Register **(page 49)**
10. Any Other Business.

BLACK SLUICE INTERNAL DRAINAGE BOARD

MINUTES

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

held at the offices of the Board on
25th April 2023 at 2pm

Members

Chairperson - * Mr M Brookes

Mr W Ash	* Mr V Barker
* Mr M Leggott	* Mr J Fowler
* 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)
Mr J Burton (NFU Representative)
Mr P Ingleby (NFU Representative)

The Chairperson welcomed Mr C Harris (Internal Auditor), Mr J Burton and Mr P Ingleby (NFU Representatives) to the meeting.

2134 Recording the Meeting - Agenda Item 1

Members were informed that the meeting would be recorded.

2135 Apologies for absence - Agenda Item 2

Apologies for absence were received from Mr W Ash.

2136 Declarations of Interest - Agenda Item 3

No declarations of interest were received.

2137 Minutes of the last meeting - Agenda Item 4

Minutes of the last meeting held on 25th October 2022, copies of which had been circulated, were considered and it was AGREED that they should be signed as a true record.

2138 Matters arising - Agenda Item 5

There were no matters arising.

2139 Review the current insurance arrangements with representatives from the NFU - Agenda Item 6

Mr J Burton thanked the committee for inviting them, proposing to go through each element of the insurance outlined within the document, giving the committee an opportunity to ask any questions and discuss throughout. It was also noted that the correct version of the NFU document was circulated separately to the agenda, copies of which were available for the meeting.

Business Description

Mr J Burton referred to the Board's business description and that it should include everything the Board undertakes. Further noting that there is a slight difference in the description for those policies that aren't underwritten by the NFU. The Finance Manager referred to the 'Lessors of Land for Mobile Phone Mast' within the description, questioning whether the bungalow the Board owns and rents out should be listed? Mr J Burton confirmed that this would be covered within 'property owners'.

Motor Fleet and Commercial Vehicles

Mr J Burton referred to what is covered within this and the excesses applicable, as set out in the NFU document within the agenda.

Mr J Burton next referred to elements that are not currently insured, as below. Mr P Ingleby noted that it is a case of highlighting 'gaps' within the insurance policies to ensure that the committee and Board are aware of those and to discuss whether they need looking in to, as opposed to being a recommendation for them.

- *Loss of use* - the Board could pay a premium which would provide a contribution towards the cost of hiring a replacement vehicle if a Board vehicle was damaged and could not be used. The Finance Manager noted that this has been looked into previously, but the premium required was too much to make it worth doing. Mr P Ingleby noted that it may not be worth it for standard vehicles such as trucks but may be worth considering for specialist plant such as the excavators and Twigas. The Finance Manager noted that he was under the impression that it didn't cover specialist plant and that if one of the Twigas or excavators was not useable in peak season, this could become costly for the Board. Mr J Burton noted that he will look into what the premium would be and discuss with the Finance Manager further.
- *Loss of hiring charges* - if hired equipment was damaged and could not be used, but the Board were still obliged to pay for the full hire period. The Board are currently insured for up to £15,000 on an aggregate basis (maximum of £15,000 in total for the whole period of insurance). Mr J Burton questioned whether the Board feel this is adequate? The Chief Executive noted that the Board hire very little, and what they do, is relatively low cost.
- *Road Rescue* - Covered for private cars under the fleet insurance, which provides an hour's roadside repair and recovery to a location within 20 miles. This could be enhanced to a full recovery service and to include light goods vehicles. It was felt this was not necessary.
- *Protected No Claims Discount* - The Finance Manager noted that the Board's claims history suggests that this extra premium would not be beneficial.

Cllr S Walsh referred to the Motor Fleet Policy for light goods vehicles, Unimog, pickup trucks and trailers cover being for any driver over the age of 25, questioning if there are any restrictions based on the number of points on someone's licence?

Mr P Ingleby noted that they would need to be made aware of any driving licence points and that usually it would alter after six points or for different types of offence. The Finance Manager added that every driver completes a declaration annually.

Business Property

Cover is on a Commercial All Risks basis, including Subsidence apart from on the Pumping Stations where no subsidence cover is present.

Total declared value for all buildings including pumping stations: £60,947,707

Total contents including general contents, machinery, solar panels, plant, computers, tools: £772,715

Total stock and goods held in trust: £35,000

Additional cost of working and loss of income - covers additional cost of working if impacted by an insured event up to 12 months for a sum of up to £500,000. Also covers loss of rental income from the Board's bungalow up to £7,366. The Finance Manager noted that he believes the sum of £7,366 includes the income from the mast.

Money & Malicious Attack - Money is protected against loss of theft at the Board's premises and whilst taken to the bank.

Mr J Burton next referred to elements that are not currently insured, as below.

- *Machinery and/or Computer Breakdown & Resultant Business Interruption* – includes sudden and unforeseen breakdown as well as any subsequent business interruption. The Finance Manager noted that the Board has had this additional cover in the past, but never used it even when required, noting that the Board's network can be restored within 24 hours and can be ran remotely if required.
- *Terrorism* – this would cover property and business losses arising from an act of terrorism. Mr V Barker questioned if there is a difference between terrorism and vandalism? Mr J Burton confirmed that there is a difference between terrorism and vandalism; terrorism being about trying to overthrow the government. They are clearly defined, with definitions read to the committee. Mr V Barker noted that he doesn't believe terrorism is a concern for the Board, but vandalism would be. The Chief Executive felt that the risk of terrorism in the Board's geographical location is low. Mr M Leggott noted the Board's actions of starting to put metal doors instead of glass doors to the pumping stations etc. to make entry less easy and so by trying to prevent entry and vandalism it also helps to prevent terrorism.
- *Business Interruption Terminal Ends* – provides for loss of income arising from damage to the land-based premises of the utility provider, therefore the main risk for the Board would probably be loss of electricity. The Finance Manager referred to the pumping stations and that some can be run by PTO with a tractor and others by generators. The Finance Manager added that this could be a real-life situation; a flood could quite possibly take the electricity supply out, questioning if the hire of tractors and generators to run the pumps would be covered under this insurance? Mr P Ingleby responded that he would have to look into it and find out, adding that he will look back at the transformer claim from 2010. The Finance Manager noted that the transformer was the Board's and so may be a different case. Mr P Ingleby and Mr J Burton noted that they will look into this further and communicate with the Finance Manager about it. Reference was made to electricity cables and poles, with Mr P Ingleby noting that there is a problem within the area of struggling to get equipment underneath.

The Chief Executive responded that there are a number of poles that, just by being there, cause hinderance and additional cost e.g. along the South Forty Foot Drain.

Goods in Transit

This covers the loss or damage to own goods while in transit in your vehicle or trailer up to value of £5,000. There are six vehicles covered – four trucks, unimog and tipper.

The Finance Manager questioned if there is an extension for the workforce's tools? Mr J Burton confirmed the following cover; employee's tools, portable power equipment - £2,500 per employee, £75,000 UK wide.

Mr V Barker referred to the value of £5,000, questioning whether this is enough? The Finance Manager responded that he can't think of anything that would be over that value in those vehicles specified, noting that the fuel tank on the unimog is covered separately. Mr J Burton clarified that the £5,000 covered of own goods whilst in transit refers to dead stock items and materials, rather than tools, as they are covered separately, as above.

Cllr R Austin questioned whether laptops are covered? Mr J Burton confirmed that laptops are covered on a UK wide basis. The Finance Manager noted that the Board also have a couple of low value tablets; Mr J Burton suggested that he will amend the wording to 'portable devices' to ensure it is all covered. Reference was made to Board mobile phones, noting that with the terminology 'portable devices', as long as the declared value within the policy is sufficient to incorporate laptops and all portable devices including tablets and mobile phones, the value is £11,615. The Finance Manager noted that he doesn't believe that value includes mobile phone and so will complete an exercise at the next renewal to include the phones.

Mr M Leggott noted that the Board need to be mindful of the weight limit of a vehicle with the additional weight of tools. The Finance Manager noted that the Fitter's van has been taken to a public weighbridge to confirm it is under the weight limit with all the tools. A stock take of all the tools within the van has also been carried out.

Liability

Employers Liability – Covered for a total of £15m (£10m provided by NFU Mutual and the further £5 million provided by Great Lake Insurance).

Public and Products Liability – Covered for a total of £10m (£5m provided by NFU Mutual and the further £5 million provided by Great Lakes Insurance).

The Finance Manager noted that these levels of cover were increased previously based on some PSCA work for the Environment Agency, suggesting that the committee consider whether this level (£15m employers' liability and £10m public and products liability) is still adequate?

Cllr S Walsh noted that from previous experience, these are the levels that were required to run an NHS contract.

Mr J Burton noted that he is seeing more and more at higher levels, noting that the Board could potentially be exposed to higher levels than this, noting that the additional cost for perhaps another £5m or £10m would not be vast and so is worth considering.

Cllr R Austin questioned whether this risk is assessed, further noting that if the Board could be exposed to £10m it is a significant risk to the Board. The Finance Manager questioned what the likely pay-out would be for a child who sustained life changing injuries at one of the pumping stations or depot, for example?

Mr P Ingleby responded that for a young person in a motor claim that is quadriplegic, they are often seeing £6-£7m per person. Mr P Ingleby continued that from an employer's liability perspective, it could be an explosion or serious fire where people couldn't get out of the building. Therefore, it is about the concentration of people in the office, continuing that he doesn't believe the Board require anymore for employers' liability. Mr P Ingleby next referred to public liability and that consideration needs to be given to the effect the Board could have on any other infrastructure the Board could come into contact with, particularly in a flooding incident. The Chief Executive noted that he sees the biggest risk as juveniles playing at pumping stations. Mr J Fowler asked for an estimate of what the premium would be to increase the public liability by £5m? Mr P Ingleby noted that it is not something known, he would have to look into it. All AGREED for the NFU representatives to find out the premium for £15m and £20m to be presented to the Board for consideration.

Mr V Barker noted his concern for the Board's liability for flooding (from the sea) at the new Bicker Power Station which has been built in a low area of the catchment. The Chief Executive noted that the sea defence is controlled by the Environment Agency, likewise, is the South Forty Foot Drain and therefore the liability would not lie with the Board.

Restrictions in cover for both Employers Liability and Public and Products Liability - Mr J Burton referred to the restrictions listed within the NFU document circulated and included within the agenda, it being noted that, working with the Finance Manager, they have been tweaked slightly and should now be reflective of the Board's work.

Environmental Liability - £1m indemnity limit, provided by AIG, with an excess of £10,000. Mr J Burton explained that he has tried to include the details of the main insured elements within the NFU document.

Cllr S Walsh questioned if it is industry standard? The NFU representatives responded that it is a little low, noting that the farming policies are £2m. The Finance Manager noted any instance with the Board would be isolated to around a pumping station or depot or machine, rather than the whole length of a field in a farmer's case.

Mr J Fowler referred to the recent EA prosecution of a farmer in Shropshire that has generated costs above £1m.

Mr P Ingleby gave the example of runoff from a fire, that pollutant (water) would be your responsibility to third party land and your own and can then enforce you to carryout improvement works. If it can't be improved, then you would have to look at create biodiversity as recompense. All AGREED for the NFU representatives to find out the premium for £2m cover to be presented to the Board for consideration.

Drones - Mr P Ingleby noted that drones are not currently covered, questioning if the Board operates any drones? The Chief Executive explained that the Board uses one small drone (falls within the category that doesn't need a licence). It is used for the Board's own purposes, visual inspection of pumping stations, watercourses, assets etc., and the information is only used internally. Mr P Ingleby confirmed that liability associated with the drone will be excluded because it is an ariel device.

It is a specialist policy, that the NFU don't write. The Chief Executive questioned what the risk is? Mr P Ingleby noted that it is the risk of bringing something down. The Chief Executive noted that the risk is low, it is operated by an employee who does have an operator licence due to having his own larger drones at home. Further adding that it is used in remote areas and not over highways or rail lines etc. The committee felt it did not require insuring.

Cllr S Walsh questioned whether the Board should have a policy on the use of drones? To include prohibiting flying over highways, railway lines etc. The Chief Executive noted that the Board's Officer's will produce a policy.

Legal Expenses

Legal Expenses insurance provides cover for legal costs up to a maximum of £250,000 in pursuing or defending incidents arising from:

- Employment disputes and compensation awards
- Legal Defence
- Contract disputes over £250
- Property Protection and bodily injury
- Tax Protection

Engineering Inspection

This provides an inspection service of plant as required to comply with statutory requirements. This cover is currently provided by Vulcan. The Finance Manager noted the issues experienced with Vulcan so far, i.e. arriving for inspections which have not been planned. Mr J Burton noted that he will set up a meeting with the Board and Vulcan to discuss a way forward. The Finance Manager noted that he corrected the list with the Vulcan Engineer and believes that all the six-monthly inspections should now be completed.

Management Liability

Directors and Officers - £3 million indemnity limit, which also includes the entity of Black Sluice IDB. Mr J Burton questioned whether £3m was quantified by anything and that they can look into higher cover if required. The Finance Manager believed that they were previously quoted between £1m and £5m and £3m was selected.

It was confirmed that this covers fraud and dishonesty by employees, but does not include crime by third parties e.g. somebody posing as the Chief Executive for instance. This cover can be added if required. The Finance Manager felt that the Board have measures in place to prevent this but can only do what they can foresee. Further to this, there is another additional element that would cover cybercrime. The Finance Manager noted that the cybercrime policy has previously been considered, but it was felt that with all the restrictions in place, they wouldn't actually be able to gain access to commit the cybercrime in the first instance. Mr P Ingleby added that the elements to consider with cybercrime include a data breach, the impact on the workings of the Board etc. The Finance Manager added that the Board pay an IT company to keep a virtual server at a different location which would enable the continuation of working by logging on to that. Also adding that the Board have invested in hard and soft firewalls, decryption software and a dual authority access process. Mr P Ingleby suggested that it may be beneficial, in the absence of insurance, to have a penetration test by an outside company to see if they can gain any access.

Mr V Barker noted that he believed it had previously been mentioned that there are over 100,000 potential attacks a week? The Finance Manager confirmed this, and that the decryption software monitors the system and will stop and reverse it if it sees any of the files being changed. It also being noted that 90% of all attacks are employee error.

Miscellaneous

Personal Accident & Illness – Where there is negligent injury to anyone deemed as an employee (this includes Board Members), the employer's liability will cover that injury (any age). Mr P Ingleby referred to Minute 2047 of the previous Audit & Risk Committee meeting and clarified that because the Board is an NFU Member they are eligible for 'Union advantage' which gives accidental death cover to any employee of £10,000, however, the employee must be under the age of 75. All AGREED to amend Minute 2047 as follows, 'It was noted that NFU would pay £10,000 accidental death payment to employees under the age of 75.'

The NFU next referred to personal accident, with the Finance Manager confirming that the Board pay six months full pay and six months half pay. The personal accident policy would reimburse the Board for the money it pays through the current sick pay policy; the limit could be set by the Board e.g. a percent of salary.

The Finance Manager confirmed that the reason for having it previously with NFU and Towergate is because the Board didn't realise that Board Members were classified and covered as employees.

Professional Indemnity

This relates to breaches of professional duty; this policy has a £2m limit on an aggregate basis. The Finance Manager noted that this was increased from £1m to £2m because the Environment Agency increased their limit in the Public Sector Cooperation Agreement. The Finance Manager also noted a recent case where the Board were asked to provide professional advice for a court case, and it has been confirmed that the Board are not insured as expert witnesses to be able to give that legal advice. The Board has therefore provided the information, but not as a legal opinion.

(a) To consider the provision of using tractors to run pumping stations in the event of an emergency and how this is insured

The Chief Executive referred to if tractors were required to run the pumping stations and that some would charge for this use, but others wouldn't and therefore questioned where this would stand in terms of being insured? It was confirmed that some farmers would operate their own tractors whilst others would leave it for the Board to operate. It was confirmed that the tractor would be static and therefore wouldn't need adding to the motor policy. It was suggested that this could be reacted to at the time, the Board would inform the NFU of the number of tractors being hired which would be added. It may even be that the tractor is covered with the NFU by the tractor owner anyway and may not be necessary to do anything further. It was confirmed that the Board will contact the NFU in that scenario.

There being no further questions, the NFU representatives thanked the committee for inviting them to attend. The Chairperson thanked them for their attendance, the representatives then left the meeting.

2140 Presentation from the Internal Auditor - Agenda Item 7

(a) Internal Audit Report 2022/23

The Chairperson welcomed the Internal Auditor to report to the committee.

The Internal Auditor presented the Internal Audit Report 2022/23 and noted what a good job the Finance Manager does of managing the affairs of the IDB, with the outcome being 'substantial assurance'. Further noting that there is only one action point and no recommendations. The action point related to the reserves and to ensure that the exact wording within the Financial Regulations and Board meeting minutes align, it being noted that this is being dealt with later in this meeting.

The committee expressed their thanks and congratulations to the Finance Manager and whole team for the successful outcome of the audit.

(b) Audit Programme 2023/24

The Internal Auditor explained that the audit follows a standard approach every year but that he does vary the work carried out each year, noting that the audits are completed remotely.

The Internal Auditor noted that he is happy to take direction from the committee, if there is a specific area they would like him to look into. Noting that this committee previously asked for pensions to be included, which now forms part of the audit.

The Chairperson noted that it was mentioned last year about looking at the Board's health and safety systems and it was decided to defer that as the Finance Manager was due to be undertaking some training. The Finance Manager has just completed the full NEBOSH General Certificate, further noting that the Operations Manager, Works Supervisor and Ganger are going to complete the IOSH Managing Safely qualification. Upon the retirement of the Chief Executive, the health and safety policy and practices will be reviewed, with a division of responsibilities within that. The Finance Manager therefore suggested that a detailed review of the health and safety is deferred until all this is in place and operational. The Internal Auditor accepted this, noting that he does a review of the health and safety every year anyway, but that he can then look into it in more detail (2024/25).

Mr J Fowler questioned whether remote auditing produces a higher workload for the Board's Officer's in comparison to a face-to-face audit? The Finance Manager responded that it may seem like it does, due to having to collate all the documents into a one drive ready for the Internal Auditor to access in advance, but, in fact, if the Internal Auditor was present in the office it would be drip fed over a number of days which then influences all of those days, instead of the half a day it takes to prepare everything for remote access. The Internal Auditor noted the importance of GDPR and confidential data whilst conducting the audit remotely.

The Chairperson questioned if any committee members or the Internal Auditor would like to have discussion with the Board's Officer's not present. It was felt that this wasn't necessary.

The Internal Auditor noted the retirement of the Chief Executive which will inevitably cause a higher risk at some point. The Internal Auditor will therefore look into how the Financial Regulations are modified for this transition. The Chief Executive and Finance Manager explained that they have produced a report to be presented to the Executive Committee next month, which details the amendments to policies and procedures that need to be made in order for the Board to continue its operations on the retirement of the Chief Executive. The Finance Manager suggested that the report be sent to the Internal Auditor for his opinion, who was happy to do this.

Thanks were expressed to the Internal Auditor for his help to the Board and for his attendance today.

2141 To review the following Board's policies - Agenda Item 8

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

(a) Policy Statement Water Level & Flood Risk Management (Policy A)

The Finance Manager explained that most of the changes proposed within this policy are changes to terminology.

The changes within the figures of paragraph 4.3 refer to the updated figures of agricultural and non-agricultural land within the Board's District. Mr V Barker noted that he didn't understand the figures presented within 4.3. It was suggested that the table be laid out as below, to make the figures clearer to understand, all AGREED:

<i>Total area of the Black Sluice IDB Drainage District</i>	<i>47,220 ha</i>
<i>Catchment area draining to the district from Highland Carriers</i>	<i>20,073 ha</i>
<i>Total area draining to and including the District</i>	<i>67,293 ha</i>

<i>Area of Agricultural Land</i>	<i>43,886 ha</i>
<i>Area of other (non-agricultural) land</i>	<i>3,334 ha</i>
<i>Total area of the District</i>	<i>47,220 ha</i>

The sentence within paragraph 6.4 proposed to be removed refers to the fact that the Board are mindful of national policy but that the policy won't be updated every time the national policy changes.

The Committee RESOLVED to recommend that the Policy Statement Water Level & Flood Risk Management (Policy A) be approved at the next Board meeting.

(b) Policy No.1: Risk Management Strategy

The Finance Manager highlighted the proposed changes as below:

Appendix A – Risk Management Strategy Statement

Proposed to remove the reference to the insurer's recognising the Board as being a 'low risk' because the current insurers haven't specifically stated this.

Appendix B – Risk Management Policy Document

Proposed to remove the reference to Policy No. 41 (Public Sector Co-operation Agreement) as it is now established and doesn't require a specific reference to it.

Appendix C - Risk Analysis

1.1(b) Fluvial flooding from failure or overtopping of defences

Proposed addition to highlight that the pumps are now remotely controlled.

1.3 Risk of Pumps Failing to Operate

Proposed to remove the item about self-insuring pumping stations as the Board now insure them.

1.6 Risk of Claims from Third Parties for damage to property or injury

Proposed to replace 'Loss of income' with 'Uninsured costs'.

1.8 Risk of unplanned loss of senior staff

Proposed to include a reference to the ongoing work to develop a more resilient structure to coincide with the retirement of the Chief Executive.

1.9 Insufficient Finance to carry out works

Proposed to include a reference to the excessive electricity costs.

It was noted that the committee previously agreed to increase the potential impact of risk to 'high', resulting in a risk level of 6. Hopefully this time next year the electricity prices will have stabilised, and this will be able to be reviewed.

1.11 Insufficient Staff Resource

Proposed to include a reference to the retirement of the Chief Executive.

5.2 Risk of loss of money invested in Building Societies & Banks & Managed Funds

Mr J Fowler felt that, in light of having £300,000 invested in one place and a further £500,000 invested in another place, the risk should be greater than medium.

The Finance Manager noted that the definition of a 'high' risk is a financial loss over £100,000.

All AGREED the potential impact of 'medium' be increased to 'high', which would therefore result in a higher risk level of 3.

The Finance Manager next brought to the attention of the committee whether it should be a maximum of £200,000 in investments as opposed to £300,000. This matter has been brought to the attention of the Executive Committee by email.

The Chairperson questioned whether it would affect the returns? The Finance Manager didn't feel it would.

The Internal Auditor felt it would be more prudent to spread the money over a wider base.

The Committee RESOLVED to recommend decreasing the maximum investment amount to £200,000.

7.1 Risk of collecting insufficient income to fund expenditure

Proposed to include a reference to the increase in reserves due to the excessive electricity costs.

8.1 Risk of loss of telemetry

Proposed to include a reference to the ability of remote operation of the pumping stations.

Mr V Barker added that as discussed at a previous meeting, the cost of electricity relates to the cost of starting the pump and suggested that the current levels and pumping regime can be improved on by pumping some drains down further at night. Further adding that it reflects on tide times as to whether the drains will gravitate during the day, and if they are not going to, he suggested that the pumping levels are lowered at night so that the pump doesn't have to start.

The Finance Manager noted that it can't be set up based on the tide, it is a set day level and set night level for winter and summer. The suggestions were noted and will be reviewed as to whether anything further can be done.

8.2 Risk of loss of telephone communications

Proposed to remove the reference to 4G Assure in Broadband lines as this is no longer in place.

Proposed addition of reference to the mobile broadband router and test to see whether it will support phone calls.

Mr J Fowler noted that himself and some neighbours have recently gone onto Starlink satellite broadband which is proving very effective as an alternative to 4G.

The Board's Officers noted that this has been discussed and that the Board Vice-Chairperson is going to report on it to the Board's Officers.

8.3 Risk of loss of internet connections

Proposed to remove the reference to 4G Assure in Broadband lines as this is no longer in place.

8.5 Risk of breach in cyber security

Proposed to add a reference to the Board's dual authentication system.

8.6 Risk of network security breach

Proposed to add a reference to the Board's dual authentication system.

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

(c) Policy No. 3: Financial Regulations

4.2 - Proposed addition of the Chief Executive to be able to authorise invoices, claims and accounts as well as the Finance Manager. The Chief Executive already has this authority, it is a matter of ensuring this policy is reflective of that.

10.1 - Proposed changes to the long-term aim of the Board's reserves to reflect that agreed by the Board on 14th February 2023.

The Committee RESOLVED to recommend that the Financial Regulations (No. 03) be approved at the next Board meeting.

(d) Policy No. 04: Procurement

The Finance Manager referred to a recent situation where the piles couldn't be purchased for Sempringham weed dump area as the quote was over £10,000. Therefore, the Operations team requested that the number of piles be reduced to bring the price under £10,000. It worked out favourably for the Board as the quote was reduced but the number of piles remained the same. However, this has highlighted that, with inflation, £10,000 doesn't go very far, therefore suggesting that the upper limit is increased to £20,000. All AGREED. It was noted that this change will need to be reflected in paragraph 3.2(b) and the delegation of authority.

Mr V Barker highlighted that this perhaps shows the quotes being sought aren't as good as they could be. The Finance Manager acknowledged this, whilst also noting these specific piles are only available from one supplier.

The Committee RESOLVED to recommend that the Procurement Policy (No. 04) be approved at the next Board meeting.

(e) Policy No. 23: H&S Policy for Display Screen Equipment

The Finance Manager noted that the only proposed amendment to this policy is the addition of the Display Screen Equipment Workstation Checklist.

The Chairperson suggested that between 2.2 and 2.3 there should be reference to completing an additional DSE workstation checklist if working from home is required. All AGREED.

Cllr S Walsh noted that a risk assessment should be carried out for somebody working from home anyway and that workstation assessment should be carried out as part of this.

The Committee RESOLVED to recommend that the H&S Policy for Display Screen Equipment (No. 23) be approved at the next Board meeting with the above added amendment.

(f) Policy No. 25: Lone Worker

The Finance Manager explained that there are no amendments to the policy as such, the only proposed changes relate to how the updated Peoplesafe Lone Worker App now functions.

Mr V Barker questioned if the phones are always within areas with signals? The Finance Manager noted that the phones are with EE as it gives the best coverage in the Board's area and the GPS element of the lone worker app will give the last known location of that person. The Finance Manager wasn't sure what else could be done other than having dual sim and having two mobile phone services per person, which would be an extra financial cost.

The Committee RESOLVED to recommend that the Lone Worker Policy (No. 25) be approved at the next Board meeting.

(g) Policy No. 32: Data Protection

The Finance Manager explained that on the 31st December 2023, all the European legislation that is currently relevant ceases to be (General Data Protection Regulations (GDPR) is part of this legislation). The Data Protection Act (DPA) will take over as the data protection regulations on 31st December 2023. Therefore, all the references to GDPR have been amended to DPA to reflect this.

The Committee RESOLVED to recommend that the Data Protection policy (No. 32) be approved at the next Board meeting.

2142 To review the following proposed new policies: - Agenda Item 9

The Finance Manager presented the following new policies, noting that they are based on the current operations of the Board:

(a) Health & Wellbeing

The Finance Manager highlighted that three employees (two in office, one workforce) are going to complete mental health first aid training next month.

The Committee RESOLVED to recommend that the Health and Wellbeing policy be approved at the next Board meeting.

(b) Sickness absence management

The Finance Manager noted that this policy outlines what is already implemented, noting that the seven-day self-declarations had slipped a little, but is required for the statutory sick pay element.

Cllr S Walsh noted that, in his opinion, the Board's sick pay is generous, noting the danger of it becoming abused. It was noted that employee sickness levels are monitored.

Mr M Leggott questioned if there is a requirement for the employee to physically see a Doctor, as opposed to an over the phone consultation. Cllr S Walsh noted that telephone appointments are standard practice as it increases capacity and reduces cost for the practice. Mr M Leggott referred to a personal situation whereby an employee continuously gained a Fit for Work Note through telephone consultations only.

The Finance Manager noted that employees can self-certify for seven days, anything over seven days requires a Fit for Work Note (which could be given over a telephone consultation). The Board could also send the employee for a medical (forms part of the employee contract). The Finance Manager noted that the Board has previously used the occupational health service successfully.

The Committee RESOLVED to recommend that the Sickness absence management policy be approved at the next Board meeting.

2143 To review the Risk Register - Agenda Item 10

It was noted that this has been reviewed as part of the review of the Risk Management Strategy.

The committee AGREED that the Risk Register be accepted.

2144 To receive the catalogue of Board Policies with recommended approval dates - Agenda Item 10

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

2145 Any other business - Agenda Item 11

(a) Pollution of Watercourses

Cllr R Austin noted that there is currently quite a lot of public discussion about pollution in watercourses, questioning if this affects the Board?

The Chief Executive noted that pollution is dealt with by the Environment Agency, who may ask for the Board's involvement (costs are recovered).

Mr J Fowler left the meeting.

(b) Tiaa Contract (Internal Auditing)

The Finance Manager informed the committee that the Tiaa contract (internal auditing) has concluded. There is an option to extend the contract for a further two years. The Smaller Authorities Audit Appointments have suggested the Board extend the contract. All AGREED to extend the Tiaa contract for a further two years.

The Internal Auditor thanked the Board for being his first IDB to audit.

There being no further business the meeting closed at 16:23.

Annual Governance and Accountability Return 2022/23 Form 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 Form 3 of the Annual Governance and Accountability Return 2022/23

1. Every smaller authority in England that either received gross income or incurred gross expenditure exceeding £25,000 **must** complete Form 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 must be completed by the authority's internal auditor.
 - Sections 1 and 2 must 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 on the authority website/webpage **before 1 July 2023**.
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 2023**. 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 2023
 - 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 2022/23

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 the authority website/webpage:

Before 1 July 2023 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 2022/23**, approved and signed, page 4
- **Section 2 - Accounting Statements 2022/23**, approved and signed, page 5

Not later than 30 September 2023 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 Form 3 of the Annual Governance and Accountability Return (AGAR) 2022/23

- The authority **must** comply with *Proper Practices* in completing Sections 1 and 2 of this AGAR. *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 AGAR is complete (no highlighted boxes left empty) and is properly signed and dated. Any amendments must be approved by the authority and properly initialled.
- The authority **should** receive and note the Annual Internal Audit Report before approving the Annual Governance Statement and the accounts.
- Use the checklist provided below to review the AGAR for completeness before returning it to the external auditor by email or post (not both) no later than 30 June 2023.
- The Annual Governance Statement (Section 1) must be approved on the same day or before the Accounting Statements (Section 2) and evidenced by the agenda or minute references.
- The Responsible Financial Officer (RFO) must certify the accounts (Section 2) before they are presented to the authority for approval. The authority must in this order; consider, approve and sign the accounts.
- The RFO is required to commence the public rights period as soon as practical after the date of the AGAR approval.
- **You must inform your external auditor about any change of Clerk, Responsible Financial Officer or Chairman, and provide relevant authority owned generic email addresses and telephone numbers.**
- Make sure that the copy of the bank reconciliation to be sent to your external auditor with the AGAR 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 bank reconciliation is incomplete or variances not **fully** explained then 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 2022) equals the balance brought forward in the current year (Box 1 of 2023).
- The Responsible Financial Officer (RFO), on behalf of the authority, **must** set the commencement date for the exercise of public rights of 30 consecutive working days which **must** include the first ten working days of July.
- The authority **must** publish on the authority website/webpage 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 2023**.

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 Responsible Financial Officer signed the accounting statements before presentation to the authority for approval?		
	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 been published where required?		
	Has the bank reconciliation as at 31 March 2023 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 2022/23

Black Sluice Internal Drainage Board

www.blacksluiceidb.gov.uk

During the financial year ended 31 March 2023, this authority's internal auditor acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with the relevant procedures and controls in operation and obtained appropriate evidence from the authority.

The internal audit for 2022/23 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	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 bank account reconciliations were properly carried out during the year.	✓		
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 2021/22, it met the exemption criteria and correctly declared itself exempt. <i>(If the authority had a limited assurance review of its 2021/22 AGAR tick "not covered")</i>			✓
L. The authority published the required information on a website/webpage up to date at the time of the internal audit in accordance with the relevant legislation.	✓		
M. In the year covered by this AGAR, the authority correctly provided for a period for the exercise of public rights as required by the Accounts and Audit Regulations <i>(during the 2022-23 AGAR period, were public rights in relation to the 2021-22 AGAR evidenced by a notice on the website and/or authority approved minutes confirming the dates set)</i> .	✓		
N. The authority has complied with the publication requirements for 2021/22 AGAR <i>(see AGAR Page 1 Guidance Notes)</i> .	✓		
O. (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

Name of person who carried out the internal audit

30/01/2023 01/02/2023 07/02/2023 CHRISTOPHER R. HARRIS

Signature of person who carried out the internal audit

CR Harris

Date

15/05/2023

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

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

Section 1 – Annual Governance Statement 2022/23

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 2023, 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
			✓
			has met all of its responsibilities where, as a body corporate, it is a sole managing trustee of a local trust or trusts.

*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:

13/06/2023

and recorded as minute reference:

MINUTE REFERENCE
2165

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

Chairman

KC SIGNATURE REQUIRED

Clerk

D. Wetts SIGNATURE REQUIRED

ENTER PUBLICLY AVAILABLE WEBSITE ADDRESS
www.blacksluiceidb.gov.uk

Section 2 – Accounting Statements 2022/23 for


Black Sluice Internal Drainage Board

	Year ending		Notes and guidance
	31 March 2022 £	31 March 2023 £	
1. Balances brought forward	1,102,456	1,505,144	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	2,204,498	2,325,594	Total amount of precept (or for IDBs rates and levies) received or receivable in the year. Exclude any grants received.
3. (+) Total other receipts	1,186,557	983,009	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	1,220,088	1,285,127	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	1,768,279	1,786,874	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	1,505,144	1,741,746	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	1,836,774	1,777,330	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	6,259,897	6,433,401	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).

For Local Councils Only	Yes	No	N/A	
11a. Disclosure note re Trust funds (including charitable)				The Council, as a body corporate, acts as sole trustee and is responsible for managing Trust funds or assets.
11b. Disclosure note re Trust funds (including charitable)			✓	The figures in the accounting statements above do not include any Trust transactions.

I certify that for the year ended 31 March 2023 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

SIGNATURE 

Date

10/05/2023

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

13/06/2023

as recorded in minute reference:

MINUTE REFERENCE 2166

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

 SIGNATURE REQUIRED

Section 3 – External Auditor’s Report and Certificate 2022/23

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

1 Respective responsibilities of the auditor and the authority

Our responsibility as auditors to complete a **limited assurance review** is set out by the National Audit Office (NAO). A limited assurance review is **not a full statutory audit**, it does not constitute an audit carried out in accordance with International Standards on Auditing (UK & Ireland) and hence it **does not** provide the same level of assurance that such an audit would. The UK Government has determined that a lower level of assurance than that provided by a full statutory audit is appropriate for those local public bodies with the lowest levels of spending.

Under a limited assurance review, the auditor is responsible for reviewing Sections 1 and 2 of the Annual Governance and Accountability Return in accordance with NAO Auditor Guidance Note 02 (AGN 02) as issued by the NAO on behalf of the Comptroller and Auditor General. AGN 02 is available from the NAO website – <https://www.nao.org.uk/code-audit-practice/guidance-and-information-for-auditors/>

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 2023; and
- confirms and provides assurance on those matters that are relevant to our duties and responsibilities as external auditors.

2 External auditor’s limited assurance opinion 2022/23

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 2022/23

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 2023.

External Auditor Name

PKF LITTLEJOHN LLP

External Auditor Signature

Date

08/08/2023

Black Sluice Internal Drainage Board

Policy No: 3

Financial Regulations Policy

Review Dates:

Original Issue	16 th January 2013
Board Approved	

1. INTRODUCTION

- 1.1 The Accounts and Audit Regulations 2015 and the financial provisions of the Land Drainage Act 1991, place a responsibility on Drainage Boards to ensure that the financial management of Boards is adequate and effective.
- 1.2 Financial Regulations set out the framework of the rules for the proper financial administration of the Board and the responsibility of those charged with carrying out duties with financial implications.

2. RESPONSIBILITY FOR FINANCIAL CONTROL

- 2.1 The Chief Executive is appointed by the Board as the Responsible Financial Officer as required by the Local Government Act 1972, Section 151.
- 2.2 The Chief Executive shall be responsible to the Board for overall financial control of the Board's financial affairs and the continuous provision of financial management information.
- 2.3 The Chief Executive shall be responsible for maintaining the integrity of the accounting, financial administration and financial control systems of the Board.

3. ANNUAL ESTIMATES AND BUDGETS

- 3.1 The Chief Executive and Directors shall, each financial year, prepare estimates of income and expenditure for the ensuing financial year, using the best information available. Such estimates will be presented to the Executive Committee in January to allow recommendations to be put to the Board before 15th February on the level of the penny rate and council special levies.
- 3.2 The Chief Executive shall also each year produce a ten-year projection to estimate levels of balances, so that the penny rate can be set at appropriate levels.
- 3.3 The Board meeting in February will set and Seal the Rate for the ensuing financial year.
- 3.4 The Board shall be kept informed by the Chief Executive of the overall financial position of the Boards finances through monthly management accounts, quarterly forecasts and other reports as necessary.

4. PAYMENTS OF ACCOUNTS / ORDERS

- 4.1 All requests for goods and services shall be issued on official order forms authorised as set down in the procurement policy.
- 4.2 All invoices, claims and accounts shall be authorised by **one of the Finance and Admin-Directors** or the Chief Executive before payment ensuring that the payment is legal and within the power of the drainage board.
- 4.3 Payments will be made twice each month, by faster payment, processed by the second and last Friday in each period.
- 4.4 Direct Debit payment may be set up for regular monthly payments, either fixed or variable.
- 4.5 The Finance and Admin Director shall prepare a monthly schedule of payments that have been made.
- 4.6 All Schedules of payments are to be reported to the next available Board meeting.

5. INCOME

- 5.1 Procedures for the collection of all income due to the Board shall be under the control of the Chief Executive.
 - a) Invoices are to be raised promptly.
 - b) Statements to be sent on a monthly basis following the month the invoice was sent. (Copy invoices also to be sent if deemed required).
 - c) Any debtors outstanding over three months are to be reported to the Executive Committee.
- 5.2 Payment received on behalf of the Board by cheque will be paid into the Board's bank account on a regular basis and at least within a week, **volume permitting, these may be paid in using the Bankline App.** Payments received in cash may be transferred to the petty cash float if required otherwise paid into the Board's bank account without delay. Payments may also be taken by debit or credit card, in person, by phone or on the Board's website or paid directly into the Board's bank account by the Debtor.
- 5.3 All payments received by which ever method shall be recorded in the collection and deposit book.
- 5.4 The Finance and Admin Director shall have responsibility to ensure that all monies received are correctly recorded in the Board's accounting records and the correct amount of VAT is added to income accounts where applicable.
- 5.5 The Chief Executive shall keep the Board regularly informed on the level of drainage rates collected by inclusion of a report in the monthly reports sent to the Executive Committee and at each Board meeting.
- 5.6 An official receipt showing date of receipt, amount received, type of remittance and reason for payment will be issued for all cash payments and for cheque payments on request.

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

6. INSURANCE

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

7. STOCK AND ASSETS

- 7.1 The Finance and Admin Director shall receive a weekly stock list from the Operations **Manager Supervisor** detailing issues, receipts and balances of stock items.
- 7.2 The Finance and Admin Director will arrange a physical stock take at least twice a year with one coinciding with the financial year end on the 31st March.
- 7.3 The Maintenance Director shall ensure proper and safe custody of all stock.
- 7.4 The Finance and Admin Director shall keep an asset register. This shall record all assets above £5,000 in value. The Finance and Admin Director will carry out at least an annual physical check of assets.
- 7.5 Obsolete Equipment will, on the agreement of the Chief Executive and Capital Projects Director, be offered to the primary user at the best trade in rate achievable plus one pound and then to other staff via sealed bid. If not purchased by staff then, if appropriate and suitable, it can be traded in or sold by any other means for the benefit of the Board.

8. PAYMENT TO EMPLOYEES

- 8.1 The Finance and Admin Director shall keep a record of all employees to show details of the appointment, grade and payments in respect of each employee of the Board.
- 8.2 The Finance and Admin Director shall be responsible for the payment of all, salaries, wages and other emoluments to all employees.
- 8.3 The Finance and Admin Director shall be responsible for keeping and maintaining all records for the proper administration of PAYE, NI and Superannuation.
- 8.4 All authorised officers shall notify the Chief Executive and Finance and Admin Director immediately of all matters affecting payments including resignations, suspensions, absences from duty and changes in remuneration.

- 8.5 Variations to the salary of the Chief Executive ~~or Finance Manager~~ shall be authorised by the Executive Committee and Chairperson of the Board.
- 8.6 Any discretionary payments to employee's over the Overtime limit will be authorised by the Chairperson of the Board.

9. TREASURY MANAGEMENT / BANKING ARRANGEMENTS

- 9.1 The Chief Executive shall include in the monthly management accounts details on all investments which will be distributed to the Executive Committee.
- 9.2 The Board has a limit of funds that may be deposited, in a fixed term investment, with any institution which is £300,000.
- 9.3 The Board only places deposits with financial institutions which are regulated by the Financial Conduct Authority.
- 9.4 Bank transactions and instructions must be authorised by two approved officers.
- 9.5 In relation to 9.4 above, the approved officers are: Chief Executive, Capital Projects Director, Finance and Admin Director and Maintenance Director.
- 9.6 The Chief Executive and Capital Projects Director may hold a Business Chargecard, with a monthly limit of £5,000 for payment of expenses and Internet orders. The Maintenance Director and Finance & Admin Director may hold a business Chargecard, with a monthly limit of £2,500. Statements are to be certified by the ~~Finance and Admin Director~~ Chief Executive every month. ~~Projects Director~~ Chief Executive to certify the ~~Chief Executive's Finance and Admin Director's~~ statement. It is the bearer's responsibility to ensure the cards are kept safe and only used in accordance with the Board's Procurement Policy. Under no circumstances are the cards to be used to withdraw cash.
- 9.7 Small payments may be made by petty cash under the control of the Finance and Admin Director. All petty cash claims are to be recorded on a voucher supported by a receipt and authorised by the Finance and Admin Director or Chief Executive. The maximum amount of petty cash that may be held is £500. The Finance and Admin Director is to certify the analysis every month.
- 9.8 Bank accounts must be in the name of Black Sluice IDB.

10. RESERVES

- 10.1 General Reserve - When producing budgets and estimates the long term aim of the Board is;
- Maintain - Maintain the General Reserve at between three and twelve months of net revenue expenditure. (As per JPAG Practitioners Guide)
 - Aim - Aim to be able to fund a minimum of two consecutive "Wet" years of Electricity from the General Reserve.
 - Budget - With the General Reserve at the target level aim for a balanced budget.

11. AUDIT AND ACCOUNTS

- 11.1 The Chief Executive shall arrange for an internal audit of the accounting, financial management and other operations of the Board. This will be undertaken by a suitably qualified and experienced internal auditor and be undertaken in accordance with the Governance & Accountability for Smaller Authorities in England code of audit practice.
- 11.2 The Internal Auditor shall produce an annual report to the Executive Committee and the Audit & Risk Committee that assures them that the Board has a sound system of internal control which;
- 11.2.1 Facilitates the effective exercise of its function and the achievement of its aims and objectives
- 11.2.2 Ensures that the financial and operation management of the authority is effective and
- 11.2.3 Includes effective arrangements for the management of risk.
- 11.3 Any qualified or adverse internal or external audit reports or opinions will be reported to the next available Board meeting.
- 11.4 The Annual Financial Statements shall be approved by the Board before the 30th June each year.

12. IRREGULARITIES / FRAUD

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

Black Sluice Internal Drainage Board

Policy No: 4

Procurement Policy

Review Dates:

A&R Reviewed	24 th October 2023
Board Approved	

1 INTRODUCTION

The Board approve an annual budget in February for all expenditure by the Board. Items of expenditure are discussed and approved by the Executive Committee, the Works Committees and the Board.

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

2 THE PROCUREMENT PROCESS

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

- 2.1 A Board order form must always be completed for any purchase made by the Board, except for purchases made using the internet or for items purchased by the Woldmarsh Group.
- 2.2 The following people are authorised to be issued with order books:
 - (a) Chief Executive
 - (b) Projects Director
 - (c) Maintenance Director
 - (d) Finance & Admin Director
 - (e) Pump Engineer
 - (f) Works Supervisor
 - (g) Fitter
 - (h) Unimog Driver
 - (i) Admin Office (under supervision of Finance & Admin Director)
- 2.3 The order form should be filled out at the time of order and signed by the person who is organising the order and countersigned as required.
- 2.4 The Management Team is the Chief Executive, Projects Director, Maintenance Director and Finance and Admin Director.
- 2.5 The order is given to the supplier with, where possible, the agreed price of the item or service.
- 2.6 The green copy of the order form is given to the Finance Assistant. If additional quotations for the goods have been obtained, then these should be noted on this copy.

- 2.7 When a delivery note is obtained this should be given to the Finance Assistant.
- 2.8 When the Finance Assistant receives an invoice for the goods they are to attach the order and the delivery note to this.
- 2.9 The invoice is approved by the Finance & Admin Director before payment is made.
- 2.10 A report is made to every Board Meeting of the invoices paid by the Board.

3 BASIS OF PROCUREMENT POLICY

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

- Greater than £20,000
- Between £2,000 and £20,000
- Between £500 and £2,000
- Below £500

3.2 The Policy for Delegation of Authority gives the following authorities:

- (a) Executive Committee to approve any item of expenditure up to a value of £40,000.
- (b) The Chief Executive or Projects Director to approve expenditure up to a value of £20,000 which is included in annual estimates and regular budgeted expenditure (e.g. electricity) in excess of £10,000.

4 PROCUREMENT POLICY

4.1 **Items with a value greater than £20,000**

These items will typically be:

- Large items of plant
 - Machinery and electrical equipment for pumping stations
 - Substantial repair contracts
 - Large contracts
 - Insurance policies
 - Large amounts of pipes, steel piles and other materials for stock
- (a) These items will be included in the annual budgeted expenditure and through this method the expenditure will be approved by the Board.
- (b) Three quotations should be obtained and the lowest bona fide quotation should be accepted, should less than three quotations be obtained or other than the lowest is to be accepted, then the matter should be referred to the Executive Committee, by email in the first instance and later confirmed in a meeting of the committee.
- (c) In the case of an emergency where it is not possible to obtain alternative quotations the Chairperson or the Vice Chairperson of the Board shall authorise the purchase.

4.2 Items between £2,000 and £20,000

These items will typically be:

- Items of new plant
 - Large repairs to plant
 - Repairs to equipment at pumping stations
 - Purchase of pipes, steel sheet piles and other construction equipment for stock.
 - Items of office equipment
 - Consultancy services
 - Contracts for maintenance works
 - Monthly payments to electricity companies.
- (a) Quotations will be obtained for items of new plant, office equipment, consultancy services and contracts for maintenance works. These will be approved by the Executive Committee before procurement, unless these have been approved within the annual budgets when the Chief Executive or Projects Director will approve the expenditure.
- (b) Repairs of plant and pumping station equipment need to be progressed without delay and will normally be carried out by contractors or suppliers who regularly carry out work for the Board. The Chief Executive or Projects Director shall approve this expenditure and this will be reported to the Executive Committee as part of the monthly Accounts Analysis sent to members by Email.
- (c) Regular purchases of equipment, materials and services agreed in a scheme of work or for maintenance operations will be approved by the Projects Director, Maintenance Director or Finance and Admin Director, within the constraints of the budgets set and agreed by the Board/Executive Committee. Where possible, three quotations are to be obtained and the best value will be chosen.
- (d) Some monthly utility payments, particularly electricity bills, will be included in this category. These payments will be approved by the Chief Executive **or and** Projects Director. Best value for money is achieved by using a broker to negotiate annual, 2 year or 3 year contracts with the electricity supply companies.

4.3 Items between £500 and £2,000

These items will typically be:

- Purchase of small items of plant
 - Hire of plant and machinery
 - Repairs to plant and machinery
 - Purchase of spare parts for machinery
 - Material for construction materials.
 - Computers and office equipment
- (a) Where possible three quotations are to be obtained and authorisation to issue the order is to be sought from a member of the management team before signing an order for this level of procurement within the constraints of the budgets set and agreed by the Board/Executive Committee.

- (b) The Pump Engineer shall after obtaining three quotations, where possible, have the authorisation to sign an order for this level of procurement when associated with pumping station equipment within the constraints of the budgets set and agreed by the Board/Executive Committee.

4.4 Items below £500

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

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

5 ITEMS PURCHASED BY CREDIT CARD

- 5.1 Credit cards have been issued to the Chief Executive, Projects Director, Maintenance Director, and Finance and Admin Director for use in purchasing goods and services for the Board.
- 5.2 Payments made by credit card will be reviewed by the ~~management team~~ **Chief Executive** on a receipt of the card statements. **Projects Director to review the Chief Executive's**. Receipts for all payments are to be reconciled to the statements and no one officer should review their own expenditure.
- 5.3 These purchases will be subject to the same guidelines as normal purchases, whenever possible.

6 ITEMS PURCHASED BY WOLDMARSH GROUP

- 6.1 The Board has become a member of the Woldmarsh Buying Group which works on behalf of its members to procure goods and services at preferential prices.
- 6.2 If goods or services are required a member of staff, authorised in para 2.2 above to be issued an order book, will contact Woldmarsh who will procure the items on behalf of the Board within the authorised limits for the individual. An official Board order form will be completed as above to include the agreed prices and the analysis for the accounts.
- 6.3 As soon as Woldmarsh have completed an order to the suppliers a confirmation of the order is sent to the Chief Executive, Projects Director, Maintenance Director and Finance and Admin Director for review and oversight.
- 6.4 Woldmarsh submit an invoice for payment once per month for all of the goods and services purchased for the Board, analysis of this invoice is to be reported to the Board at each meeting.

7 SCAPE ACCESS AGREEMENT FOR THE PUBLIC SECTOR

- 7.1 The Board has signed up to a Scape Access Agreement. The Agreement sets out the rules which govern how the authority may use the framework and details the responsibilities undertaken by Scape and the authority.

Full details of an Access Agreement can be found at Appendix 1 (Scape Access Agreement for the Public Sector Compliance and Guidance Note).

8 SUMMARY

- 8.1 The above policy is not exhaustive and is written as a guide to the appropriate level of authorisation for the level of procurement required.
- 8.2 Members of staff should always liaise with members of the management team to ensure that procurement of materials and services give satisfactory value for money.
- 8.3 Staff should look for every opportunity to make bulk purchases with other authorities to achieve additional value for money.
- 8.4 Consideration is always to be given in relation to maintaining expenditure within budgets. If budgets have been, or are likely to be, exceeded for a particular scheme or general maintenance then the authorisation of the Chief Executive Officer or the Projects Director to be sought before the order is placed.

INTRODUCTION

Public sector bodies (such as local authorities, central government departments, NHS trusts, schools and other educational establishments which are majority public funded) must comply with public procurement rules when they enter into contracts for supplies, works or services. The overall rules post Brexit for England, Wales and Northern Ireland are currently set out in the Public Contracts Regulations 2015; in Scotland, the Public Contracts (Scotland) Regulations 2015.

The rules mean that to discharge their transparency obligations, public sector bodies (contracting authorities) must advertise on the UK Government's "Find a Tender Service" (FTS) when they want to contract with a provider for works, goods or services and the value of that contract is above a specified value. There are strict procedures with which contracting authorities must comply when choosing a provider.

However, the rules do allow for a contracting authority to go through a procurement process to choose one or more providers to provide supplies, works or services on a framework. In other words, the procurement process is not to choose a provider for a specific project: It is to choose providers with the required levels of experience, quality and financial standards and who provide the best value (in terms of how they meet the specifications that will be required for projects under the framework and price).

When the contracting authority needs a provider for a specific project of a type covered by the framework, it can choose a provider on that framework for the project without having to carry out a full procurement process. It can call off the works/services required under the Framework Agreement.

The rules also provide that a contracting authority can act as a central purchasing body by entering into Framework Agreements which can be used by other contracting authorities.

Scape has procured and entered into a number of Framework Agreements. Contracting authorities are able, in principle, to use Scape's Framework Agreements to call off works/services from the framework providers.

Each Framework Agreement (which is entered into by Scape and the framework provider) sets out the rules for operating the relevant framework, as between Scape and the framework provider.

The framework provider enters into an individual project agreement with each contracting authority which wants to engage that provider to carry out works/services on a specific project. There is a "model" format of the delivery agreement set out in each Framework Agreement.

WHAT IS AN ACCESS AGREEMENT?

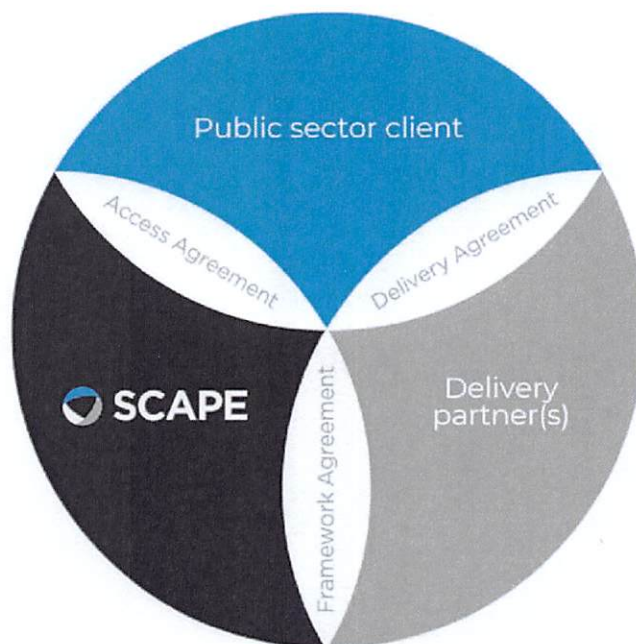
An Access Agreement is entered into by Scape and each contracting authority wanting to use a Scape framework. The Agreement sets out the rules which govern how the authority may use the framework and details the responsibilities undertaken by Scape and the authority.

WHAT DOES THE ACCESS AGREEMENT INVOLVE?

In summary, the Access Agreement sets out:

- The procedure the client must use if it wants to call off services under a Framework Agreement;
- What information Scape will provide to the client;
- The reporting information the client must provide to Scape if it calls off services under a Framework Agreement;
- How the Scape fee charged to the framework provider works;
- Warranties from each party;
- Limits on each party's liability;
- Confidentiality obligations;
- The term of the Access Agreement and how it can be terminated by either party;

Various standard provisions (e.g. the governing law of the agreement, the way in which the parties communicate with each other).



WHY DO YOU NEED TO SIGN AN ACCESS AGREEMENT?

Once signed, the Access Agreement enables access to any of Scape's frameworks and you will receive detailed information about the frameworks and how to use them. The Access Agreement only needs to be signed once on behalf of an organisation and it carries no cost.

There is no commitment or obligation to use Scape's Frameworks once an Access Agreement has been signed. Signing an Access Agreement does not prohibit you from procuring a contract through any other route.

WHAT HAPPENS NEXT?

A representative from Scape, or the delivery partner (framework provider) you have selected, will contact you to discuss your requirements. They will provide you with information regarding the framework and processes, Project Request Form, Project Order Form and Delivery Agreement, together with supporting information about the NEC contracts, which are incorporated into Delivery Agreements.

FREQUENTLY ASKED QUESTIONS

WHO DELIVERS SCAPE FRAMEWORKS?

Frameworks are available in all areas of England, Scotland, Wales and Northern Ireland. They are all delivered by our delivery partner(s) who are experts in their field and have been awarded their Framework Agreement following a competitive tender. Our delivery partner(s) form strong regional teams to focus on local delivery from within the community.

Learn more about our frameworks: www.scape.co.uk/for-the-public-sector **WHO**

DO WE WORK FOR?

Frameworks are available to every kind of public body. If you are a local authority, school, academy, college, university, blue light service, NHS organisation, armed force or substantially funded by the public purse, you can benefit with Scape.

WHY USE SCAPE?

For over a decade, we have developed and managed highly successful frameworks. By bringing together the strongest delivery teams, Scape achieves measurable time, cost, quality and community benefits on every project. We have shaped an environment of collaboration and innovation, directly supporting our clients' need to achieve the highest possible standards.



Mark Robinson
Chief executive

Scape and Scape Scotland

Tel: 0115 958 3200

Email: enquiries@scape.co.uk

Web: www.scape.co.uk

Nottingham: 2nd Floor, East West Building, Tollhouse Hill, Nottingham, NG1 5AT

Scape Group Limited (trading as Scape) is a Local Authority owned company, whose shareholders are Derby City, Derbyshire County, Gateshead, Nottingham City, Nottinghamshire County and Warwickshire County Councils. Registered in England: 05660357.

Registered in England: Reg No. 05660357 as address above

Vat Registration No. 877 9484 43 [For the public sector | Access Agreement guidance note](#) 4

Black Sluice Internal Drainage Board

Policy No: 05

Investment Strategy Policy

Review Dates:

Board Approved	13 June 2023
Due for Review	Within 5 years

1. Introduction

- 1.1 Black Sluice Internal Drainage Board (the Board) acknowledges the importance of prudently investing the temporary surplus funds held on behalf of the local ratepayers. ~~This has acquired even greater importance in the light of the credit crunch during 2008-09 and the COVID-19 pandemic and consideration of the risk involved is a major element to be considered.~~
- 1.2 This strategy complies with the arrangements set out in the Department of ~~Communities and Local Government for Levelling Up, Housing and Communities (formerly Department of Communities and Local Government &~~ Office of the Deputy Prime Minister) Guidance on Local Government Investments 2004 and the Chartered Institute of Public Finance and Accountancy's Treasury Management in Public Services: Code of Practice and Cross Sectoral Guidance Notes and takes account of Section 15 (1)(a) of the Local Government Act 2003.

2. Investment Objectives

- 2.1 In accordance with Section 15 (1)(a) of the Local Government Act 2003, the Board will have regard (a) to such guidance as Government Ministers may issue from time to time and (b) to such other guidance as Government Ministers may by regulations specify.
- 2.2 The Board's investment priorities are the security of reserves and liquidity of its investments.
- 2.3 The Board will aim to achieve the optimum return on its investments commensurate with proper levels of security and liquidity and be consistent with avoiding any major risks.
- 2.4 All investments will be made in sterling.
- 2.5 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.

- 2.6 Where external investment managers are used, they will be required to comply with this strategy and will have to be authorised and regulated by the Financial Conduct Authority. Where the Board uses Brokers to carry out the transactions on their behalf, they cannot and do not offer investment advice but simply act as an intermediary.

3. Specified Investments

- 3.1 Specified investments are those offering high security and high liquidity, made in sterling and which must mature within one year. The Board only places deposits with financial institutions which are on the Financial Conduct Authority's approved list of financial institutions. These investments can be used with minimal procedural formalities as currently used by the Board.
- 3.2 For the prudent management of its surplus balances, maintaining sufficient levels of security and liquidity, the Board will use:
- Deposits with banks, building societies, local authorities or other public authorities
 - Deposits in securities which are guaranteed by the Government.
- 3.3 The limit of any such investment will be restricted to £300,000 with any one particular institution or group, or such other sum as the Board specify from time to time. It should be noted that the Government guarantee of ~~£50,000-£85,000~~ which applies to private investors does not apply to bodies such as the Board.

4. Non Specified Investments

- 4.1 These investments have greater potential risk and mature after any period longer than 365 days – examples include investment in the money market, stocks and shares or with bodies which do not have a high credit rating.
- 4.2 Given the unpredictability and uncertainties surrounding such investments, the Board will not use this type of investment without a resolution stating otherwise.
- 4.2.1 The Board resolved to invest £500,000 with Brewin Dolphin, an investment broker, at their risk level of "3" at the meeting of the Board on 30 May 2018.

5. Liquidity of Investments

- 5.1 The Chief Executive and the Finance and Admin Director will determine the maximum periods for which funds may prudently be committed so as not to compromise liquidity.

5.2 Investments will be regarded as commencing on the date the commitment to invest is entered into, rather than the date on which the funds are paid over to the relevant body.

6. Long Term Investments

6.1 Long term investments are defined in the Guidance as greater than 36 months.

6.2 The Board does not currently hold any long term investments; neither will it make any such investments.

7. Internal Controls

7.1 The Chief Executive will report on all investments held on a monthly basis as part of the Management Accounts and sent by E-Mail to all members of the Executive Committee. As existing investments mature, the Chief Executive will prepare a current cash flow projection indicating any future suggested investments. This projection will be authorised by both the Chief Executive and the Finance and Admin Director. The current satisfactory practice is for a maturity profile investment projection to be prepared which provides the Board with the option to pull back or invest further according to the cash flow requirements.

7.2 The Chief Executive will then act on this authorisation and proceed with any further investments as agreed. A copy of the confirmation of the investment from the financial institution will be initialled by the Chief Executive.

8. End of Year Investment Report

8.1 The Annual Strategy for the coming financial year will be prepared by the Chief Executive and presented to the Executive Committee meeting in January each year for approval.

8.2 At the end of the financial year, the Chief Executive (as S151 of the Local Government Act 1972 officer) will report on the investment activity to the Board.

9. Review and Amendment of this Strategy

9.1 This Strategy will be reviewed within five years.

9.2 The Board reserves the right to make variations to the Strategy at any time.

9.3 This strategy has been reviewed and agreed with the Board's Internal Auditor.



Black Sluice Internal Drainage Board

Station Road
Swineshead
Boston
Lincolnshire
PE20 3PW

01205 821440

www.blacksluiceidb.gov.uk

mailbox@blacksluiceidb.gov.uk

HEALTH AND SAFETY COMMITTEE

TERMS OF REFERENCE

APPROVED BY THE BOARD:

1. COMPOSITION

The Committee shall be formed from the following:

- Chief Executive
- Maintenance Director
- Works Supervisor
- Flail Operative
- Excavator Operative
- Ganger
- Projects Director *
- Finance & Admin Director *

* Only required to attend meetings where their area of responsibility is being discussed.

2. ROLE OF THE COMMITTEE

- Monitoring trends in accidents and ill-health so that reports can be made to management on unsafe/unhealthy conditions and practices, together with recommendations for corrective action.
- Examination of safety audit reports.
- Consideration of reports and information provided by inspectors from the enforcing authority.
- Consideration of reports that safety representatives may wish to submit.
- Assistance in the development of works safety rules and safe systems of work.
- Monitoring the effectiveness of the safety content of worker training.
- Monitoring the adequacy of safety and health communication and publicity in the workplace.

3. REPORTING

The committee will report to the Board through an annual report.

Black Sluice Internal Drainage Board

Policy No: 41

Public Sector Co-Operation Agreement Policy

Review Dates:

Review	Audit & Risk Committee 24 October 2023
Board Approved	
Due for Review	

INTRODUCTION

Following a request, the Board will investigate the opportunity of entering into a Public Sector Co-Operation Agreement (PSCA) with other Authorities. To complete relevant works within their normal scope of works on a commercial recharge basis.

PSCA will be agreed using the following options based around the flood risk management functions of the parties made pursuant to section 13 of the Flood and Water Management Act 2010.

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

POLICY

A PSCA will be prepared and presented for acceptance following a review of the current operational works programme. If there is scope for the PSCA works to be completed without affecting the programme an agreement may be entered into.

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

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

A 10% addition will apply to all quotations to assist in the overhead recover.

PSCA will be forwarded to the clients in letter format for acceptance.

The signed agreement must be returned and orders provided prior to the commencement of any works.

A unique rechargeable cost centre will be raised for each PSCA.

Works will be invoiced to include for VAT as soon as all costs have been realised following the completion of the works.

Black Sluice Internal Drainage Board

Policy No: 43

Policy: Electronic Information and Communication Systems

Review	Audit & Risk Committee 24 th October 2023
Board Approved	
Reviewed	Within 5 years

INTRODUCTION

The Board's electronic communications systems and equipment are intended to promote effective communication and working practices within the Board, and are critical to the success of our business. This policy outlines the standards which the Board requires users of these systems to observe, the circumstances in which the Board will monitor use of these systems and the action we will take in respect of breaches of these standards. The sections below deal mainly with the use (and misuse) of computer equipment, e-mail, internet connection, telephones, and voicemail, but this policy applies equally to use of copiers, scanners, CCTV, and electronic key fobs and cards. Workers are expected to have regard to this policy at all times to protect its electronic communications systems from unauthorised access and harm.

Breach of this policy may be dealt with under the disciplinary procedure and, in serious cases, may be treated as gross misconduct leading to summary dismissal.

POLICY

1. LEGISLATIVE FRAMEWORK

The use by workers and monitoring by us of our electronic communications systems is likely to involve the processing of personal data and is therefore regulated by the Data Protection Act 2018 together with the Employment Practices ~~Data Protection~~ Code, issued by the Information Commissioner. We are also required to comply with the Regulation of Investigatory Powers Act 2016, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 and the principles of the European Convention on Human Rights incorporated into United Kingdom law by the Human Rights Act 1998.

2. PERSONNEL RESPONSIBLE FOR IMPLEMENTATION OF POLICY

- 2.1 The Board has overall responsibility for this policy. Responsibility for monitoring and reviewing the operation of the policy and any recommendations for change to minimise risks to our operations also lies with the ~~Finance Manager~~ Finance and Admin Director. The ~~Finance Manager~~ Finance and Admin Director will deal with requests for permission or assistance under any provisions of this policy, subject to their primary and priority tasks of maintaining our core systems, and may specify certain standards of equipment or procedures to ensure security and compatibility.

- 2.2 Managers have a specific responsibility to operate within the boundaries of this policy, to facilitate its operation by ensuring that workers understand the standards of behaviour expected of them and to identify and act upon behaviour falling below these standards.
- 2.3 All workers are responsible for the success of this policy and should ensure that they take the time to read and understand it, and to disclose any misuse of the Board's electronic communications systems of which they become aware to the Chief Executive. Questions regarding the content or application of this policy should ~~also~~ be directed to the ~~Finance Manager~~ Finance and Admin Director.

3. WHO IS COVERED BY THE POLICY

This policy covers all individuals at all levels and grades, including senior managers, officers, directors, employees, contractors, trainees, homeworkers, part-time and fixed-term employees, and agency staff (collectively known as workers in this policy), and also third parties who have access to the Board's electronic communication systems.

4. EQUIPMENT SECURITY AND PASSWORDS

- 4.1 Workers are responsible for the security of the equipment allocated to or used by them, and must not allow it to be used by anyone other than in accordance with this policy. If given access to the e-mail system or to the internet, workers are responsible for the security of their terminals and, if leaving a terminal unattended or on leaving the office, should ensure that they lock the computer to prevent unauthorised users accessing the system in their absence. Workers without authorisation should only be allowed to use terminals under supervision. Desktop PCs and cabling for telephones or computer equipment should not be moved or tampered with without first consulting the ~~Finance Manager~~ Finance and Admin Director.
- 4.2 Passwords are unique to each user and must be changed regularly to ensure confidentiality. Passwords must be kept confidential and must not be made available to anyone else unless authorised by the ~~Finance Manager~~ Finance and Admin Director. For the avoidance of doubt, on the termination of employment (for any reason) workers must provide details of their passwords to the Board.
- 4.3 ~~Access to the Board's network is to be by utilising Dual Authentication as soon as it is enabled in April 2022. As of April 2022, access to the Board's network is to be by utilising Dual Authentication.~~
- 4.4 Workers who have been issued with a laptop, tablet or mobile phone must ensure that it is kept secure at all times, especially when travelling. Passwords or biometrics must be used to secure access to data kept on such equipment to ensure that confidential data is protected in the event that the machine is lost or stolen. Workers should also observe basic safety rules when using such equipment, such as not using or displaying it obviously in isolated or dangerous areas. Workers should not use equipment on public transport or in other public areas where documents can be read by third parties.

5. SYSTEMS AND DATA SECURITY

- 5.1 Workers should not delete, destroy or modify existing systems, programs, information or data which could have the effect of harming our business or exposing it to risk.

- 5.2 Workers should not download or install software from external sources without authorisation from the ~~Finance Manager~~ Finance and Admin Director. This includes programs, instant messaging programs, screensavers, photos, video clips and music files. Files and data should always be virus-checked before they are downloaded. If in doubt, workers should seek advice from the ~~Finance Manager~~ Finance and Admin Director.
- 5.3 No device or equipment should be attached to our systems without the prior approval of the ~~Finance Manager~~ Finance and Admin Director. This includes any USB flash drive, MP3 or similar device, PDA or telephone. It also includes use of the USB port, infra-red connection port or any other port.
- 5.4 We monitor all e-mails passing through our system for viruses. Workers should exercise caution when opening e-mails from unknown external sources or where, for any reason, an e-mail appears suspicious (for example, if its name ends in .exe or .zip). The ~~Finance Manager~~ Finance and Admin Director should be informed immediately if a suspected virus is received. We reserve the right to block access to attachments to e-mails for the purpose of effective use of the system and for compliance with this policy. We also reserve the right not to transmit any e-mail message.
- 5.5 Workers should not attempt to gain access to restricted areas of the network, or to any password-protected information, unless specifically authorised.
- 5.6 Workers using laptops or wi-fi enabled equipment must be particularly vigilant about its use outside the office and take any precautions required by the ~~Finance Manager~~ Finance and Admin Director from time to time against importing viruses or compromising the security of the system. The system contains information which is confidential to the Board's business and/or which is subject to data protection legislation. Such information must be treated with extreme care.

6. E-MAIL ETIQUETTE AND CONTENT

- 6.1 E-mail is a vital business tool but an informal means of communication and should be used with great care and discipline. Workers should always consider if e-mail is the appropriate medium for a particular communication. Messages sent on the e-mail system should be written as professionally as a letter. Messages should be concise and directed only to relevant individuals.
- 6.2 Workers should ensure that they access their e-mails at least once every working day, stay in touch by remote access when travelling and use an out of office response when away from the office for more than a day. Workers should not expect colleagues to read or reply to e-mails sent or received out of office working hours.
- 6.3 Workers should not send abusive, obscene, discriminatory, racist, harassing, derogatory or defamatory messages. If such messages are received, they should not be forwarded and should be reported to the ~~Finance Manager~~ Finance and Admin Director. If a recipient asks you to stop sending them personal messages, then always stop immediately. Where appropriate, the sender of the e-mail should be referred to this policy and asked to stop sending such material. If you feel that you have been harassed or bullied, or are offended by material sent to you by a colleague via e-mail, you should inform the ~~Finance Manager~~ Finance and Admin Director who will usually seek to resolve the matter informally.

- 6.4 Workers should take care with the content of e-mail messages, as incorrect or improper statements can give rise to personal or Board liability in the same way as the contents of letters. For example, in connection with claims of discrimination, harassment, defamation, breach of confidentiality or breach of contract. Workers should assume that e-mail messages may be read by others and not include in them anything which would offend or embarrass any reader, or themselves, if it found its way into the public domain.
- 6.5 E-mail messages may be disclosed in legal proceedings in the same way as paper documents. Deletion from a user's inbox or archives does not mean that an e-mail is obliterated and all e-mail messages should be treated as potentially retrievable, either from the main server or using specialist software.
- 6.6 In general, workers should not:
- (a) send or forward private e-mails at work which they would not want a third party to read;
 - (b) send or forward chain mail, junk mail, cartoons, jokes or gossip either within or outside the Board;
 - (c) contribute to system congestion by sending trivial messages or unnecessarily copying or forwarding e-mails to those who do not have a real need to receive them;
 - (d) sell or advertise using the systems or broadcast messages about lost property, sponsorship or charitable appeals;
 - (e) agree to terms, enter into contractual commitments or make representations by e-mail unless appropriate authority has been obtained. A name typed at the end of an e-mail is a signature in the same way as a name written in ink at the end of a letter;
 - (f) download or e-mail text, music and other content on the internet subject to copyright protection, unless it is clear that the owner of such works allows this;
 - (g) send messages from another worker's computer or under an assumed name unless specifically authorised;
 - (h) send confidential messages via e-mail or the internet, or by other means of external communication which are known not to be secure.
- 6.7 Workers who receive an e-mail which has been wrongly delivered should return it to the sender of the message. If the e-mail contains confidential information or inappropriate material (as described above) it should not be disclosed or used in any way.

7. USE OF THE WEB

- 7.1 When a website is visited, devices such as cookies, tags or web beacons may be employed to enable the site owner to identify and monitor visitors. If the website is of a kind described in paragraph 8.2, such a marker could be a source of embarrassment to the Board, especially if a worker has accessed, downloaded, stored or forwarded inappropriate material from the website.

Workers may even be committing a criminal offence if, for example, the material is pornographic in nature (see section on Inappropriate Use of Equipment and Systems at paragraph 10).

- 7.2 Workers should not therefore access from the Board's system any web page or any files (whether documents, images or other) downloaded from the web which, on the widest meaning of those terms, could be regarded as illegal, offensive, in bad taste or immoral. While content may be legal in the UK, it may be in sufficient bad taste to fall within this prohibition. As a general rule, if any person within the Board (whether intended to view the page or not) might be offended by the contents of a page, or if the fact that the Board's software has accessed the page or file might be a source of embarrassment if made public, then viewing it will be a breach of this policy.
- 7.3 Workers should not under any circumstances use our systems to participate in any internet chat room, post messages on any internet message board or set up or log text or information on a blog, even in their own time.
- 7.4 Remember also that text, music and other content on the internet are copyright works. Workers should not download or e-mail such content to others unless certain that the owner of such works allows this.

8. PERSONAL USE OF SYSTEMS

- 8.1 The Board permits the incidental use of its internet, e-mail and telephone systems to send personal e-mail, browse the web and make personal telephone calls subject to certain conditions set out below. Our policy on personal use is a privilege and not a right. The policy is dependent upon it not being abused or overused and we reserve the right to withdraw our permission or amend the scope of this policy at any time.
- 8.2 The following conditions must be met for personal use to continue:
 - (a) use must be minimal and take place substantially out of normal working hours (that is, during a worker's usual lunch **hour break**, before 7 am or after **5:15 4** pm);
 - (b) use must not interfere with business or office commitments;
 - (c) use must not commit the Board to any marginal costs; and
 - (d) use must comply with the Board's policies and procedures.
- 8.3 Workers should be aware that any personal use of the systems may also be monitored (see paragraph 9) and, where breaches of this policy are found, action may be taken under the disciplinary procedure (Paragraph 10). The Board reserves the right to restrict or prevent access to certain telephone numbers or internet sites if it considers that personal use is excessive.

9. MONITORING OF USE OF SYSTEMS

- 9.1 The Board's systems provide the capability to monitor telephone, email, voicemail, web and other communications traffic. Monitoring will only be carried out to the extent permitted or required by law and as necessary and justifiable for business purposes.

- 9.2 The Board reserves the right to monitor and keep records of use of the Board's IT system and email and internet access for a number of reasons relevant to its business including but not limited to:
- (a) ensuring compliance with this policy;
 - (b) training and monitoring standards of service;
 - (c) ascertaining whether internal or external communications are relevant to the Board's business;
 - (d) preventing, investigating or detecting unauthorised use of the Board's IT system or criminal activities; and
 - (e) maintaining the effective operation of the Board's IT system.
- 9.3 The Board has a legitimate interest in protecting its business reputation and communication systems, limiting its exposure to legal liability and ensuring that workers conduct themselves and perform their work to the level expected of them.

10. INAPPROPRIATE USE OF EQUIPMENT AND SYSTEMS

- 10.1 Access is granted to the web, telephones and to other electronic systems, for legitimate business purposes only. Incidental personal use is permissible provided it is in full compliance with the Board's rules, policies and procedures. See paragraph 8 on Personal Use of Systems.
- 10.2 Misuse or abuse of our telephone or e-mail system or inappropriate use of the internet in breach of this policy will be dealt with in accordance with our disciplinary procedure. Misuse of the internet can, in certain circumstances, constitute a criminal offence. In particular, misuse of the e-mail system or inappropriate use of the internet by viewing, accessing, transmitting or downloading any of the following material, or using any of the following facilities, will amount to gross misconduct (this list is not exhaustive):
- (a) pornographic material (that is, writings, pictures, films, video clips of a sexually explicit nature); or
 - (b) offensive, obscene, or criminal material or material which is liable to cause embarrassment to the Board or to its clients; or
 - (c) a false and defamatory statement about any person or organisation; or
 - (d) material which is discriminatory, offensive, derogatory or may cause embarrassment to others; or
 - (e) confidential information about the Board and any of its staff or clients; or
 - (f) any other statement which is likely to create any liability (whether criminal or civil, and whether for you or the Board); or
 - (g) material in breach of copyright; or
 - (h) online gambling; or

(i) chain letters.

Any such action will be treated very seriously and is likely to result in summary dismissal.

Where evidence of misuse is found we may undertake a more detailed investigation in accordance with our disciplinary procedure, involving the examination and disclosure of monitoring records to those nominated to undertake the investigation and any witnesses or managers involved in the disciplinary procedure. If necessary, such information may be handed to the police in connection with a criminal investigation.

Black Sluice Internal Drainage Board

Policy No: 51

Drone Flying Policy

Review Dates:

Original Issue	
Board Approved	

1. Black Sluice IDB will provide a Drone of less than 250g with a camera to be flown by approved employees for business use whilst undertaking surveys.
2. The Model Aircraft Code should be followed to make sure you always fly safely and legally.
3. Always make sure the drone is maintained and kept in an airworthy condition, comply with any local authority byelaws and undertake specific operational risk assessments (SORA).
4. You must pass the CAA's official online theory test to get a flyer and operator ID.
5. Employees may not use a Board drone for personal use.
6. The basis rules to follow whilst flying a Board drone are: -
 - You should never put people in danger.
 - Always keep the drone in direct sight and make sure you have a full view of the surrounding area.
 - If you are flying by watching a live video to a device, this is known as first-person view (FPV). If you are flying by FPV you must have an observer with you complying with the Model Aircraft Code.
 - You must fly below 120m.
 - Never fly over people that are crowded together.
 - Never fly within a flight restriction zone (FRZ). You can find details of FRZs and other airspace restrictions in NATS' [map of airspace restrictions](#).
 - If you're out flying at or near to an emergency incident when it happens, you must safely and immediately stop flying unless the emergency services give you permission to continue.
 - Do not fly where you'll disturb or endanger animals and wildlife.
 - Always be ready to respond in the safest way possible if other aircraft appear where you're flying.
 - NOTAMs (Notice to Aviation) NOTAMs are official notices that tell people about activities that may be a hazard to flying. For example, a balloon show. Many drone apps include details of NOTAMs. You can also find NOTAMs at the [NATS drone website](#).
 - Always be ready to land your drone or model aircraft or reduce your flying height and wait until it is safe to fly again.
 - You must respect other people's privacy whenever you are using a drone.
 - Make sure you can be clearly seen when you're out flying.
7. As a Board device all video footage and photographs are subject to monitoring. All data recorded should be saved on the Network Z drive.

CATALOGUE OF BOARD POLICIES

	A&R Committee Review	To be reviewed																		
		Apr 20	Sep 20	Apr 21	Sep 21	Apr 22	Sep 22	Apr 23	Sep 23	Apr 24	Sep 24	Apr 25	Sep 25	Apr 26	Sep 26	Apr 27	Sep 27	Apr 28	Sep 28	Apr 29
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	3 years				✓		✓	✓	✓							✓				
5 Investment Strategy	5 years	✓							✓											✓
6 Insurance Arrangements	3 years				✓	✓					✓								✓	
7 H&S Policy	Annual	Not previously reviewed by the Board																		
7a Black Sluice IDB H&S Booklet	Annual	Not previously reviewed by the Board																		
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	3 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	3 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						✓ (NW & SW)									✓				
48 Substance and Alcohol Misuse	5 years							✓											✓	
49 Health and Wellbeing	5 years								✓										✓	
50 Sickness absence management	5 years								✓										✓	
51 Drone Flying	5 years								✓										✓	

**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	Low	3			
	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 maintainaed assets	Medium	Low	2			
	1.8	Unplanned loss of senior staff	Medium	Medium	4			
To conserve and enhance the environment wherever practical and possible to ensure there is no net loss of biodiversity.	1.9	Insufficient finance to carry out works	High	Medium	6			
	1.10	Reduction in staff performance	Medium	Low	2			
	1.11	Insufficient staff resources	Medium	Low	2		Review	
	To provide a 24 hour/365 day emergency response for the community	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 safe and fulfilling working environment for staff.	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 maintain financial records that are correct and comply with all recommended accounting practice.	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
		5.1	Loss of cash	Low	Low	1	None	
5.2		Loss of money invested in building societies, banks and managed funds	High	Low	3	None		
5.3		Fraud by senior officers	Medium	Low	2	None		
To ensure that all actions taken by the Board comply with all current UK and EU legislation	5.4	Inadequacy of Internal Checks	Medium	Low	2			
	5.5	Fradulent use of credit cards	Low	Medium	2			
	6.1	Board Members in making decisions	Low	Low	1			
A cost efficient IDB that provides a Value for Money service.	6.2	Not complying with all employment regulations and laws	Medium	Low	2			
	7.1	Collecting insufficient income to fund expenditure	Low	Low	1		Accounts	
Information Technology and Communications	7.2	IDB abolished or taken over	Low	Low	1			
	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	Breech in Cyber Security	Medium	Low	2			
	8.6	Network Security Breech	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			

Black Sluice Internal Drainage Board

Policy No: 07

Health & Safety Policy

Review Dates:

Board Approved	
Review Period	12 months

Record of Amendments

Use this table to record any amendments to this policy. Include brief details of the amendment and the reasons for it, e.g., annual review, introduction of new legislation, a change to the processes or conditions.

Version No.	Date	Ref.	Details of Amendment
1.0	October 2023		New Policy presented to A&R Committee.

CONTENTS

- 1.1 Health and Safety Policy Statement

- 2.1 Overview
- 2.2 Management Structure
- 2.3 Responsibilities

- 3.1 Asbestos
- 3.2 Confined Spaces
- 3.3 Construction (Design and Management)
- 3.4 Control of Contractors
- 3.5 Display Screen Equipment
- 3.6 Electricity
- 3.7 Fire
- 3.8 First Aid and Accident Reporting
- 3.9 Hazardous Substances
- 3.10 Health and Safety Management
- 3.11 Lifting Operations and Lifting Equipment
- 3.12 Lone Working
- 3.13 Manual Handling
- 3.14 Monitoring Performance
- 3.15 Noise
- 3.16 Personal Protective Equipment
- 3.17 Pressure Systems
- 3.18 Safety Signs and Signals
- 3.19 Stress
- 3.20 Vibration
- 3.21 Work at Height
- 3.22 Work Equipment
- 3.23 Working Time
- 3.24 Workplace (Health, Safety and Welfare)

Forms

A suite of useful forms can be downloaded from the Black Sluice IDB H&S SharePoint site.

Risk Assessments

Risk Assessments can be downloaded from the Black Sluice IDB H&S Share Point.

Safe Systems of Work/Method Statements

Risk Assessments can be downloaded from the Black Sluice IDB H&S Share Point.

Leaflets

Leaflets can be downloaded from the Black Sluice IDB H&S Share Point.

Site Safety Inspection Records

Cope Safety Management will conduct periodic inspections twice a year, one to coincide with cutting season (August to December) and one whilst other desilting and construction works are being conducted and complete a Site Safety Inspection. A copy of this record is provided and should be kept.

Users of the Cope Safety Management Limited Members Area can access an archive of site safety inspection records online, which will also be filed in the BSIDB filing system. Any matters requiring urgent action will be brought to the attention of a Director at the time of the visit.

Current Observations

Observations will be raised by an Copes Safety Manager advisor, to a Director, during a visit. Black Sluice IDB will take ownership of these observations by signing the Site Safety Inspection Record at the end of the visit. A summary table of observations requiring action is provided in addition to the site safety inspection record. A copy of the summary table will be kept in the filing system and used to record the identity of those tasked to complete remedial actions and the date closed out. Users of the Cope Safety Management Limited Members Area can access an up-to-date table of all observations requiring action online, which will also be filed in the BSIDB filing system.



BLACK SLUICE
INTERNAL DRAINAGE BOARD

Health and Safety Policy Statement **1 August 2023**

Our policy is to provide and maintain safe and healthy working conditions for all our employees, contractors, and agency staff working on our behalf. In addition we will seek to ensure the work that we carry out does not affect the health and safety of others, e.g. our customers, visitors and members of the public.

We will achieve this policy, in part, by:

1. Appointing competent Managers who are responsible for health and safety in their respective areas;
2. Ensuring that adequate resources and sufficient financial arrangements are in place to control health and safety risks arising from our work activities;
3. Consulting with all our employees on matters affecting their health and safety and providing information, instruction, training and supervision, as appropriate;
4. Seeking advice and assistance from external organisations to supplement our own in-house health and safety initiatives;
5. Monitoring and reviewing the health, safety and welfare arrangements we have put in place at least every twelve months to determine their continued effectiveness;
6. Setting goals and following action plans to ensure continuous improvement in health and safety performance; and
7. Promoting a positive health and safety culture within our organisation, e.g. with Managers leading by example and the formation of a Health and Safety Committee.

This statement is intended to encourage a positive attitude to safety and should be used in conjunction with the additional safety guidelines issued periodically.

I look forward to your full co-operation and support.

Daniel Withnall
(Chief Executive)

2.1 Overview

The Black Sluice Internal Drainage Board is an authority set up to control water levels and reduce the risk of flooding within the Board's area. It operates 34 pumping stations and maintains 500 miles of watercourses within its area and has a policy of undertaking this work with regard to protecting and enhancing the environmental features in these watercourses, employing approximately 27 people.

The address, telephone and email of the organisation are:

Black Sluice Internal Drainage Board

Station Road

Swineshead

Lincolnshire

PE20 3PW

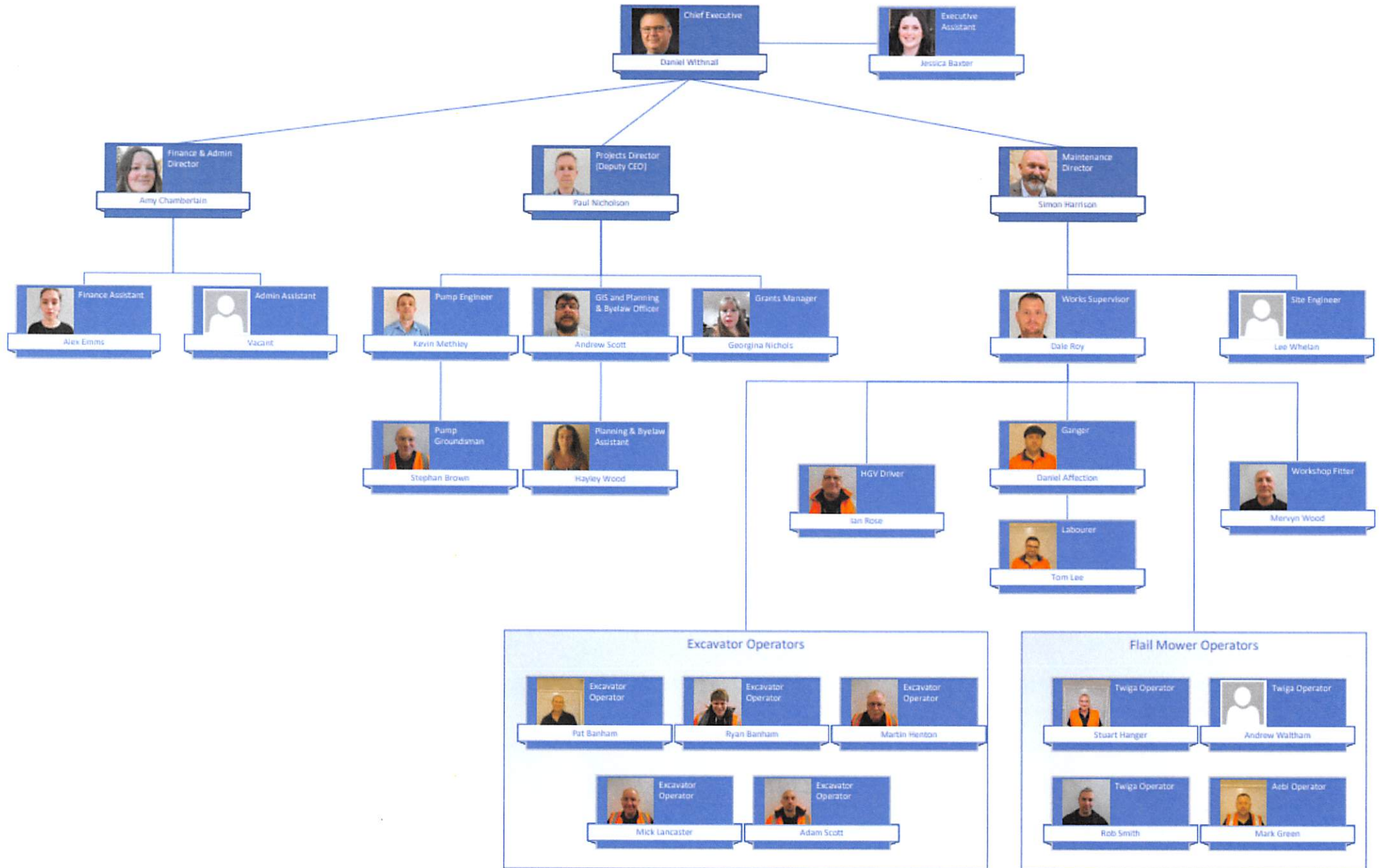
Tel: 01205 821 440

Email: mailbox@blacksluiceidb.gov.uk

2.2 Management Structure

An organogram showing the management structure for Black Sluice Internal Drainage Board is provided on the following page.

Black Sluice Internal Drainage Board



2.3 Responsibilities

2.3.1 Responsibilities of the Chief Executive

The Chief Executive, Mr Daniel Withnall recognises and accepts the overall responsibility for health and safety and will ensure that suitable and sufficient arrangements are in place to satisfy the health and safety regulations and codes of practice that are applicable to the organisation.

The general responsibilities are to:

- Understand, initiate and monitor the effectiveness of the implementation of this policy and its arrangements, and ensure that any necessary alterations are made;
- Ensuring that adequate resources and sufficient financial arrangements are in place to control health and safety risks arising from our work activities;
- Ensure that employees are engaged, informed and take active participation in the implementation of this policy and its arrangements;
- Ensure that adequate training is undertaken by employees to enable them to safely undertake their work duties;
- Ensure adequate liaison with relevant external bodies, e.g. enforcing authorities, emergency services, where necessary;
- Ensure that suitable arrangements are in place so that plant and equipment is provided and maintained and conforms to all relevant statutory provisions (e.g. guarding, examination and testing, etc.);
- Ensure that suitable arrangements are in place so that hazardous substances are marked, used, stored or handled in accordance with relevant guidance and procedures;
- Ensure that suitable arrangements are in place so that appropriate first aid, fire-fighting and any other relevant emergency equipment is provided and readily available;
- Ensure adequate emergency procedures are in place and that they are regularly tested;
- Ensure adequate procedures are in place to correctly report, record and investigate all accidents and incidents and that action is taken to prevent a reoccurrence;
- Take appropriate action when statutory and/or internal standards are breached;
- Ensure that health and safety is on the agenda at all relevant meetings;
- Chair the Health and Safety Committee formed from a wide cross section of employees and
- Ensure that contractors understand and comply with the organisations policies and procedures, and take action where compliance is not achieved.

2.3.2 Responsibilities of Managers and Supervisors, etc.

The Managers and Supervisors, etc., listed below are responsible for ensuring that health and safety arrangements are implemented and adhered to in the area of work for which they have control and responsibility, and/or for the specific arrangements identified.

Area of Responsibility / Specific Arrangements	Name	Title
Asbestos	Paul Nicholson	Projects Director
Confined Spaces	Paul Nicholson	Projects Director
Construction (Design and Management)	Simon Harrison	Maintenance Director
Control of Contractors	Simon Harrison	Maintenance Director
Chair of Health & Safety Committee	Daniel Withnall	Chief Executive
Display Screen Equipment	Amy Chamberlain	Finance & Admin Director
Electricity	Paul Nicholson	Projects Director
Fire	Amy Chamberlain (Office) Simon Harrison (Depot) Paul Nicholson (Pumping Stations)	Finance & Admin Director Maintenance Director Projects Director
First Aid, Accident & Near-miss Reporting	Simon Harrison	Maintenance Director
Hazardous Substances	Simon Harrison	Maintenance Director
Health and Safety Management	Simon Harrison	Maintenance Director
Health and Safety Policy Development	Daniel Withnall	Chief Executive
Lifting Operations and Lifting Equipment	Simon Harrison	Maintenance Director
Lone Working	Simon Harrison	Maintenance Director
Manual Handling	Simon Harrison	Maintenance Director
Monitoring Performance	Daniel Withnall	Chief Executive
Noise	Simon Harrison	Maintenance Director
Personal Protective Equipment	Simon Harrison	Maintenance Director
Pressure Systems	Simon Harrison	Maintenance Director
Safety Signs and Signals	Simon Harrison	Maintenance Director
Stress	Amy Chamberlain	Finance & Admin Director
Vibration	Simon Harrison	Maintenance Director
Work at Height	Simon Harrison	Maintenance Director
Work equipment	Paul Nicholson	Projects Director
Working Time	Amy Chamberlain	Finance & Admin Director
Workplace (Health, Safety & Welfare)	Paul Nicholson	Projects Director

In addition, the general responsibilities of Managers and Supervisors, etc. are to:

- Ensure they, and all employees under their control, observe the requirements of this policy;
- Ensure that all employees under their control have received induction and further training, refreshed at periodic intervals, relevant to the tasks that they perform;
- Ensure that, where necessary, suitable and sufficient risk assessments/safe systems of work are in place for the tasks undertaken, area of work or individuals at work;
- Ensure that arrangements are agreed with contractors to avoid conflicts with work, and that where necessary, suitable risk assessments/method statements are in place and are being observed;
- Ensure that all relevant health and safety information is communicated or distributed;
- Ensure that their area of control is kept tidy, that good housekeeping is maintained and that any waste is removed promptly;
- Ensure that all work equipment is in good condition, adequately maintained and guarded;
- Ensure that all hazardous substances are marked, used, stored or handled in accordance with relevant guidance and procedures;
- Ensure, where appropriate, that suitable and sufficient personal protective equipment is provided to and worn by persons in their area of control;
- Instigate relevant emergency procedures, where necessary, else ensure that the procedures are regularly tested;
- Assess, follow up and record any health and safety concerns from employees, and ensure that they are dealt with, or referred, in a timely manner;
- Contribute and participate in Health and Safety Committee Meetings as required and directed.
- Ensure that all accidents and incidents are correctly reported, recorded and investigated and that action is taken to prevent a reoccurrence; and
Attend relevant health and safety meetings when requested.

Managers and Supervisors are employees, and must also see section 2.3.3 Responsibilities of Employees.

2.3.3 Responsibilities of Employees

It is the responsibility of all employees to co-operate in the implementation of this Health and Safety Policy. All employees have a duty to ensure their own safety and the safety of others, e.g. co-workers, contractors working on the same premises and customers or visitors to the premises).

The general responsibilities of employees are to:

- Adhere to the information, instruction and training they have received;
- Not operate any vehicle or machinery that they are not competent and authorised to use;
- Not interfere with or misuse anything provided in the interests of health and safety;
- Report all defects in plant, equipment or materials, or any other obvious health and safety hazards, accidents, injuries and dangerous occurrences to their Supervisor or Manager;
- Ensure that appropriate action is taken to rectify unsafe systems or actions; and

- Ensure good housekeeping at all times to prevent incidents where possible, e.g. cleaning up a spillage immediately after it has occurred. Other responsibilities are detailed in the Health and Safety Handbook that accompanies this policy.

2.3.4 Responsibilities of Contractors

It is the responsibility of contractors to co-operate in the implementation of this health and safety policy, and to follow all instruction provided by the contact at the organisation.

The general responsibilities of contractors are to:

- Familiarise themselves with so much of this health and safety policy as affect them and will ensure that appropriate information is communicated to their employees, and/or any sub-contractors who will do work on behalf of the organisation;
- Provide a current copy of their health and safety policy, and any other relevant documentation, to the organisation when requested;
- Ensure that any work is carried out in accordance with relevant statutory provisions, guidance and best practice, and in such a manner as to not put either themselves or any other persons at risk;
- Ensure that all plant and equipment brought onto the premises is in a safe condition, good working order and conforms to all relevant statutory provisions, e.g. guarding, examination and testing, etc.;
- Ensure that all hazardous substances brought onto the premises are marked, used, stored or handled in accordance with relevant guidance and procedures. Any substances with a significant health, fire or explosion risk, must be notified in advance to their contact at the organisation;
- Ensure that all fire prevention and precaution measures appropriate to the work are taken;
- Ensure steps are taken to minimise noise and vibration produced by their equipment and activities;
- Ensure that their work area is kept tidy, that good housekeeping is maintained and that any waste is removed as appropriate;
- Ensure that all accident and incidents are reported as soon as possible to their contact at the organisation; and
- Ensure that welfare facilities provided by the organisation are treated with care and respect.

2.3.5 Responsibilities of the Health and Safety Consultant

Cope Safety Management Limited has been retained as an external safety advisor. This role has no executive authority.

In general, the responsibilities of the health and safety consultant are to:

- Assist the organisation with the implementation and monitoring of this policy and its arrangements;
- Conduct site safety inspections, at a frequency requested by the organisation;
- Provide assistance with the development, writing, implementation and monitoring of risk assessments/safe systems of work, etc.;
- Provide written and verbal support and assistance to representatives of the organisation with regards to health and safety; and

- Ensure that management are reminded of the need to review and revise the policy and its arrangements, as necessary.

Additional services may be provided by arrangement, e.g., accident and incident investigation and liaison with enforcing authorities, attendance at health and safety meetings, training provision, etc.

2.3.6 Work Safe Policy

Under the Management of Health and Safety at Work Regulations 1999, every employee has the right to refuse to carry out work that they believe to be unsafe.

Where an employee feels that the work they are asked to do is unsafe they must report it immediately to their Supervisor or Manager.

If it is their Supervisor or Manager who has asked them to carry out the work, they may report to a safety representative or direct to a Director. Work will not be recommenced until the safety concerns have been assessed, and any reasonable concerns addressed.

All refusals to work on safety grounds must be recorded, along with the findings of the assessment and actions taken to address the concerns.

No employee raising justifiable safety concerns will be subject to any related disciplinary action, discharge, suspension, laying-off, demotion or any financial or other penalty.

3.1 Asbestos

Management of asbestos in non-domestic premises

All types of asbestos are dangerous. Asbestos is made up of thin fibers that cannot be seen with the naked eye but can be breathed in. The fibers can become stuck in the lungs causing scars that stop the lungs working properly (asbestosis), or cause cancer. The main types of cancer caused by asbestos are cancer of the lung and cancer of the lining of the lung (mesothelioma). These diseases can take from 15 to 60 years to develop and there is no cure.

Anyone who disturbs asbestos-containing materials, for example, by working on them or near them, may be at risk of exposure. The Control of Asbestos Regulations 2012 places responsibilities on duty holders to manage asbestos in non-domestic properties.

The relevant duty holder has responsibilities to manage asbestos in non-domestic properties, they:

- Will take reasonable steps to find out if there are materials containing asbestos in the premises and, if so, how much, where they are and what condition they are in. This will involve a survey being undertaken by a competent person. The results of the survey will be recorded and the information provided to anyone who may work on, or disturb, the materials, for example, contractors;
- Will develop a plan to manage materials containing asbestos on the premises. In some cases, asbestos can be safely left in place and a system of inspection introduced. Where asbestos is to be removed, the duty holder will use a contractor who holds a license to work on asbestos (exemptions apply);
- Will undertake a suitable assessment of the risk to health of employees, and others, before any work is carried out that may expose persons to asbestos. The

assessment should be completed by a competent person. The results of the assessment will be recorded and the information provided to employees, including the control measures in place to prevent exposure; and

- Will review the survey and management plans at regular intervals and revise them as necessary.

Employees:

- Must co-operate with the arrangements for the management of asbestos in non-domestic premises, for example, ask to see a copy of the asbestos survey and be mindful as to where asbestos is present, such that they are able to recognise defects or shortcomings in arrangements; and
- Must notify the duty holder if there any defects or shortcoming in their arrangements.

Work with asbestos

Employees will not carry out any work that involves Asbestos containing materials. Such work will be carried out by licensed contractors only.

Reference(s)

Control of Asbestos Regulations 2012

Resource(s)

L143: Control of Asbestos Regulations 2012. Approved Code of Practice and Guidance

HSG264 Asbestos: The Survey Guide

HSG247 Asbestos: The Licensed Contractors' Guide

Further information and guidance is available at www.hse.gov.uk

3.2 Confined Spaces

The definition of a confined space includes any space of an enclosed nature where there is a risk of death or serious injury from hazardous substances or dangerous conditions (e.g. lack of oxygen).

Known Confined Spaces that Black Sluice IDB employees may encounter as part of their role includes, but is not limited to;

- Pumping Station Pump Chambers
- Manholes
- Inspection Chambers

The employer has a responsibility to avoid work in confined spaces wherever possible, i.e. by ensuring that the work can be done from outside. However, where work in confined spaces cannot be avoided, they:

- Will carry out a suitable and sufficient assessment of the hazards and risks associated with the work, i.e. the task, the working environment, the materials and tools to be used, the suitability of those carrying out the task, and the arrangements for emergency rescue;
- Will appoint competent people to help manage the risks and make sure that employees are adequately trained and instructed;

- Will appoint a Supervisor with the responsibility to ensure that the necessary precautions are taken, and check safety at each stage;
- Will implement a safe system of work and ensure that it is followed, this will include but may not be limited to:
 - Ensuring the effective isolation of mechanical and non-mechanical, e.g. electrical, services;
 - Ensuring that the confined space is effectively cleaned or purged before entry;
 - Ensuring safe access and exit, particularly if those completing the task are to wear bulky equipment;
 - Ensuring that the confined space remains adequately ventilated;
 - Arranging for a competent person to test the air as often as necessary, as determined by the suitable and sufficient assessment, to check that it is free from both toxic and flammable vapours and that it is fit to breathe;
 - Providing special equipment, e.g. non-sparking tools and specially protected lighting, where flammable or potentially explosive atmospheres are likely, etc.; and
 - Providing breathing apparatus, where necessary, if the air inside the confined space cannot be made fit to breathe.
- Will ensure that employees undertaking the work have sufficient experience and training;
- Will, where the risk assessment highlights exceptional constraints as a result of the physical layout, ensure that employees are of suitable build, do not suffer from claustrophobia and are fit to wear breathing apparatus;
- Will put in place adequate emergency arrangements before the work starts, i.e. to cover the necessary equipment, training and practice drills;
- Will ensure there are adequate systems in place to enable communication between people inside and outside the confined space and to summon help in an emergency;
- Will have someone positioned outside the confined space to keep watch and to communicate with anyone inside, raise the alarm quickly in an emergency, and take charge of the rescue procedures;
- Will implement a permit-to-work system where appropriate, to ensure a formal check is undertaken to make sure all the elements of a safe system of work are in place before people are allowed to enter or work in the confined space;
- Will provide suitable rescue equipment and enhanced first aid kit with an FAW First Aider available.
- Will ensure that rescuers are properly trained, sufficiently fit to carry out their task, ready at hand, and capable of using any equipment provided for rescue, e.g. breathing apparatus, lifelines and fire-fighting equipment;
- Will ensure that any adjacent plant is shut down before any rescue is attempted;
- Will ensure that there are trained first aiders available to make proper use of any necessary first-aid equipment provided; and
- Will have procedures in place to ensure that the emergency services are made aware of an incident and ensure that the relevant information is provided to them on arrival.

Employees:

- Must follow the safe system of work in place;
- Must understand and initiate the emergency arrangements, as necessary; and

- Must report any defects or shortcomings in arrangements, and particularly in control measures, to their Supervisor or Manager immediately.

Reference(s)

Confined Spaces Regulations 1997

Resource(s)

L101: Safe Work in Confined Spaces. Confined Spaces Regulations 1997. Approved Code of Practice, Regulations and Guidance
HSG258 Confined Spaces: A Brief Guide to Working Safely

Further information and guidance is available at www.hse.gov.uk

3.3 Construction (Design and Management)

The Regulations identify various duty holders and their roles to ensure health and safety is managed throughout the design and construction phase of a project. These duty holders include client, domestic client, designer, principal designer, principal contractor, contractor and worker. As defined by the Regulations it is likely the organisation could undertake one or more of the following roles:

Clients:

- Will make suitable arrangements for managing a project, including the allocation of sufficient time and other resources;
- Will ensure that these arrangements are maintained and reviewed throughout the project;
- Will provide pre-construction information as soon as is practicable to every designer and contractor appointed, or being considered for appointment, to the project;
- Will ensure that, before the construction phase begins, a construction phase plan is drawn up by the contractor if there is only one contractor, or the principal contractor;
- Will ensure that the principal designer prepares a health and safety file for the project, which is revised from time to time to incorporate any new information;
- Will, if there is more than one contractor, appoint in writing, a principal designer and a principal contractor, before the construction phase begins; and
- Will, where a project is notifiable, give notice in writing to the Executive as soon as is practicable before the construction phase begins.

A project is notifiable if the construction work is scheduled to:

- Last longer than 30 working days and have more than 20 workers working simultaneously at any point in the project; or
- Exceed 500 person days.

All designers or contractors appointed to work on a project must have the skills, knowledge and experience and, if they are an organisation, the capability to fulfil the role in a manner that secures the health and safety of any person affected by the project.

Designers:

- Will not commence work in relation to a project unless satisfied that the client is aware of their duties;

- Will eliminate, take steps to reduce or foreseeably control the risks that may arise during construction and the maintenance and use of a building once it is built; and
- Will provide sufficient information to other members of the project team to adequately assist them to comply with their duties.

Principal Designers:

- Will plan, manage and monitor the pre-construction phase and coordinate matters relating to health and safety during the pre-construction phase;
- Will prepare a health and safety file; and
- Will ensure that the health and safety file is appropriately reviewed, updated and revised from time to time.

Principal Contractors:

- Will, before setting up a construction site, draw up a construction phase plan;
- Will ensure that the construction phase plan is appropriately reviewed, updated and revised from time to time;
- Will plan, manage and monitor the construction phase and coordinate matters relating to health and safety during the construction phase;
- Will organise cooperation between contractors;
- Will ensure suitable site induction is provided;
- Will take necessary steps to prevent access by unauthorized persons to the construction site;
- Will ensure welfare facilities are available on the first day of work and throughout the construction phase. In addition, ensure that the welfare facilities are of sufficient size to accommodate all those on site who will use them, and ensure they are adequately cleaned and maintained; and
- Will make and maintain arrangements to ensure all those engaged in construction work cooperate effectively and consult on matters connected with the project which may affect their health and safety.

Contractors:

- Will not carry out construction work unless satisfied that the client is aware of their duties;
- Will plan, manage and monitor construction work carried out under their control;
- Will, where there is more than one contractor working on a project, ensure there is coordination with others involved;
- Will provide each worker under their control with appropriate supervision, instructions and information;
- Will check that suitable and sufficient welfare facilities have been provided and are being maintained; and
- Will prepare a construction phase plan where we are the only contractor on the project. Workers:
- Must take care of their own health and safety and that of others who may be affected by their actions;
- Must report anything they see which is likely to endanger their own or others health and safety; and
- Must co-operate with their employer, other workers, contractors and other duty holders.

The Regulations contain general requirements for all construction sites that must be complied with, including:

- Safe places of construction work;
- Good order and site security;
- Stability of structures;
- Demolition and dismantling;
- Explosives;
- Excavations;
- Cofferdams and caissons;
- Reports of inspections;
- Energy distribution installations;
- Prevention of drowning;
- Traffic routes;
- Vehicles;
- Prevention of risk from fire, flooding or asphyxiation;
- Emergency procedures;
- Emergency routes and exits;
- Fire detection and fire-fighting;
- Fresh air;
- Temperature and weather protection; and
- Lighting.

Schedule 2 to the Regulations contains the minimum welfare facilities required for construction sites.

Reference(s)

Construction (Design and Management (Regulations) 2015

Resource(s)

L144: Construction (Design and Management) Regulations 2015. Approved Code of Practice

HSG33: Health and Safety in Roof Work

HSG47: Avoiding Danger from Underground Services

HSG65: Managing for Health and Safety

HSG144: The Safe Use of Vehicles on Construction Sites

HSG150: Health and Safety in Construction

HSG151: Protecting the Public

HSG168: Fire Safety in Construction

Further information and guidance is available at www.hse.gov.uk

3.4 Control of Contractors

Both employers and contractors have responsibilities under health and safety legislation. Many contractors are employers too. Everyone needs to take the right precautions to eliminate or reduce health and safety risks to employees and the public.

Employers:

- Will identify all aspects of the work they want a contractor to do and consider the health and safety implications of the work;

- Will provide all potential contractors with this information and make sure they know and understand the performance expected of them;
- Will satisfy themselves that a chosen contractor can do the job safely and without risks to health. This means making enquiries about the competence of the contractor;
- Will ensure that the risk assessment for the work activities of the organisation covers risks to contractors and with the contractor consider any risks from each other's work that could affect the health and safety of the workforce or anyone else;
- Will agree any measures needed to control risk with the contractor before work starts, among other things to ensure that contractors are aware of hazards on site, e.g. the presence of asbestos containing materials;
- Will communicate, co-operate and co-ordinate with the contractor throughout the process and ensure that the contractor and their employees have information on health and safety risks they may face, the measures in place to deal with those risks and any emergency procedures;
- Will provide clear instructions, information and adequate training for their own employees;
- Will consult with their own employees on health and safety matters and how the contractor's work will affect their health and safety, making sure they know how to raise any concerns they may have about the contractors and their work;
- Will manage the contractor's work consistent with the level of risk;
- Will take prompt and appropriate action if contractors are observed working not in accordance with their risk assessments, or safety systems of work/method statements; and
- Will ensure that permits to work are arranged and completed as required.

Employees:

- Must co-operate with the arrangements for work with contractors; and
- Must report any defects or shortcomings in arrangements, and particularly in control measures, to their Supervisor or Manager immediately.

Reference(s)

Management of Health and Safety at Work Regulations 1999
Construction (Design and Management) Regulations 2015

Resource(s)

HSG150: Health and Safety in Construction
HSG159: Managing Contractors

Further information and guidance is available at www.hse.gov.uk

3.5 Display Screen Equipment

The Health and Safety (Display Screen Equipment) Regulations 1992 apply to workers who use DSE daily, for an hour or more at a time. We describe these workers as 'DSE users'. The regulations don't apply to workers who use DSE infrequently or only use it for a short time.

Incorrect use of DSE or poorly designed workstations or work environments can lead to pain in necks, shoulders, backs, arms, wrists and hands as well as fatigue and eye strain. The causes may not always be obvious.

The purpose of this is to state who is responsible and what they must do in order to minimise any possible health and safety risks to users which are associated with display screen equipment work.

Manager Responsibilities:

- You must ensure that for all users, for which you have responsibility, a Health and Safety Executive DSE workstation assessment is carried out and a record kept in the 'Display Screen Equipment' section of the Health and Safety files. In practice this means that there will be a completed HSE workstation assessment form for each DSE user.
- DSE Workstation Assessments should be carried out in conjunction with the user so as to provide training. The DSE assessment can be found at Appendix 01.
- If working from home is required, an additional health and safety workstation assessment should be completed.
- You must progress reasonable requests from users for any items identified as a result of carrying out the DSE workstation assessment and, which will significantly reduce any ill effects associated with DSE work.
- DSE users should have an eye and eyesight test every two years and you must arrange for this to be undertaken and the costs of the eye and eyesight test reimbursed.
- The Board will contribute a maximum contribution of £200 in any 2 year period to those prescribed normal corrective appliances to undertake DSE work.

DSE User Responsibilities:

- You must co-operate with your manager and assist them in carrying out the DSE workstation assessment detailed above.
- You must notify your manager if you become aware of any ill effects associated with your DSE work so that the DSE workstation assessment may be reviewed.

Reference(s)

Health and Safety (Display Screen Equipment) Regulations 1992 (as amended)

Resource(s)

L26: Work with Display Screen Equipment: Health and Safety (Display Screen Equipment) Regulations 1992 as Amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002

Further information and guidance is available at www.hse.gov.uk

3.6 Electricity

Electricity can kill or severely injure people and cause damage to property. Every year many accidents at work involving electric shock or burns are reported to the Health and Safety Executive (HSE). Most of the fatal incidents are caused by contact with overhead power lines. Even non-fatal shocks can cause severe and/or permanent injury, e.g. shocks from faulty equipment may lead to falls from ladders, scaffolds or other work platforms. Those using or working with electricity may not be the only ones at risk – poor electrical installations and faulty electrical appliances can lead to fire, which may also cause death or injury to others.

The use of electricity in environments cannot be avoided as it is in nearly all working premises. Working safely with electricity and electrical equipment is vital.

Employers:

- Will ensure all systems (and conductors in a system) are of such construction as to prevent, so far as is reasonably practicable, danger. This includes the suitable insulation, protection and placing of conductors, and earthing or other suitable precautions to protect against faults and excess current;
- Will ensure all systems are maintained, so as to prevent, so far as is reasonably practicable, such danger;
- Will ensure every work activity, including operation, use and maintenance of a system and work near a system, is carried out in such a manner as not to give rise to danger;
- Will ensure any equipment provided to protect persons at work on or near electrical equipment is suitable, maintained and properly used;
- Will ensure that no electrical equipment is put into use where its strength and capability may be exceeded in such a way as to give rise to danger;
- Will ensure that any electrical equipment that may reasonably be exposed to mechanical damage, the effects of the weather, the effects of wet, dirty dusty or corrosive conditions, or any flammable or explosive substance, is of such construction or as necessary constructed as to prevent, so far as is reasonably practicable, danger;
- Will ensure, where necessary to prevent danger, suitable means are available for cutting off the supply of electrical energy and isolating it;
- Will ensure adequate precautions are taken to prevent electrical equipment, which has been made dead in order to prevent danger while work is carried out on or near that equipment, from becoming electrically charged during that work;
- Will not allow any person to engage in work on or near live conductors unless it is unreasonable in all circumstances for it to be so, and suitable precautions are taken to prevent injury; and
- Will not allow any person to engage in any work activity associated with electrical equipment, without adequate technical knowledge or experience (unless that person is under such a degree of supervision from someone who such knowledge and experience).

Employees:

- Must co-operate with their employer to enable the duties placed on them to be complied with; and
- Must comply with the any of the above provision so far as they relate to matters within their control.

Reference(s)

Electricity at Work Regulations 1989

Resource(s)

HSR25: Memorandum of Guidance on the Electricity at Work Regulations 1989. Guidance on Regulations

HSG85 Electricity at Work: Safe Working Practices

HSG107: Maintaining Portable Electrical Equipment

HSG230: Keeping Electrical Switchgear Safe

Further information and guidance is available at www.hse.gov.uk

3.7 Fire

The cost of a serious fire can be high and many businesses fail to recover. The consequences of fire include property and stock damage, lost business and increased insurance premiums – moreover fire can seriously injure and kill.

The responsible person(s), Finance & Admin Director (Office), Maintenance Director (Depot) and Projects Director (pumping stations), have a duty to ensure that any fire risks are identified, evaluated, removed or reduced to ensure persons are protected, so far as is as reasonably practicable. Relevant persons include employees, visitors, contractors and members of the public.

Responsible Person(s):

- Will carry out a suitable and sufficient fire risk assessment, considering the presence of dangerous substances, ignition and oxygen sources, and the risk(s) presented to persons from fire, to determine whether further precautions are required to remove or reduce the risk and protect persons;
- Will record the significant findings of their fire risk assessment if they employ five or more persons and ensure this is communicated to relevant persons;
- Will nominate one or more competent persons, depending on the size and use of the premises to carry out the precautions identified by the risk assessment. A competent person is someone with the knowledge, training and/or experience to implement the precautions properly;
- Will provide employees, and other relevant persons, with clear and relevant information, instruction and training on the risk of fire and the measures taken to protect them. There is particular emphasis on those persons at specific risk, for example, persons with a disability, young persons, etc.;
- Will co-operate and co-ordinate with other responsible persons for shared premises;
- Will establish a suitable means of contacting the emergency services and providing relevant information regarding the risk from dangerous substances, and liaise with the emergency services and enforcing authority where necessary; and
- Will ensure that the premises and any equipment provided in connection with fire detection and warning, firefighting, emergency routes and exits are covered by a suitable system of maintenance and are maintained by a competent person in an efficient state, working order and good repair.

Relevant Persons, including employees:

- Must co-operate with the responsible person(s) to ensure the workplace is safe from fire and its effects, and must not do anything that will place themselves or others at risk;
- Must inform the responsible person(s), or other person with specific responsibility, of any work situation presenting a serious and immediate danger, or shortcoming in arrangement that may result in such danger; and
- Must follow all training and instruction received.

Reference(s): Regulatory Reform (Fire Safety) Order 2005

Resource(s)

HSG51: Storage of Flammable Liquids in Containers

HSG168: Fire Safety in Construction

HSG176: Storage of Flammable Liquids in Tanks

Further information and guidance is available at www.hse.gov.uk

3.8 First Aid & Accident Reporting

The purpose of first aid is to preserve life, prevent a condition from becoming worse and promote recovery. All employers have a duty to make arrangements to ensure their employees receive immediate attention if they are injured or taken ill at work.

An employer should make an assessment of first aid needs, appropriate to the circumstances of each workplace, to ensure that sufficient first aid personnel, equipment and facilities are available.

Based on that assessment, where an employer provides first aiders in the workplace, they should have a valid certificate of competence in either first aid at work (FAW) or emergency first aid at work (EFAW). EFAW training enables a first aider to give emergency first aid to someone who is injured or becomes ill at work, whereas FAW training additionally equips a first aider to deal with a range of injuries and illnesses. An appointed person is not a first aider, but someone to look after the first aid equipment, facilities and call the emergency services when required. The following table serves as a guide as to how many first aiders or appointed persons are needed.

Degree of Hazard	Numbers Employed at any Location	Suggested Number of First Aid Trained Personnel at all Times People are at Work
Low hazard, e.g. offices, shops and libraries	Less than 25	At least one appointed person
	25 – 50	At least one first aider trained in EFAW
	More than 50	At least one first aider trained in FAW for every 100 employed (or part thereof)
Higher hazard, e.g. light engineering and assembly work, food processing, warehousing, extensive work with machinery or sharp instruments, construction and chemical manufacturing	Fewer than 5	At least one appointed person
	5 – 50	At least one first aider trained in EFAW or FAW depending on the type of injuries that might occur
	More than 50	At least one first aider trained in FAW for every 50 employed (or part thereof)

Due to the nature of the work undertaken by the Board's workforce and a large proportion of the work being lone working, all Board employees are trained in Emergency First Aid at Work. The Board also has the following employees trained in First Aid at Work:

- Chief Executive
- Maintenance Director
- Laborer
- Ganger (Forestry First Aid)

In addition to the above, employers must account for:

- Additional training to deal with injuries resulting from special hazards;
- Inexperienced workers or employees with disabilities;
- Employees who work remotely or alone;
- Employees who work shifts or out of hours;
- Workplaces remote from emergency medical services;
- Employees working at sites occupied by other employers;
- Planned and unplanned absences by first aiders or appointed persons; and
- Members of the public who visit the workplace.

All businesses must have appropriate means for enabling first aid at work. Following any accident there is a requirement for the employee to report accident details to the employer. The employer then has a duty to investigate the accident and notify it the enforcing authorities, where appropriate.

Managers:

- Will ensure that an ambulance or other professional help is summoned as soon as possible by the most appropriate means or other arrangements are made, as necessary;
- Will ensure that they have an adequate number of first aid personnel in their area, and that the number of first aid personnel is monitored and reviewed;
- Will ensure that there are an adequate number of first aid boxes in the workplace, and that they are suitably stocked, and properly identified;
- Will provide means for the accident or near miss to be recorded and check that the accident details are a full and correct account of the accident;
- Will follow up accidents and ensure that any remedial actions, where required, are carried out, to prevent recurrence;
- Will ensure that the Incident Contact Centre are notified where appropriate using the correct reporting method; and
- Will monitor and review accidents to ensure the effectiveness of these arrangements.

Employees:

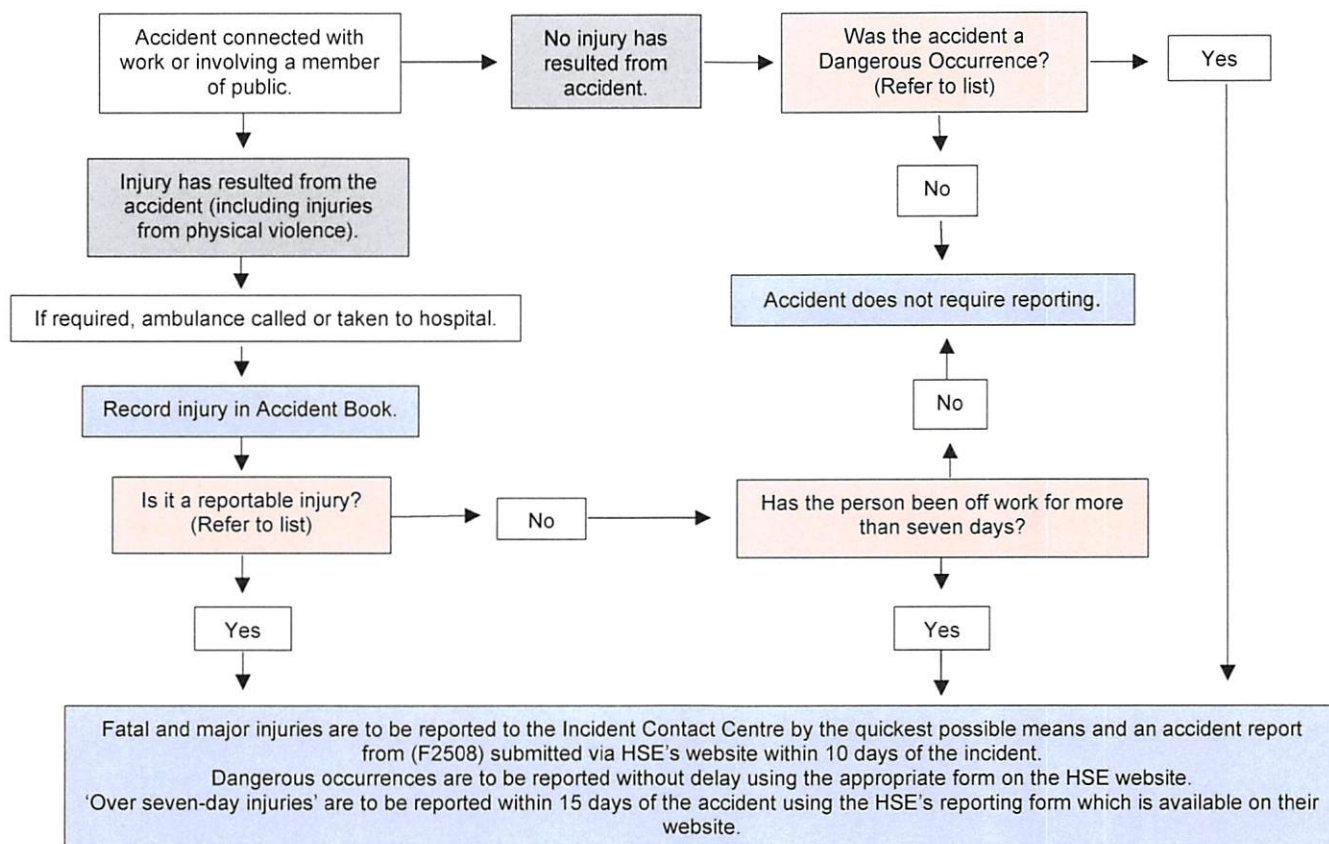
- Must advise management of all accidents and near misses. When you are injured at work, the law says that you must tell your employer as soon as possible. You do this by ensuring that details of the accident are recorded in the Accident Book;
- Must look after your own safety and the safety of others who may be affected by your acts or omissions; and
- Must use work equipment and personal protective equipment correctly, and not misuse any item of equipment. If an accident does occur report it to your Supervisor or Manager immediately.

Reporting of Incidents

Employers, or other responsible persons (dependent on the status of the injured party or workplace), are required to report and keep records of:

- Work related accidents which cause death;
- Work related accidents which cause certain serious injuries;
- Diagnosed cases of certain industrial diseases; and
- Certain dangerous occurrences.

The diagram overleaf is provided to help decide when an incident should be reported to the Incident Contact Centre.



Deaths

All deaths to workers and non-workers, with the exception of suicides, must be reported if they arise from a work-related accident, including an act of physical violence to a worker. This applies for up to one year following the date of the accident.

Specified Injuries

Any of the following specified injuries must be reported:

- Any fracture, other than fingers, thumbs or toes;
- Any amputation;
- Any injury likely to lead to permanent loss of sight or reduction in sight in one or both eyes;
- Any crush injury to the head or torso causing damage to the brain or internal organs;
- Serious burns (including scalding) which:
 - Cover more than 10% of the body; or
 - Cause significant damage to the eyes, respiratory system or other vital organs.
- Any scalping requiring hospital treatment;
- Any loss of consciousness caused by head injury or asphyxia;
- Any other injury arising from working in an enclosed space which:
 - Leads to hypothermia or heat-induced illness; or
 - Requires resuscitation or admittance to hospital for more than 24 hours.

Over-seven-day Incapacitation of a Worker

Accidents must be reported where they result in an employee or self-employed person being away from work, or unable to perform their normal work duties, for more than seven consecutive days as a result of their injury. This seven day period does not include the day of the accident, but does include weekends and rest days.

Over-three-day Incapacitation of a Worker

Accidents must be recorded, but need not be reported, where they result in a worker being incapacitated for more than three consecutive days.

Injuries to Non-workers (e.g. Members of the Public)

Work-related accidents to members of the public, or others who are not at work, must be reported if they result in an injury, and the person is taken directly from the scene of the accident to hospital for treatment to that injury. Examinations and diagnostic tests do not constitute 'treatment' in such circumstances. There is no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent.

If the accident occurred at a hospital, the report only needs to be made if the injury is a specified injury (as above).

Dangerous Occurrences

Dangerous occurrences, irrespective of any personal injury resulting, should also be reported to the Incident Contact Centre. The list below gives a brief guide to the types of dangerous occurrences which should be reported:

- Lifting equipment;
- Pressure systems;
- Overhead electric lines;
- Electrical incidents causing explosion or fire;
- Explosives;
- Biological agents;
- Radiation generators and radiography;
- Breathing apparatus;
- Diving operations;
- Collapse of scaffolding;
- Train collisions;
- Wells;
- Pipelines or pipeline works;
- Structural collapse;
- Explosions or fire;
- Release of flammable liquids and gases; and
- Hazardous escapes of substances.

Further incidents may be reportable for specific workplaces, e.g., quarries.

Occupational Diseases

Where, in relation to a person at work, the responsible person receives a diagnosis of any of the diseases listed below they must follow the correct reporting procedures:

- Carpal Tunnel Syndrome, where the person's work involves regular use of percussive or vibrating tools;
- Cramp in the hand or forearm, where the person's work involves prolonged periods of repetitive movement of the fingers, hand or arm;
- Occupational dermatitis, where the person's work involves significant or regular exposure to a known skin sensitiser or irritant;
- Hand Arm Vibration Syndrome, where the person's work involves regular use of percussive or vibrating tools, or holding materials subject to percussive processes, or processes causing vibration;
- Occupational asthma, where the person's work involves significant or regular exposure to a known respiratory sensitiser; or

- Tendonitis or tenosynovitis in the hand or forearm, where the person's work is physically demanding and involves frequent, repetitive movements.

Exposure to Carcinogens, Mutagens and Biological Agents

Where, in relation to a person at work, the responsible person receives a diagnosis of:

- Any cancer attributed to an occupational exposure to a known human carcinogen or mutagen (including ionising radiation); or
- Any disease attributed to an occupational exposure to a biological agent.

Reporting Injuries, Diseases and Dangerous Occurrences

Fatal and major injuries must be reported by the quickest possible means to the Incident Contact Centre, and followed up by the completion of the 'Report of an injury' form available via the HSE website within 10 days of the incident (see www.hse.gov.uk/riddor).

Dangerous occurrences must be reported without delay by way of completion of the appropriate form on the website. Over-seven-day injuries must be reported by completing the 'Report of an injury' form within 15 days of the incident.

Cases of occupational diseases, including those associated with exposure to Carcinogens, Mutagens or Biological Agents, must be reported as soon as the responsible person receives a diagnosis, using the appropriate on-line form.

The responsible person is required to keep records of every event which must be reported, and records of injuries that result in a person unable to carry out their normal duties for more than three days, for at least three years.

Reference(s)

Health and Safety (First Aid) Regulations 1981

Resource(s)

L74: First Aid at Work. Health and Safety (First Aid) Regulations 1981. Guidance on Regulations

Further information and guidance is available at www.hse.gov.uk

3.9 Hazardous Substances

Hazardous substances can occur in many forms, including solids, liquids, vapours, gases and fumes. They can also be simple asphyxiants (gases or vapours that can displace oxygen content to such an extent that life cannot be supported) or biological agents (such as bacteria, viruses, fungi and parasites). Special consideration must be given to substances that can cause asthma, cancer or other irreversible effects.

Separate Regulations cover other specific hazardous substances, such as asbestos, lead, ionising radiation and flammable/explosive substances.

The employer should regard a substance or preparation (a mixture of two or more substances) as hazardous if it has the potential to cause harm if it is ingested, inhaled, absorbed by, or comes into contact with, the skin, or other body membranes, including by injection.

Employers:

- Will not carry out any work which can expose any of their employees to any substances hazardous to health until a suitable and sufficient assessment of the risk to employees' health created by that work has been carried out; and the steps needed to prevent or adequately control exposure have been identified and put into operation;
- Will ensure that the person (or persons) who carries out the assessment and provides information of the prevention and control measures are competent to do so;
- Will consult employees and/or their safety representative on any measures they plan to introduce as a result of an assessment;
- Will establish procedures to ensure that control measures, including personal protective equipment and any other item or facility, are properly used or applied and are not made less effective by other work practices or by improper use;
- Will ensure that any control measure, including engineering controls and personal protective equipment, is maintained in an efficient state, in efficient working order and in a clean condition;
- Will ensure that any control measure, including systems of work and supervision, are reviewed at suitable intervals and revised as necessary;
- Will ensure that in the case of engineering controls, thorough examination and testing is carried out at suitable intervals. In the case of local exhaust ventilation this is at least once every 14 months (unless for a specified process). Records are to be kept for 5 years;
- Will ensure that in the case of respiratory protective equipment (other than disposable), thorough examination and testing is carried out at suitable intervals. Records are to be kept for 5 years;
- Will ensure that the person (or persons) who carries out maintenance, examination and testing of control measures are competent to do so;
- Will ensure, where the risk assessment indicates it is requisite for ensuring the maintenance of adequate control, or to otherwise protective the health of employees, that the exposure of employees to substances hazardous to health is monitored;
- Will ensure that in the case of exposure monitoring, it is completed at regular intervals. Records are to be kept for 5 years (40 years where a record contains the personal monitoring data of an individual employee);
- Will ensure that any person (or persons) who carries out exposure monitoring are competent to do so;
- Will ensure, where it is appropriate for the protection of health, that employees who are, or are likely to be, exposed to substances hazardous to health, are under suitable health surveillance;
- Will ensure that in the case of health surveillance, it is completed at regular intervals. Records are to be kept for 40 years;
- Will ensure that any person (or persons) who carries out health surveillance are competent to do so;
- Will provide employees with suitable and sufficient information, instruction and training to include details of the substances hazardous to health to which they are likely to be exposed, the significant findings of the risk assessment, the precautions in place to safeguard them and others (including hygiene arrangements) and the results of any monitoring; and
- Will ensure that procedures are in place, including the provision of appropriate first-aid facilities, warning and communication systems and relevant safety drills, in order to protect the health of employees from an accident, incident or emergency.

Employees:

- Must use the control measures in the way they are intended and as they have been instructed, including following defined methods of work;
- Must wear any personal protective equipment provided, correctly, in accordance with the manufacturer's instructions, when they have been advised it is required;
- Must ensure that any personal protective equipment is stored, when not in use, in the accommodation that is provided to prevent damage;
- Must use the welfare facilities provided to maintain a high standard of personal hygiene;
- Must remove any personal protective equipment which could cause contamination before eating drinking or smoking;
- Must report any defects noted with regards to personal protective equipment to the appropriate person promptly; and
- Must not use damaged personal protective equipment.

Reference(s)

Control of Substances Hazardous to Health Regulations 2002 (as amended)

Resource(s)

L5: Control of Substances Hazardous to Health Regulations 2002. Approved Code of Practice and Guidance on Regulations

L8: Control of Legionella Bacteria in Water Systems. Approved Code of Practice and Guidance on Regulations

EH40/2005: Workplace Exposure Limits (as amended)

HSG53: Respiratory Protective Equipment at Work

HSG97: A Step by Step Guide to COSHH Assessment

HSG167: Biological Monitoring in the Workplace

HSG173: Monitoring Strategies for Toxic Substances

HSG187: Control of Diesel Engine Exhaust Emissions in the Workplace

HSG258: Controlling Airborne Contaminants at Work

HSG262: Managing Skin Exposure Risks at Work

HSG274: Legionnaires' Disease

Further information and guidance is available at www.hse.gov.uk

3.10 Health and Safety Management

Organisations have a legal duty to put in place suitable arrangements to manage health and safety.

Employers:

- Will make a suitable and sufficient assessment of the risks to the health and safety of employees to which they are exposed whilst at work; and the risks to others, such as contractors, visitors and members of the public arising out of or in connection with the undertaking;
- Will review the assessment when there is reason to believe it is no longer valid; or there has been a significant change in the matters to which it relates;
- Will not employ a young person unless an assessment has been made taking into account the inexperience, lack of awareness of risks and immaturity of young persons, and that they are protected from any risks to their health and safety as a consequence;

- Will ensure that the significant findings of an assessment are recorded
- Will implement preventive and protective measures on the bases of the following principles of prevention:
 - Avoiding risks;
 - Evaluating the risks that cannot be avoided;
 - Combating the risks at source;
 - Adapting the work to the individual, especially as regards the design of workplaces, the choice of work equipment and the choice of working and production methods;
 - Adapting to technical progress;
 - Replacing the dangerous by the non-dangerous or the less dangerous;
 - Developing a coherent overall prevention policy which covers technology, organisation of work, working conditions, social relationships and the influence of factors relating to the work environment;
 - Giving collective measures priority over individual protective measures; and
 - Giving appropriate instructions to employees.
- Will make and give effect to such arrangements as are appropriate, having regard to the nature of activities and size of undertaking, for the effective planning, organisation, control, monitoring and review of preventive and protective measures;
- Will ensure that the arrangements are recorded
- Will ensure that employees are provided with such health surveillance as is appropriate having regard to the risks that are identified by the assessment;
- Will appoint one or more competent persons to assist with the management of health and safety. Such persons will have sufficient training and experience or knowledge and other qualities to enable them to properly assist;
- Will establish appropriate procedures to be followed in the event of serious and imminent danger;
- Will ensure that any necessary contacts with external services are arranged, particularly as regards first-aid, emergency medical care and rescue work;
- Will provide employees with comprehensive and relevant information on the risks to their health and safety identified by the assessment, and the preventive and protective measures;
- Will co-operate and co-ordinate with other employers, where two or more employers share a workplace (whether on a temporary or permanent basis);
- Will ensure that employees are provided with adequate health and safety training when they are recruited to the undertaking, and when they are exposed to new or increased risk. Training will be repeated periodically where appropriate and take place during working hours;
- Will provide any temporary workers with comprehensible information on the qualifications and skills required to carry out work safely, and any health surveillance required;
- Will include an assessment of the risks to the health and safety of a new or expectant mother or to that of her baby. The employer will, if it is reasonable to do so, and it would avoid the risks, alter the working conditions or hours of work of the expectant mother. If it is not reasonable to avoid any such risks, then she must be suspended from work for as long as is necessary;
- Will ensure that young persons are protected. Regulation 19 requires every employer to ensure that all employees under 18 years old are protected from any risks to their health and safety, which may result from their lack of experience, awareness of existing or potential risks, or lack of maturity.

Employees:

- Must use any machinery, equipment, dangerous substance, transport equipment, means of production or safety device in accordance with any training and instructions given;
- Must inform the employer (if necessary via their safety representative, Supervisor or Manager) of any situation considered to represent serious and immediate danger, or any matter considered to represent a shortcoming in the organisations protection arrangements for health and safety; and
- Must co-operate and communicate with their employer to allow them to fulfil their statutory duties.

Reference(s): Management of Health and Safety at Work Regulations 1999 (as amended)

Resource(s)

L146: Consulting Workers on Health and Safety. Safety Representatives and Safety Committees Regulations 1977 (as Amended) and Health and Safety (Consultation with Employees) Regulations 1996 (as Amended). Approved Code of Practice and Guidance HSG 65: Managing for Health and Safety

Further information and guidance is available at www.hse.gov.uk

3.11 Lifting Operations and Lifting Equipment

Lifting equipment is defined as work equipment for lifting or lowering loads and includes its attachments used for anchoring, fixing or supporting it. Examples include vehicle tail lifts, excavators used for lifting pipes etc., telehandler and forklift trucks.

Lifting accessories are defined as lifting equipment for attaching loads to machinery for lifting. Examples include slings, lifting straps and chains.

Employers:

- Will ensure that work equipment is so constructed or adapted as to be suitable for the purpose for which it is provided, and with regard to the working conditions and the risks to the health and safety of persons in the premises or undertaking in which the equipment is to be used;
- Will ensure that lifting equipment and accessories are of adequate strength and stability for each load, having regard in particular to the stress induced at their mounting or fixing point;
- Will ensure that lifting equipment for lifting persons is suitable to prevent a person using it being crushed, trapped or struck or falling from the carrier, has suitable devices to prevent the risk of a carrier falling and is such that a person trapped in a carrier is not exposed to danger and can be freed;
- Will ensure that lifting equipment is positioned or installed in such a way as to reduce as low as reasonably practicable the risk of the equipment or a load striking a person, or from a load drifting, falling freely or being released unintentionally, and it is otherwise safe;
- Will ensure that there are suitable devices to prevent a person falling down a shaft or hoistway;
- Will ensure that machinery and accessories for lifting loads are clearly marked to indicate their safe working loads;
- Will ensure that work equipment is marked in a clearly visible manner with any markings appropriate for reasons of health and safety;

- Will ensure that every lifting operation involving lifting equipment is properly planned by a competent person, appropriately supervised and carried out in a safe manner;
- Will ensure that before lifting equipment is put into service for the first time that it is thoroughly examined for any defect, unless it has not been used before and is supported by an EC Declaration of Conformity not more than 12 months old, or if it has been obtained from another undertaking and physical evidence is provided that it has been thoroughly examined;
- Will, where the safety of lifting equipment depends on the installation conditions, ensure it is thoroughly examined after installation and before being put into service for the first time, and after assembly and before being put into use at a new site or location;
- Will ensure that lifting equipment which is exposed to conditions causing deterioration which is liable to result in dangerous situations is thoroughly examined at least every 12 months (at least every 6 months in the case of lifting equipment for lifting persons or a lifting accessory), or each time that exceptional circumstances have occurred. Periodic inspections will be carried out between thorough examinations by a competent person to ensure that any deterioration can be detected and remedied in good time;
- Will ensure that defective lifting equipment is not used; and
- Will keep information relevant to all lifting equipment used or available for use, for example, the EC Declaration of Conformity, and every thorough examination and inspection report for up to 2 years.

A person making a thorough examination for an employer:

- Will notify the employer forthwith of any defect in the lifting equipment which in their opinion could become a danger to persons and follow this up with a report in writing; and
- Will, if there is an imminent risk of serious personal injury, send a copy of the above report to the relevant enforcing authority.

Employees:

- Must attend and follow training, information provided, instructions and safe systems of work;
- Must not misuse any equipment provided to them for their safety; and
- Must report any failure of lifting equipment or accessories as soon as it is reasonable to do so.

Reference(s)

Lifting Operations and Lifting Equipment Regulations 1998

Resource(s)

L113: Safe Use of Lifting Equipment. Lifting Equipment and Lifting Operations Regulations 1998. Approved Code of Practice and Guidance

L117: Rider-operated Lift Trucks. Operator Training and Safe Use

Further information and guidance is available at www.hse.gov.uk

3.12 Lone Working

The definition of lone working is an employee who works by themselves without close or direct supervision. Lone working is not in itself against the law and it will often be safe to

do so. However, the law requires employers to consider carefully, and then deal with, any health and safety risks for people working alone.

Employers are responsible for the health, safety and welfare at work of all their workers. They also have responsibility for the health and safety of any contractors or self-employed people doing work for them.

These responsibilities cannot be transferred to any other person, including those people who work alone.

Workers have responsibilities to take reasonable care of themselves and other people affected by their work activities and to co-operate with their employers in meeting their legal obligations.

The duties placed on employers and employees by the Health and Safety at Work etc Act 1974 and the Management of Health and Safety at Work Regulations 1999 are still applicable to lone workers. Employers have a requirement to identify the hazards presented by the work, the risks involved and the introduction of remedial measures to avoid or reduce the risk.

In accordance with the regulations mentioned above, Risk Assessments will be carried out by a competent person to identify the possible hazards before working alone, for example working below overhead cables, working adjacent to water, working with electricity, working in the open. The risk assessment will take into account foreseeable emergencies such as fire, equipment failure, ice, illness and accidents, as well as more job specific factors.

Persons will only be required to work alone if they are considered fit, healthy and competent to deal with the foreseeable risk and the precautions required for the job.

Employers:

- Will assess the risks to lone workers and take steps to avoid or control risks where necessary. Some tasks may be too difficult or dangerous to be carried out unaccompanied, e.g. work in a confined space. In such cases, the employer will arrange assistance;
- Will involve workers when considering potential risks and measures to control them;
- Will take steps to ensure risks are removed where possible, or put in place control measures, e.g. carefully selecting work equipment to ensure the worker is able to perform the required tasks in safety;
- Will provide suitable and sufficient instruction, training and supervision to control, guide and help, particularly for lone workers faced with uncertain situations, and set limits to what can and cannot be done whilst working alone;
- Will review risk assessments periodically or when there has been a significant change in working practice;
- Will, where a lone worker is working at another employer's workplace, inform that other employer of the risks and control measures;
- Will consider both routine and foreseeable emergencies that may impose additional physical and mental burdens on an individual;
- Will take into account an individual's medical fitness for lone working; and

- Will establish emergency procedures and ensure lone workers are provided with information and are trained in their implementation, e.g. arrangements for access to first aid facilities.
- Management will maintain regular communication with the lone worker. In addition, the employee has the responsibility to keep in regular contact with their supervisor and to not take unnecessary risks in order to complete a job alone, this will be detailed within the risk assessment.

Employees:

- Must attend and follow training provided, follow safe systems of work, assessments and emergency procedures that are in place;
- Must take reasonable care of themselves and other people who are affected by their work activities; and
- Must co-operate with their employers with regards to lone working requirements.

Board Provided Worker Devices

- Any employee lone working will be issued with a mobile telephone that has the Peoplesafe Lone Worker Application (App) installed.
- On commencement of work for the day the telephone is to be switched on, GPS location set to 'on' and the Man Down Function turned on in the Peoplesafe App, the Peoplesafe App will automatically begin to log locations.
- On commencement of lone working, the user is to log an activity in the Peoplesafe App and a time the lone working is expected to be completed logged with the monitoring station.
- On completion of lone working the previously logged activity is to be completed. A warning that the timed session is about to end will be received, from there it can be cancelled, or the session extended.
- If the time on the logged activity runs out, with no further action as outlined above, an alarm will automatically be triggered.
- The monitoring station will try to contact the employee to establish their welfare. If this should be unsuccessful they may activate the phones microphone to try and establish the situation to take appropriate further actions. In all cases the monitoring station will escalate to the Board's Officers in the following order;
 - a) Works Supervisor
 - b) Maintenance Director
 - c) Projects Director
 - d) Chief Executive

The above course of action is activated by:

- a) "Man Down" situation activated by the phones sensors and not cancelled
- b) A panic alarm activated by pressing the power button a number of times (the number of times required to raise an alarm is at the discretion of the user and can be from four to ten times).
- c) An escalation as detailed in the above
- d) Clicking the SOS Alarm on the app (requires 3 second press and hold)

Reference(s)

Health and Safety at Work Etc. Act 1974

Management of Health and Safety at Work Regulations 1999

Resource(s): Further information and guidance is available at www.hse.gov.uk

3.13 Manual Handling

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

The employer has a responsibility to avoid or reduce risks to employees from manual handling operations.

Managers:

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

Employees:

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

Reference(s)

Manual Handling Operations Regulations 1992 (as amended)

Resource(s)

L23: Manual Handling. Manual Handling Operations Regulations 1992 (as Amended). Guidance on Regulations

HSG60: Upper Limb Disorders in the Workplace

HSG115: Manual Handling 'Solutions You Can Handle'

Further information and guidance is available at www.hse.gov.uk

3.14 Monitoring Performance

Monitoring and reporting are important parts of any health and safety management system. Checking that risks are being effectively managed is vital in any organisation.

Employers:

- Will demonstrate commitment to the process;

- Will ensure that systems are in place to report performance upwards, so that management are assured that legal compliance is achieved and maintained;
- Will ensure that systems are in place to report serious incidents upwards immediately;
- Will monitor the design, development, installation and operation of management arrangements by arranging, for example, the routine inspection of premises, plant and equipment, health surveillance (where applicable), and planned function check regimes for key pieces of plant to prevent dangerous situations being realised and/or harm to employees;
- Will monitor the evidence of poor health and safety practice, for example, investigating accidents and incidents and monitoring cases of ill-health and sickness absence records, such that lessons can be learnt and transferred to other parts of the business. It will also be necessary to review, and if necessary revise, risk assessments and associated documents;
- Will provide leadership and management that supports and embraces working towards a positive health and safety culture;
- Will ensure employees are trained and skilled for the work they are expected to undertake;
- Will consult with employees on health and safety matters, the risks posed by their work, and the preventative and protective measures in place; and
- Will access competent health and safety advice, as required.

Employees:

- Must attend training provided by the employer and follow the training that has been provided;
- Must communicate with the employer on matters of health and safety;
- Must advise their Supervisor or Manager of any health and safety concerns or defects;
- Must report accidents, incidents and dangerous occurrences/near misses;
- Must follow instructions provided by their employer for their health, safety and welfare; and
- Must ensure their working does not affect the safety of themselves or any person who may be affected by their acts or omission.

The Health and Safety (Consultation with Employees) Regulations 1996 were introduced to ensure that employees working in organisations without recognised trade unions would still be consulted on health and safety matters. Employees will be consulted either on an individual basis or through employee safety representatives, elected by the workforce to be a member of the Board's Health and Safety Committee.

The function of these safety representatives are similar to those outlined above, as are the rights to health and safety training. The employer will consult on issues including the introduction of any measure or change which may substantially affect employees' health and safety, any information resulting from risk assessments or their resultant control measures and the planning and organisation of any health and safety training required by legislation.

Reference(s)

Management of Health and Safety at Work Regulations 1999

Safety Representatives and Safety Committees Regulations 1977

Health and Safety (Consultation with Employees) Regulations 1996

Resource(s)

L146: Consulting Workers on Health and Safety. Safety Representatives and Safety Committees Regulations 1977 (as Amended) and Health and Safety (Consultation with Employees) Regulations 1996 (as Amended). Approved Code of Practice and Guidance HSG 65: Managing for Health and Safety

Further information and guidance is available at www.hse.gov.uk

3.15 Noise

Working in a noisy environment may result in the ill health of employees, including:

- Temporary or permanent damage to hearing, including noise induced hearing loss;
- Fatigue and stress;
- Tinnitus (ringing, whistling, buzzing or humming in the ears), a distressing condition that can lead to disturbed sleep.

All of the above may result in lower than normal performance in the workplace and so in addition to preventing ill health there are real commercial benefits to be obtained from a noise control programme.

The employer has a responsibility to avoid or reduce risks to employees from noise to as low a level as reasonably practicable.

Managers:

- Will ensure that all noise hazards within their area of control are identified. In addition they must estimate, and where necessary measure, likely exposure;
- Will identify relevant control measures and record findings in an action plan. The aim is to protect employees by eliminating or reducing risks using good practice and ensuring that no legal limits are exceeded;
- Will provide hearing protection for those at risk (having already given consideration to other means of noise control) as well as providing and managing hearing protection zones;
- Will consult workers, and/or their safety representatives and allow their participation and provide information, instruction and training about the noise risks, control measures in place, the hearing protection provided and safe working practices;
- Will provide health surveillance (hearing checks) for those at risk and use the results to review controls and further protect individuals;
- Will maintain any noise-control equipment and hearing protection, and ensure that anything supplied is fully and properly used; and
- Will review the arrangements for control of noise at work whenever there is a change to a work practice, a change in noise exposure or new ways are uncovered to reduce risks.

Employees:

- Must co-operate with the arrangements for the control of noise at work, including attending for hearing checks;
- Must use the noise control measures provided and report any defects; and
- Must make full and proper use of the hearing protection provided, especially where its use is mandatory.

Reference(s)

Control of Noise at Work Regulations 2005

Resource(s)

L108: Controlling Noise at Work. Control of Noise at Work Regulations 2005. Guidance on Regulations

Further information and guidance is available at www.hse.gov.uk

3.16 Personal Protective Equipment

Personal protective equipment covers all required personal safety equipment which is intended to be worn or held by a person at work which protects against one or more risks to their health and safety, and any addition or accessory designed to meet that objective. This includes clothing affording protection against the weather.

Employers:

- Will ensure that suitable personal protective equipment is provided, free of charge, to employees who may be exposed to a risk to their health and safety while at work except where and to the extent that such risk has been adequately controlled by other means which are equally or more effective;
- Will ensure that where the presence of more than one risk to health or safety makes it necessary for employees to wear or use more than one item of personal protective equipment simultaneously, such equipment is compatible and continues to be effective against the risk or risks in question;
- Will, before providing any personal protective equipment, ensure that an assessment is made to determine that it will be suitable;
- Will ensure that any personal protective equipment provided to employees is maintained (including being replaced or cleaned as appropriate) in an efficient state, in efficient working order and in good repair;
- Will ensure that appropriate accommodation is provided for personal protective equipment when it is not being used;
- Will ensure that employees are provided with such information, instruction and training as is adequate and appropriate to enable them to know the risks which the personal protective will avoid or limit, the purpose and manner in which it is to be used, and any action to be taken by them to ensure that the equipment remains fit for use; and
- Will take reasonable steps to ensure that any personal protective equipment provided is properly used.

Employees:

- Must use any personal protective equipment in accordance both with any training received and instructions given;
- Must take all reasonable steps to ensure that personal protective equipment is returned to the accommodation provided for it after use;
- Must report any loss or obvious defect to their employer immediately; and
- Must not misuse or willfully damage any personal protective equipment provided for their safety.

Reference(s)

Personal Protective Equipment at Work Regulations 1992 (as amended)

Resource(s)

L25: Personal Protective Equipment at Work. Personal Protective Equipment at Work Regulations 1992 (as Amended). Guidance on Regulations

HSG53: Respiratory Protective Equipment at Work

HSG262: Managing Skin Exposure Risks at Work

Further information and guidance is available at www.hse.gov.uk

3.17 Pressure Systems

A pressure system can be defined as:

- i. one or more pressure vessels of rigid construction, and any associated pipework and protective devices;
- ii. pipework with its protective devices to which a transportable pressure receptacle is, or is intended to be connected; or
- iii. a pipeline and its protective devices.

Which contain or are liable to contain a relevant fluid, but does not include a transportable pressure receptacle.

A relevant fluid can be defined as:

- i. steam;
- ii. any fluid or mixture of fluids which is at a pressure greater than 0.5 bar above atmospheric pressure; or
- iii. a gas or mixture of gases, or a liquid which would turn into a gas if system failure occurred. This covers compressed air as well as other compressed gases, i.e. nitrogen, acetylene and oxygen.

The Board uses a fixed compressor in the workshop and an mobile compressor.

The employer/user:

- Will only operate a pressure system, or allow it to be operated, if safe working limits have been established and communicated;
- Will only operate a pressure system, or allow it to be operated, if a written scheme for the periodic inspection of it (its pressure vessels, pipelines and protective devices) has been drawn up by a competent person;
- Will ensure that those parts of a pressure system included in the scheme of examination are examined by a competent person within the intervals specified in the scheme, and before the system is used for the first time;
- Will not operate, or allow the operation of, a pressure system than has failed an examination, unless the repairs, modifications or changes to the established safe operating limits specified in the examination have been completed;
- Will not operate, or allow the operation of, a pressure system after the expiry date of examination, unless a later date is agreed in writing with the competent person;
- Will provide for any person operating the system adequate and suitable instructions for the safe operation of the system and the action to be taken the event of any emergency;
- Will take reasonable steps to ensure that the system is only operated in accordance with the instructions provided;
- Will ensure that the system is properly maintained in good repair, so as to prevent danger; and
- Will keep records including the last examination by a competent person, any previous reports containing information assessing whether the system is safe to operate, or about any repairs or modifications.

The competent person:

- Will, if they are of the opinion that the pressure system or part of the pressure system being examined will give rise to imminent danger unless certain repairs,

modifications or changes to the operating conditions are made, report this in writing to the user. The competent person will send a written report containing the same details to the HSE under the RIDDOR reporting process.

Employees:

- Must follow the information in place to support the safe use of the equipment;
- Must not use the equipment unless they have been instructed, trained, shown how to use it to a level they require to safely use;
- Must attend training/information sessions provided and follow the training/information provided at all times;
- Must not modify the equipment unless they have been authorised by their employer as competent to do so;
- Must not misuse or interfere with the equipment provided; and
- Must report any concerns or defects to their Supervisor or Manager immediately.

Reference(s)

Pressure Systems Safety Regulations 2000

Resource(s)

L122: Safety of Pressure Systems. Pressure Systems Safety Regulations. Approved Code of Practice

HSG39: Compressed air safety

HSG139: Safe use of compressed gases in welding, flame cutting and allied processes

Further information and guidance is available at www.hse.gov.uk

3.18 Safety Signs and Signals

The Health and Safety (Safety Signs and Signals) Regulations 1996 require employers to use a safety sign where there is a significant risk to health and safety that has not been avoided or controlled by the methods required under other relevant law, provided use of a sign can help reduce the risk.

Safety signs are not a substitute for those other methods of controlling risks such as engineering controls and safe systems of work, but may be of importance to reduce any residual risk after other controls have been put into place.

The requirements apply to all workplaces and to all activities where people are employed, but exclude signs used in connection with transport or the supply and marketing of dangerous substances, products and equipment. The Regulations require, where necessary, the use of road traffic signs in workplaces to regulate road traffic.

There are four different types of sign:



Prohibition

A sign prohibiting behavior likely to increase or cause danger, for example, 'no access for unauthorised persons'.



Warning

A sign giving warning of a hazard or danger, for example, 'danger electricity'.



Mandatory

A sign prescribing specific behavior, for example, 'eye protection must be worn'.



Emergency escape or first aid

A sign giving information on emergency exits, first aid, or rescue facilities, for example, 'emergency exit/escape route'.

Hazards should be controlled as far as practicable by other means such as engineering controls, or safe systems of work. However, when this isn't possible:

Employers:

- Will ensure a suitable and sufficient assessment of the risks has been undertaken and that all necessary controls have been identified and put into place;
- Will make certain appropriate information/instruction/training is provided so that all employees understand the safety signs signals, hand instructions, and audible alarms are understood;
- Will maintain safety signs, signals, and alarms so that they work as required, for example, sounding alarms, cleaning signs;
- Will use the correct type of signs as is required;
- Will, where pipes/containers are not obvious as to what they hold/transport, ensure that they are appropriately marked as to the dangerous substance within, for example, mains gas or steam;
- Will identify rooms/enclosures/stores where amounts of dangerous substances or preparations are held, for example, chemical stores or spray stores;
- Will use signs or signals that are appropriate to the environment, for example, an alarm with no ignition source in an explosive atmosphere/environment; and
- Will locate signs in a way so as to not cause confusion, for example, not place too many signs too closely together, or not using an acoustic signal if there is too much ambient noise to hear it.

Employees:

- Must follow any safe systems of work in place;
- Must co-operate with their employer;
- Must not interfere with any signs or signals that are put in place for their health, safety and welfare; and
- Must report to their Supervisor or Manager any defective signs as soon as possible.

Reference(s)

Health and Safety (Safety Signs and Signals) Regulations 1996

Resource(s)

L64: Health and Safety (Safety Signs and Signals) Regulations 1996. Guidance on Regulations

Further information and guidance is available at www.hse.gov.uk

3.19 Stress

The definition of stress is 'the adverse reaction people have to excessive pressures or other types of demand placed on them'. There is a clear distinction between pressure, which can be a motivating factor, and stress, which can occur when this pressure becomes excessive. The pressure that can be withstood can be different for all employees. Anyone working under pressure due to workload, excessive expectations from management or bullying and harassment may be at risk of stress. Whilst it is accepted that pressures outside the workplace can cause stress there is still a duty to ensure that working practices are not exacerbating an existing condition.

Work-related stress is a major cause of occupational ill health, poor productivity and human error. That means increased sickness absence, high staff turnover and poor performance, and a possible increase in accidents due to human error.

The purpose of this is to identify who is responsible, and what they must do, in order to minimise any exposure to situations that may result in stress. The employer has a responsibility to reduce the likelihood of stress wherever possible.

Employers:

- Will conduct and implement recommendations of risks assessments within their area of control as required under the Management of Health and Safety at Work Regulation 1999, Regulation 3: employees are required 'to assess the risk of stress-related ill health arising from work activities'. NB Any individual risk assessments must be held in line with the Data Protection Act and not in the Health and Safety file;
- Will ensure that, in the work areas for which you have responsibility, stress is avoided, so far as is reasonably practicable. Where it cannot be avoided, you must assess the level of risk, which may involve carrying out a risk assessment if outside of the existing controls on the generic risk assessment.
- Will ensure good communication between management and staff, particularly where there are organisational and procedural changes;
- Will ensure that staff are fully trained to enable them to undertake their duties, and that meaningful developmental opportunities are provided where possible;
- Will monitor workloads, working hours and holidays to ensure that people are not overloaded and are taking their full entitlements and ensure that bullying and harassment is not tolerated in the workplace;
- Will attend training as required in good management practice and health and safety, with volunteers attending Mental Health First Aid training;
- Look out for changed in the behavior of employees, have an 'open door policy', be vigilant and offer additional support to a member of staff who is experiencing stress outside work, e.g. bereavement or separation and
- Be prepared to offer additional support, whenever necessary.

Employees:

- Must inform management as soon as practicable if they feel they may be suffering from work-related stress. If non-work-related stress is causing upset they must also be encouraged to advise management. Be as open as possible so that your Manager has the full facts.
- Must inform their employer if they feel the pressure of the job is putting them or anyone else at risk of ill health, or if they are suffering from a medical condition that appears to be long-term and is affecting ability to carry out day to day tasks, including memory and learning;
- Must co-operate with management in the carrying out of risk assessments, and work with management to agree a realistic and workable solution. This means taking an active part in any opportunities for discussion when the risk assessment is carried out to be involved in any decisions that are made. This may include discussions of any reasonable adjustments that could be made to assist in performing a job. Full consideration and where possible attendance must be given to any counselling or stress management courses the employer suggests; and
- Must ensure they read/listen carefully to all communications from management to make sure any changes are reasons for changes are fully understood.
- If not satisfied that concerns have been addressed then the grievance procedure should be considered.

Reference(s)

Health and Safety at Work etc. Act 1974

Resource(s)

HSG218: Managing the causes of work related stress

Further information and guidance is available at www.hse.gov.uk

3.20 Vibration

Exposure to hand-arm or whole-body vibration at work may result in a number of ill health conditions or injuries. Personnel who are engaged in operations where they may be exposed to hand-arm or whole-body vibration, for example, when using hand held tools or when driving vehicles, as a significant part of their normal work, may be at risk. Employers have a responsibility to avoid or reduce risk associated with vibration at work.

Managers:

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

Employees:

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

Reference(s)

Control of Vibration at Work Regulations 2005

Resource(s)

L140 Hand-arm Vibration: Control of Vibration at Work Regulations. Guidance on Regulations

L141 Whole-body Vibration: Control of Vibration at Work Regulations. Guidance on Regulations
HSG170: Vibration Solutions

Further information and guidance is available at www.hse.gov.uk

3.21 Work at Height

The Work at Height Regulations 2005 define working at height as 'work at any place, including a place at or below ground level; obtaining access to or egress from such a place while at work, except by a staircase in a permanent workplace, where, if measures required by these Regulations were not taken, a person could fall a distance liable to cause personal injury'.

The employer/those in control of any work at height activity have a responsibility to avoid work at height wherever possible, e.g., a window cleaner using a pole system rather than a ladder.

However, where work at height cannot be avoided, they:

- Will ensure that work at height is properly planned, appropriately supervised and so far as is reasonably practicable carried out in a way that is safe;
- Will ensure work at height activities are considered, and suitable and sufficient assessments of the risks are undertaken;
- Will ensure that employees who are required to work at height are competent to do so, or if being trained, are being supervised by a competent person;
- Will ensure suitable and sufficient measures are in place to prevent so far as is reasonably practicable any person falling a distance liable to cause personal injury;
- Will select the most appropriate work at height equipment for the task, giving priority to collective protection over personal protection measures;
- Will prevent work on/near fragile surfaces or, where this is not reasonably practicable, ensure a suitable support and protection system is used;
- Will take sufficient steps to prevent so far as is reasonably practicable the fall of any article or object;
- Will restrict access to danger areas, where there is a risk of falls or being hit by a falling object;
- Will ensure that work at height is carried out only when the weather conditions do not jeopardise the health and safety of persons involved;
- Will ensure that, where the safety of work equipment depends on how it is installed or assembled, it is not used after installation of assembly unless it has been inspected;
- Will ensure that work equipment exposed to conditions causing deterioration which is liable to result in danger is inspected at suitable intervals and each time exceptional circumstances have occurred;
- Will ensure that a working platform used for construction work and from which a person could fall 2 metres or more, is not used unless it has been inspected in that position, or in the case of mobile work equipment on that site, within the previous 7 days; and
- Will ensure that the results of inspections are recorded and kept until a next one is made.

Employees:

- Must report any unsafe activity or defect relating to working at height;
- Must use any work equipment or safety device provided for working at height as they have been shown or instructed;
- Must follow any training that has been provided; and
- Must follow any safe systems of work and/or method statements that are in place, including any requirements or prohibitions imposed.

Reference(s)

Work at Height Regulations 2005

Resource(s)

HSG33: Health and safety in roof work

Further information and guidance is available at www.hse.gov.uk

3.22 Work Equipment

The definition of work equipment is any machinery, appliance, apparatus, tool or installation for use at work (whether exclusively or not). This includes equipment which employees provide for their own use at work. The use of work equipment is also very widely interpreted and means any activity involving work equipment and including starting, stopping, programming, setting, transporting, repairing, modifying, maintaining, servicing and cleaning.

The definition of mobile work equipment is any work equipment which carries out work while it is travelling or which travels between different locations where it is used to carry out work. It may be self-propelled, towed or remote controlled and may incorporate attachments, e.g. a tractor, forklift truck, van, etc.

The employer/those in control of work premises have a responsibility to ensure that work equipment, including mobile work equipment, is suitable and sufficient for the task it is being used.

Employers:

- Will ensure that work equipment is so constructed or adapted as to be suitable for the purpose for which it is used or provided, having regard to the working conditions, and to the risks to the health and safety of persons, which exist in the place it is used;
- Will ensure that work equipment is only used for operations, and under conditions, for which it is suitable;
- Will ensure that work equipment is maintained in an efficient state, in efficient working order and good repair. Where machinery has a maintenance log, this will be kept up to date;
- Will ensure that, where the safety of work equipment depends on the installation conditions, it is inspected after installation (each time if able to be relocated) to ensure it is safe to operate;
- Will ensure that work equipment exposed to conditions causing deterioration which is liable to result in dangerous situations is inspected at suitable intervals and each time that exceptional circumstances liable to jeopardise safety have occurred;
- Will ensure that inspection records are made and recorded and are kept until the next one is made;
- Will, where the use, repair or maintenance of work equipment is likely to involve a specific risk to health or safety, ensure that the use, repair or maintenance of that work equipment is restricted to those persons given the respective task. The employer will ensure those designated persons have received adequate training;
- Will ensure that all persons who use, Supervise or Manage, work equipment have available to them adequate health and safety information and, where appropriate, written instructions pertaining to the use of the work equipment;
- Will ensure that all persons who use, Supervise or Manage, work equipment have received adequate training for purposes of health and safety, e.g. the risks of use and precautions to be taken;

- Will ensure that an item of work equipment has been designed and constructed in compliance with any essential requirements, e.g. is CE Marked and has appropriate warning labels attached;
- Will ensure that measures are taken which are effective to prevent access to any dangerous part of machinery, or stop the movement of any dangerous part before any person enters a danger zone. The hierarchy of measures follows:
 - Fixed guards;
 - Other guards and protection devices;
 - Jigs, holders, lush-sticks or similar protection appliances; then
 - Information, instruction, training and supervision.
- Will ensure guards and protection devices:
 - Are suitable for the purpose provided;
 - Of good construction, sound materials and adequate strength;
 - Are maintained in an efficient state, in efficient working order and good repair;
 - Will not give rise to an increased risk to health and safety;
 - Cannot be easily bypassed or disabled;
 - Are situated a sufficient distance from the danger zone;
 - Do not restrict the view of the operating cycle of the machinery, where such a view is necessary; and
 - Are so constructed or adapted that they allow the fitting or replacement of part, or maintenance work, restricting access to the allowed area, without having to dismantle the guard or protection device.
- Will take measures to ensure that the exposure of a person using work equipment to any specified hazard is either prevented, or where this is not reasonably practicable, adequately controlled. Specified hazards include:
 - An article or substance falling or being ejected from work equipment;
 - Rupture or disintegration of parts of work equipment;
 - Work equipment catching fire or overheating;
 - The unintended or premature discharge of any article or substance produced, used or stored in the work equipment; or
 - The unintended or premature explosion of the work equipment or any article or substance.
- Will ensure that protection is in place where work equipment, parts of work equipment or any article or substance produced, used or stored is at a high or very low temperature;
- Will ensure that, where appropriate, work equipment is provided with one or more controls to start the work equipment, or control any change in speed, pressure or other operating conditions;
- Will ensure that, where appropriate, work equipment is provided with one or more readily accessible stop controls, the operation of which, will bring the work equipment to a safe condition in a safe manner;
- Will ensure that, where appropriate, work equipment is provided with one or more readily accessible emergency stop controls, unless it is not necessary by reason on the nature of the hazards and the time taken for the work equipment to come to a complete stop;
- Will ensure that all controls for work equipment are clearly visible and identifiable, including by appropriate marking where necessary;
- Will, except where necessary, ensure that no control for work equipment is in a position where any person operating the control is exposed to risk, and that safe systems of work and/or audible, visible or other suitable warning is given whenever work equipment is about to start;

- Will ensure that, where appropriate, work equipment is provided with suitable means to isolate it from all its sources of energy. Appropriate measures also ensure that re-connection of any energy does not expose any person using the work equipment to danger;
- Will ensure that work equipment is stabilised by clamping or otherwise where necessary for purposes of health and safety;
- Will ensure that suitable and sufficient lighting, which takes account of the operations to be carried out, is provided at any place where a person uses work equipment;
- Will take appropriate measures to ensure that work equipment is constructed or adapted that, so far as is reasonably practicable, maintenance operations which involve a risk to health and safety can be carried out while the work equipment is shut down, or in other cases without exposing a person to danger; and
- Will ensure that work equipment is marked in a clearly visible manner with any marking, and incorporates any warnings or warning devices, appropriate for reasons of health and safety.

Specifically for mobile work equipment, employers:

- Will ensure that no employee is carried by mobile work equipment unless it is suitable for carrying persons and it incorporates features for reducing risks to as low as reasonably practicable;
- Will ensure the risk of roll over is minimised and, where there is a risk of overturning, ensure any person being carried are protected, for example, by providing a roll over protective structure and enforcing the use of seatbelts;
- Will ensure self-propelled equipment has facilities for preventing it being started by an unauthorised person, can be controlled safely with braking and stopping devices, adequate driver vision and where necessary adequate lighting; and
- Will ensure adequate guards are attached to drive shafts that power accessories for mobile work equipment.

Further Regulations exist specific to power presses.

Employees:

- Must follow safe systems of work and any other instructions, or training provided to them;
- Must report as soon as is possible any damaged equipment, and take it out of use until it is repaired or replaced; and
- Must not misuse any work equipment.

Reference(s)

Provision and Use of Work Equipment Regulations 1998

Resource(s)

L22: Safe Use of Work Equipment. Provision and Use of Work Equipment Regulations 1998. Approved Code of Practice and Guidance

L112: Safe Use of Power Presses. Provision and Use of Work Equipment Regulations 1998 as Applied to Power Presses. Approved Code of Practice and Guidance

L114: Safe Use of Woodworking Machinery. Provision and Use of Work Equipment Regulations 1998 as Applied to Woodworking Machinery. Approved Code of Practice and Guidance.

Further information and guidance is available at www.hse.gov.uk

3.23 Working Time

The Working Time Regulations 1998 implement the European Working Time Directive into British law. Enforcement of the legislation is split between the Arbitration, Conciliation and Advisory Service (ACAS) and the Health and Safety Executive (HSE). ACAS usually advise on time off, rest break entitlements, paid annual leave entitlements, whereas the HSE advise on maximum weekly working time limit, night working limits, and health assessments for night workers.

To ensure the health, safety and welfare of their employees the employer has a responsibility to ensure that the following points are complied with.

Maximum Weekly Working Time limits

- An adult workers working time, including overtime, shall not exceed an average of 48 hours for each 7 days. A young workers working time must not exceed 8 hours a day and 40 hours in a 7 day period (normally Monday to Sunday). A young worker is a 16 or 17 year old;
- If an adult worker may be required to work in excess of 48 hours per week at any time, draw up and ask them to sign an individual opt out agreement. Young workers cannot sign individual agreements; and
- Records of actual hours worked must be kept by the employer for 2 years.

Night Working Limits

- A night workers normal hours of work in any reference period shall not exceed an average of 8 hours for each 24 hours; and
- Young workers cannot work between 10pm and 6am.

Health Assessments

- An employer shall not assign night work to an adult worker unless the worker will have the opportunity of a free health assessment before taking up the assignment. The Regulations do not stipulate who is permitted to carry out the health assessment.

Daily Rest

- An adult worker is entitled to a rest period of not less than 11 consecutive hours in each 24 hour period; and
- A young worker is entitled to 12 consecutive hours rest in each 24 hour period.

Weekly Rest

- An adult worker is entitled to an uninterrupted rest period of not less than 24 hours in each 7 day period; and
- A young worker is entitled to not less that 48 hours uninterrupted rest in each 7 day period.

Rest Breaks

- Where an adult worker's daily working time is more than six hours, he is entitled to a rest break of 20 minutes; and
- Where a young worker's daily working time is more than 4 1/2 hours, he is entitled to a rest break of 30 minutes.

Annual Leave

- The statutory holiday entitlement is 5.6 weeks (28 days if you work a five day week, pro-rata for those working part-time); and
- The holiday entitlement is inclusive of bank holidays.

Employers should have a disciplinary/grievance procedure in place. Whereby any employee who has any queries, or concerns should seek redress through the procedure prior to going to an Employment Tribunal.

Employees:

- Must follow all policies and procedures in place;
- Must apply for any leave as per the procedure in place at your work, and be aware that any leave booked that is outside the scope of the procedure could be rejected by your employer; and
- Must give sufficient notice in writing of any request for working changes, for example, consideration for flexible working.

Reference(s)

Working Time Regulations 1998

Resource(s)

HSG256: Managing shift work. Health and safety guidance

Further information and guidance is available at www.hse.gov.uk and www.acas.org.uk

3.24 Workplace (Health, Safety and Welfare)

The Workplace (Health, Safety and Welfare) Regulations 1992 apply to almost all workplaces (except those involving construction work on construction sites, those in or on a ship, or those below ground level at a mine, which have their own specific Regulations). The Regulations include common parts of shared buildings such as industrial estates where there are shared office facilities.

Employers and people other than employers have a duty under these Regulations, if they have control, to any extent, of a workplace, for example, owners of premises, landlords or managing agents of business premises. People other than employees have limited duties to matters which are within their control.

The employer (and people other than employers where relevant) have a responsibility to keep the workplace in a suitable manner for the health, safety and welfare of employees.

Employers:

- Will encourage collaboration with employees to help maintain health and safety in a practical way;
- Will ensure buildings and structures are capable of supporting all foreseeable loads, including environmental loads such as wind and snow. This includes modifications, extensions or conversions;
- Will maintain workplace equipment, devices and systems so that they remain in an efficient state, in efficient working order and in a good state of repair, e.g. emergency lighting, fencing, anchorage points for safety harnesses, devices to limit the opening of windows;
- Will ensure there is effective and suitable ventilation at the workplace. This can be via fresh or purified air;

- Will ensure that there is a reasonable workplace temperature inside the building. This should be at least 16C, or 13C if working in a physically demanding job. This is the case unless there is a requirement for lower working temperatures, such as working in a cold store;
- Will ensure that every workplace has suitable and sufficient lighting. Where possible this is with natural lighting. Suitable and sufficient emergency lighting will be provided particularly where those at work are specifically exposed to danger in the event of failure of artificial lighting;
- Will ensure that the workplace is designed and built with materials that are able to be cleaned, and the workplace will be kept clean, so far as is reasonably practicable;
- Will ensure that there are suitable and sufficient waste receptacles, and any waste is appropriately disposed of;
- Will ensure that where persons work, the room shall have sufficient floor area, height and unoccupied space for allowing freedom of movement;
- Will ensure that workstations are laid out to ensure appropriate room for working. Suitable seating will be provided at the workplace where the task requires it and possible to do so;
- Will ensure that all floors, traffic routes are of suitable construction such that the floor or surface of the traffic route is suitable for the purpose for which it is used. So far as is reasonably practicable floors and traffic routes will be kept free from obstruction and any particular/substance which may cause a person to slip, trip or fall;
- Will ensure where there are tanks, pits, or structures that pose a risk from falling into a dangerous substance (e.g. grain silo), they are securely covered or fenced;
- Will ensure that windows/translucent/transparent doors, gates and walls are protected against breakage, and to ensure it is apparent. Where glass has the potential to break, it must break safely;
- Will ensure that any windows, skylights, and ventilators that can be opened, closed or adjusted will not cause risk to health and safety. Such windows, skylights should be able to be cleaned in a safe manner. Such as by use of a pole cleaner, or a window that turns 180 degrees to enable the outside to be cleaned from the inside;
- Will ensure that vehicles and pedestrians and their traffic routes are safely managed;
- Will ensure that doors and gates are suitably constructed and fitted with any necessary safety devices;
- Will ensure that escalators and moving walkways function safely, are fitted with necessary safety devices, and have at least one, easily identifiable, easily reachable emergency stop;
- Will ensure that there are suitable and sufficient sanitary conveniences provided;
- Will ensure that there are, where required by the nature of the work, for health reasons, readily accessible washing facilities;
- Will ensure there is an adequate supply of wholesome drinking water provided for all persons in the workplace;
- Will ensure the provision of suitable and sufficient clothing accommodation for personal protective equipment or for personal clothing and articles whereby there is a requirement for changing. The clothing accommodation will be provided in a suitable location;
- Will ensure that where required there will be suitable and sufficient area to change such clothing; and
- Will ensure that suitable and sufficient rest facilities, including a clean area to eat meals, are provided as required in readily accessible places.

Employees:

- Must follow the instructions provided by their employer regarding their health, safety and welfare;
- Must not misuse or interfere with any equipment or items that have been provided for their health and safety by their employer; and
- Must report to their employer any damage, deterioration or defects in relation to workplace health, safety and welfare.

Reference(s)

Workplace (Health, Safety and Welfare) Regulations 1992

Resource(s)

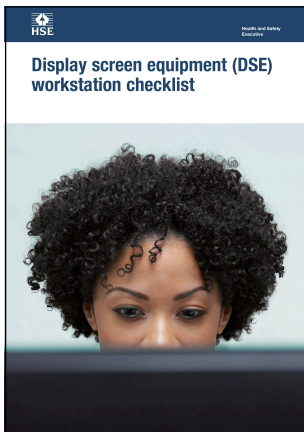
L24: Workplace (Health, Safety and Welfare) Regulations 1992. Approved Code of Practice and Guidance

Further information and guidance is available at www.hse.gov.uk

Appendices:

1. Display Screen Equipment Assessment

Display screen equipment (DSE) workstation checklist



This is a web-friendly version of *Display screen equipment (DSE) workstation checklist* published 05/13

Workstation location and number (if applicable):
User:
Checklist completed by:
Assessment checked by:
Any further action needed:	Yes/No
Follow-up action completed on:

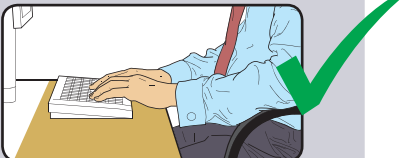



The following checklist can be used to help you complete a risk assessment and comply with the Schedule to the Health and Safety (Display Screen Equipment) Regulations 1992 as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002.

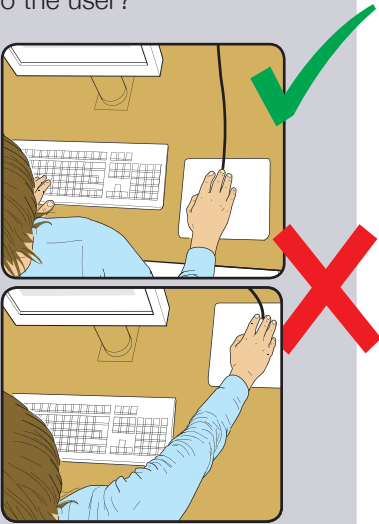
The questions and 'Things to consider' in the checklist cover the requirements of the Schedule. If you can answer 'Yes' in the second column against all the questions, having taken account of the 'Things to consider', you are complying. You will not be able to address some of the questions and 'Things to consider', eg on reflections on the screen, or the user's comfort, until the workstation has been installed. These will be covered in the risk assessment you do once the workstation is installed.

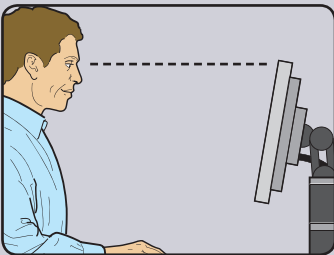
Work through the checklist, ticking either the 'Yes' or 'No' column against each risk factor:


- 'Yes' answers require no further action.
- 'No' answers will require investigation and/or remedial action by the workstation assessor. They should record their decisions in the 'Action to take' column. Assessors should check later that actions have been taken and have resolved the problem.


Remember, the checklist only covers the workstation and work environment. You also need to make sure that risks from other aspects of the work are avoided, eg by giving users health and safety training, and providing for breaks or changes of activity. For more advice on these see *Working with display screen equipment (DSE): A brief guide*.


Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
1 Keyboards				
Is the keyboard separate from the screen?			This is a requirement, unless the task makes it impracticable (eg where there is a need to use a portable).	
Does the keyboard tilt?			Tilt need not be built in	
Is it possible to find a comfortable keying position?    			Try pushing the display screen further back to create more room for the keyboard, hands and wrists. Users of thick, raised keyboards may need a wrist rest.	
Does the user have good keyboard technique?			Training can be used to prevent: <ul style="list-style-type: none"> ■ hands bent up at the wrist; ■ hitting the keys too hard; ■ overstretching the fingers. 	
Are the characters clear and readable?			Keyboards should be kept clean. If characters still can't be read, the keyboard may need modifying or replacing. Use a keyboard with a matt finish to reduce glare and/or reflection.	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
2 Mouse, trackball etc				
Is the device suitable for the tasks it is used for?			If the user is having problems, try a different device. The mouse and trackball are general-purpose devices suitable for many tasks, and available in a variety of shapes and sizes. Alternative devices such as touch screens may be better for some tasks (but can be worse for others).	
Is the device positioned close to the user? 			Most devices are best placed as close as possible, eg right beside the keyboard. Training may be needed to: <ul style="list-style-type: none"> ■ prevent arm overreaching; ■ encourage users not to leave their hand on the device when it is not being used; ■ encourage a relaxed arm and straight wrist. 	
Is there support for the device user's wrist and forearm?			Support can be gained from, for example, the desk surface or arm of a chair. If not, a separate supporting device may help. The user should be able to find a comfortable working position with the device.	
Does the device work smoothly at a speed that suits the user?			See if cleaning is required (eg of mouse ball and rollers). Check the work surface is suitable. A mouse mat may be needed.	
Can the user easily adjust software settings for speed and accuracy of pointer?			Users may need training in how to adjust device settings.	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
3 Display screens				
<p>Are the characters clear and readable?</p> <div style="border: 1px solid black; border-radius: 10px; background-color: #ADD8E6; padding: 10px; margin: 10px 0; text-align: center;"> <p>Health and safety</p> </div> <div style="border: 1px solid black; border-radius: 10px; background-color: #FF0080; padding: 10px; margin: 10px 0; text-align: center;"> <p>Health and safety</p> </div>			<p>Make sure the screen is clean and cleaning materials are available.</p> <p>Check that the text and background colours work well together.</p>	
<p>Is the text size comfortable to read?</p>			<p>Software settings may need adjusting to change text size.</p>	
<p>Is the image stable, ie free of flicker and jitter?</p>			<p>Try using different screen colours to reduce flicker, eg darker background and lighter text.</p> <p>If there are still problems, get the set-up checked, eg by the equipment supplier.</p>	
<p>Is the screen's specification suitable for its intended use?</p>			<p>For example, intensive graphic work or work requiring fine attention to small details may require large display screens.</p>	
<p>Are the brightness and/or contrast adjustable?</p>			<p>Separate adjustment controls are not essential, provided the user can read the screen easily at all times.</p>	
<p>Does the screen swivel and tilt?</p> 			<p>Swivel and tilt need not be built in; you can add a swivel and tilt mechanism.</p> <p>However, you may need to replace the screen if:</p> <ul style="list-style-type: none"> ■ swivel/tilt is absent or unsatisfactory; ■ work is intensive; and/or ■ the user has problems getting the screen to a comfortable position. 	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
<p>Is the screen free from glare and reflections?</p> 			<p>Use a mirror placed in front of the screen to check where reflections are coming from.</p> <p>You might need to move the screen or even the desk and/or shield the screen from the source of the reflections.</p> <p>Screens that use dark characters on a light background are less prone to glare and reflections.</p>	
<p>Are adjustable window coverings provided and in adequate condition?</p>			<p>Check that blinds work. Blinds with vertical slats can be more suitable than horizontal ones.</p> <p>If these measures do not work, consider anti-glare screen filters as a last resort and seek specialist help.</p>	
<h2>4 Software</h2>				
<p>Is the software suitable for the task?</p>			<p>Software should help the user carry out the task, minimise stress and be user-friendly.</p> <p>Check users have had appropriate training in using the software.</p> <p>Software should respond quickly and clearly to user input, with adequate feedback, such as clear help messages.</p>	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
5 Furniture				
<p>Is the work surface large enough for all the necessary equipment, papers etc?</p> 			<p>Create more room by moving printers, reference materials etc elsewhere.</p> <p>If necessary, consider providing new power and telecoms sockets, so equipment can be moved.</p> <p>There should be some scope for flexible rearrangement.</p>	
<p>Can the user comfortably reach all the equipment and papers they need to use?</p>			<p>Rearrange equipment, papers etc to bring frequently used things within easy reach.</p> <p>A document holder may be needed, positioned to minimise uncomfortable head and eye movements.</p>	
<p>Are surfaces free from glare and reflection?</p>			<p>Consider mats or blotters to reduce reflections and glare.</p>	
<p>Is the chair suitable?</p> <p>Is the chair stable?</p> <p>Does the chair have a working:</p> <ul style="list-style-type: none"> ■ seat back height and tilt adjustment? ■ seat height adjustment? ■ castors or glides? 			<p>The chair may need repairing or replacing if the user is uncomfortable, or cannot use the adjustment mechanisms.</p>	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
<p>Is the chair adjusted correctly?</p> 			<p>The user should be able to carry out their work sitting comfortably.</p> <p>Consider training the user in how to adopt suitable postures while working.</p> <p>The arms of chairs can stop the user getting close enough to use the equipment comfortably.</p> <p>Move any obstructions from under the desk.</p>	
<p>Is the small of the back supported by the chair's backrest?</p>			<p>The user should have a straight back, supported by the chair, with relaxed shoulders.</p>	
<p>Are forearms horizontal and eyes at roughly the same height as the top of the DSE?</p>			<p>Adjust the chair height to get the user's arms in the right position, and then adjust the DSE height, if necessary.</p>	
<p>Are feet flat on the floor, without too much pressure from the seat on the backs of the legs?</p>			<p>If not, a footrest may be needed.</p>	

Risk factors	Tick answer		Things to consider	Action to take
	Yes	No		
6 Environment				
Is there enough room to change position and vary movement?			<p>Space is needed to move, stretch and fidget.</p> <p>Consider reorganising the office layout and check for obstructions.</p> <p>Cables should be tidy and not a trip or snag hazard.</p>	
Is the lighting suitable, eg not too bright or too dim to work comfortably?			<p>Users should be able to control light levels, eg by adjusting window blinds or light switches.</p> <p>Consider shading or repositioning light sources or providing local lighting, eg desk lamps (but make sure lights don't cause glare by reflecting off walls or other surfaces).</p>	
Does the air feel comfortable?			<p>DSE and other equipment may dry the air.</p> <p>Circulate fresh air if possible. Plants may help.</p> <p>Consider a humidifier if discomfort is severe.</p>	
Are levels of heat comfortable?			<p>Can heating be better controlled? More ventilation or air conditioning may be required if there is a lot of electronic equipment in the room. Or, can users be moved away from the heat source?</p>	
Are levels of noise comfortable?			<p>Consider moving sources of noise, eg printers, away from the user. If not, consider soundproofing.</p>	

7 Final questions to users...

- Has the checklist covered all the problems they may have working with their DSE?
- Have they experienced any discomfort or other symptoms which they attribute to working with their DSE?
- Has the user been advised of their entitlement to eye and eyesight testing?
- Does the user take regular breaks working away from DSE?

Write down the details of any problems here:

Further information

Working with display screen equipment (DSE): A brief guide Leaflet INDG36(rev4)
HSE books 2013 www.hse.gov.uk/pubns/indg36.htm

For information about health and safety visit <https://books.hse.gov.uk> or <http://www.hse.gov.uk>. You can view HSE guidance online and order priced publications from the website. HSE priced publications are also available from bookshops.

To report inconsistencies or inaccuracies in this guidance email:
commissioning@wlt.com

British Standards can be obtained in PDF or hard copy formats from BSI:
<http://shop.bsigroup.com> or by contacting BSI Customer Services for hard copies only Tel: 0846 086 9001 Email: <mailto:cservices@bsigroup.com>

The Stationery Office publications are available from The Stationery Office,

PO Box 29, Norwich NR3 1GN Tel: 0333 202 5070 Fax: 0333 202 5080.
Email: customer.services@tso.co.uk Website: <http://www.tso.co.uk>. They are also available from bookshops.

Statutory Instruments can be viewed free of charge at
<http://www.legislation.gov.uk> where you can also search for changes to legislation.

© *Crown copyright 2013*

First published 2013

ISBN 978 0 7176 6521 1

You may reuse this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view the licence visit www.nationalarchives.gov.uk/doc/open-government-licence/, write to the Information Policy Team, The National Archives, Kew, London TW9 4DU, or email psi@nationalarchives.gsi.gov.uk.

Some images and illustrations may not be owned by the Crown so cannot be reproduced without permission of the copyright owner. Enquiries should be sent to copyright@hse.gsi.gov.uk.

This guidance is issued by the Health and Safety Executive. Following the guidance is not compulsory, unless specifically stated, and you are free to take other action. But if you do follow the guidance you will normally be doing enough to comply with the law. Health and safety inspectors seek to secure compliance with the law and may refer to this guidance.