

Corporate Risk Register for Upper Witham, North East Lindsey, Witham First District and Witham Third District Internal Drainage Boards.

January 2018

No.	Risk	Plan	Mitigation		Current Risk			DoT
			Mitigating Action	Effectiveness	L	I	T	
1. Objective 1: Provide, improve and maintain standards of sound, needs based sustainable land drainage, flood protection and water levels management.								
1.1	Asset failure at the Board's Pumping Stations, of the Board maintained watercourses or the Board's plant and machinery	Reduce	1.1.1 Maintenance Regime at Pumping Station which provides for regular pump lifts, inspections and refurbishments. Regular maintenance checks of Pumping Station functionality and records keeping. Published on websites.	£25k per Board (£10k for NEL) p.a. for regular programmed pump lifts. Pump Maintenance operatives undertake regular inspections/maintenance. However, the pace of developments taking place (particularly in NEL) will mean having reliable and well maintained pumps is critical. Public expectations	2	3	6	→
		Reduce	1.1.2 Summer maintenance programme agreed for the watercourses maintained by each of the 4 Boards, with vegetation control prioritised as necessary (e.g. early start in designated areas, more frequent cuts on some agreed watercourses).	All Board drains receive at least one annual summer maintenance cut. Some drains receive additional cuts if excessive growth occurs. UW/W1/W3 have direct workforce and plant, NEL contract works.				
		Reduce	1.1.3 Winter works programme approved by the Boards annually for the forthcoming season. Prioritises de-silting necessary, tree and bushing works, bank slip repairs and further identified one-off improvement schemes. This is costed and included in Estimates. Published on websites.	Winter works programme for 2017/18 agreed by Boards (UW/W1/W3). NEL to undertake up to £5k of winter works in 17/18, £10k included in Budget for 18/19.				
1.2	Risk of Operations failure due to lack of staffing or machinery resource, staff error or accident.	Reduce	1.2.1 Staff risks reduced through providing role clarity, training and development. Clear job roles, identification of training needs. Organising of appropriate courses (e.g. relevant courses for Operatives) and maintenance of training records. Regular assessment of staffing requirements, training requirements, recruitment and retention processes.	All staff have job descriptions. Regular training provided and training records maintained.	1	2	2	↓
		Reduce	1.2.2 Board approves each January the plant and machinery programme. The programme to be in line with agreed replacement schedules and affordable, to reduce the risk of equipment failure and down time.	Latest plant programmes (UW/W1/W3) approved Jan18. Policy of 7 yearly replacement on major plant. Minimal breakdown - main plant downtime usually due to vandal damage. NEL's contractor acquiring additional plant for 2018				
1.3	Unable to respond appropriately to an emergency event due to lack of resources	Share	1.3.1 The Boards participate in Flood Risk Management Partnerships (3 in Lincolnshire and NELDB in North Lincolnshire Council and North East Lincolnshire Council) which co-ordinate plans for multi-agency responses and co-operative working in times of major incidents, including flooding.	The Boards contribute to and comply with these multi-agency arrangements.	2	3	6	→
		Reduce	1.3.2 The Boards have in place (and review regularly) a local "Emergency Flood Response Plan".	The current plan (version 2.5, 21.12.17) is for 3 of the 4 Boards and a revision is required to incorporate the requirements for NELDB also.				
1.4	Reduction in income to the Board to maintain an appropriate provision of services (special levy, drainage rates income, highland water income, rechargeable works income & grants income).	Reduce	1.4.1 The 4 Boards implement systems and processes to maximise income opportunities and collection to the individual Board, including: - Track land movements to 31st December annually - Timely invoicing of Drainage Rates account holders annually, monitoring of collection rates and take follow-up action when non-payment. - Submit Highland Water claims to the EA. - Provide a rechargeable works service to local landowners based on full cost recovery. - as each Board's capacity will enable, to look at improving land drainage and flood protection outside the Boards own sphere of responsibility on a partnership basis (eg PSCA agreements with the EA). - Lever in, via the EA, FDGiA funding where improvement schemes are identified and can be economically justified using the national grant funding criteria.	UW/W1/W3 - Drainage Rates issued 07/04/17. Reminders 10/08/17, Final Reminders 21/09/17, Pre Court 12/10/17, Summons 20/10/17, Court 04/12/17. NEL Drainage Rates issued 12/05/17, Reminders 13/09/17, Final Reminders 15/11/17. Sundry Debts part of monthly reconciliations.	3	2	6	↑
1.5	Flood damage to third party	Share	1.5.1 Insurance policies to cover the main perceived risks, including asset failure and indemnity for third party damage. Insurance policies reviewed annually for each Board and risks / required changes to cover reassessed.	Insurances in place on all 4 Boards (renewed 22/04/17 for NEL, 19/05/17 for UW and 01/07/17 for W1 & W3)	2	2	4	→

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2. Objective 2: To conserve and enhance the environment wherever practical and possible, to ensure there is no net loss of biodiversity								
2.1	The 4 Boards do not deliver on the duty to protect and where practicable enhance the environment	Reduce	2.1.1 Boards employ an appropriately qualified Environment Officer to provide advice, training and develop appropriate measures / improvements and keep records and provide reports.	Current postholder appointed September 2017, following departure of previous incumbent after five years in post. Records maintained.	1	2	2	↓
		Share	2.1.2 Work in partnership with GLNP, the Witham Partnership, ADA Lincolnshire Branch's Environment Committee.	Attendance at GLNP Annual Conference on 22/11/17, Witham Partnership meeting on 19/01/17 and have asked for minutes and agenda through post-meeting, ADA Env. Committee meeting attended on 01/11/17				
		Reduce	2.1.3 Train Operatives, undertake environmental surveys as required, species reporting on watercourses, submit to GLNP.	Refresher presentation to be given to Operatives before start of summer works season, environmental surveys and species reporting undertook for winter works, sending species reports to GLNP in Spring				
		Reduce	2.1.4 Produce Environmental Annual Report and Action Plan for the year ahead.	Environmental Board Report 2016/17 and Action Plan for 2017/18 completed 11/05/17				
		Reduce	2.1.5 Develop and implement plans to ensure legislation / regulations compliance, e.g. eel regulations (England and Wales) 2009, Badger Class Licence.	Badger Class License return submitted 12/01/18				
		Reduce	2.1.6 Develop plans to mitigate the risk of destroying habitat, eg a procedure manual. Staff training.	BAP ID booklet located in JA-1645-2014-ENV, staff training days due for 2018				
3. Objective 3: To provide a safe and fulfilling working environment for all staff.								
3.1	Employees of the 4 boards contravene health and safety regulations and there is resulting personal injury or death to staff, a contractor or a member of the public with resulting reputational impact.	Reduce	3.1.1 Role clarity for all staff	Regularly reviewed job descriptions (2017/18). Appraisal system launched October 2017.	2	3	6	↓
		Reduce	3.1.2 Health and Safety systems and processes which ensure necessary Risk Assessments and Method Statements are in place and documented to provide a safe system of work.	Documented manual of risk assessments and method statements. Incident (and near miss) reporting in place and reviewed.				
		Reduce	3.1.3 Identification of staff training and development needs, training and refresher training provided and training records maintained.	Regular training of staff, updated as required, maintain training records.				
		Reduce	3.1.4 Health and Safety issues reported to Board's.	Standing agenda item on all Board meetings.				
		Reduce	3.1.5 Role of the four Boards JSC as each Board's Health and Safety Committee.	Standing agenda item on all JSC meetings.				
		Share	3.1.6 Insurance arrangements in place for relevant liabilities	Insurances in place on all 4 Boards (renewed 22/04/17 for NEL, 19/05/17 for UW and 01/07/17 for W1 & W3)				
3.2	Potential claims against a Board, eg ranging from an individual personal injury claim to an HSE Corporate Manslaughter charge over a H&S issue.	Reduce	3.2.1 Provision of appropriate staff training and documentation of such.	Regular training of staff, updated as required, maintain training records.	2	3	6	→
		Reduce	3.2.2 Defined safe systems of working	Pedestrian workways in depots, Hi-viz PPE, documented manual of risk assessments and method statements.				
		Reduce	3.2.3 Engage external Health and Safety advisors (in 3 of the 4 Boards) to provide independent health and safety advice.	Cope Safety Management Ltd retained as H&S advisors for the three Boards with direct labour force.				
		Share	3.2.4 Insurance in place for relevant liabilities.	Insurances in place on all 4 Boards (renewed 22/04/17 for NEL, 19/05/17 for UW and 01/07/17 for W1 & W3)				
3.3	Staff Retention Problems	Reduce	3.3.1 Clear job descriptions and organisational accountabilities in place. Terms and conditions negotiated and clearly defined and consistently applied.	Staff issued with job descriptions. Terms and conditions as per ADA Lincolnshire White Book (unless local agreement).	2	2	4	↓
		Reduce	3.3.2 Open communications through staff meetings, open door policy, grievance procedure, participation in ADA Lincolnshire Branch's Pay & Conditions Committee work, local policies and procedures developed as appropriate (eg Appraisal).	Participate in ADA Lincolnshire Branch's Pay & Conditions Committee work, retained HR Advisor, Management, Supervisors and staff meetings.				

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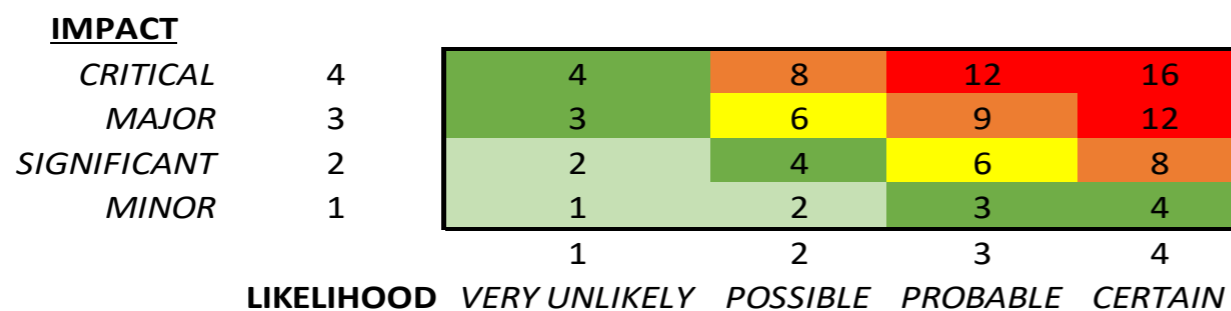
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4. Objective 4: To provide a cost effective, value for money organisation and maintain financial records that are correct and comply with recommended accounting practice.								
4.1	Adverse internal and external audit opinions, non compliance with statutory requirements, loss of public confidence in any / all of the 4 Boards. Reputational impact.	Reduce	4.1.1 Put in place a satisfactory Governance framework, including: - Internal Audit contract & access to the Boards. - External Audit Service - Access to qualified financial advice - Financial regulations in place for each Board - Business continuity & recovery plan - Insurance Policies proportionate to identified risks - Appropriate ICT systems to support key functions (Ratings, Finance and GIs). - ADA Practitioners' Guide (2006), as revised 2017 - Data processing, handling and retention in compliance with ICO's Guidance & Licence for each Board	New Internal & External Audit contracts in place. Financial Regulations updated and approved by all four Boards November 2017. Retained Financial Consultant. Insurance arrangements in place. Retained ICT support contract (LCS). ICT systems provided by 3rd parties through appropriate licences and support contracts.	2	2	4	↓
		Reduce	4.1.2 Ensure Joint Services operate as per the Joint Services Agreement (01.01.17) between the 4 Boards	Formal agreement 28/03/17. JSC meet 4 times yearly, with balanced representation from each Board (UW 4, W3 3, W1 3, NEL 3)				
4.2	Failure to collect income due to the Board, loss of income due to error or fraud.	Reduce	4.2.1 Board reports with Estimates each January to identify income and expenditure plans for the forthcoming financial year.	2018/19 Estimate reports submitted to Boards January 2018.	1	3	3	↓
		Reduce	4.2.2 Notifications by 15th February to Councils paying Special Levy of quantum due for the forthcoming financial year.	Land movements tracked on DRS system. Site visits undertaken as required. Land transferred to Special Levy annually as at December at relevant 'developed land' rate.				
		Reduce	4.2.3 Timely submission of each Boards Highland Water Claims.	Claims submitted June 2017 for actual balance 2016/17 and Estimate for 2017/18 and payments received Oct/Nov 17. (80% of claim Estimate and balance on prior year actual costs payable by the FA each September).				
		Reduce	4.2.4 Timely invoicing of drainage rates account holders for each Board in April, monitoring of collection rates and instigation of court process on unpaid accounts. Sundry Debts issued monthly as required.	UW/W1/W3 - Drainage Rates issued 07/04/17. Reminders 10/08/17, Final Reminders 21/09/17, Pre Court 12/10/17, Summons 20/10/17, Court 04/12/17. NEL Drainage Rates issued 12/05/17, Reminders 13/09/17, Final Reminders 15/11/17. Sundry Debts part of monthly reconciliations.				
		Reduce	4.2.5 Where practicable, segregate duties of staff (eg authorising invoices, processing invoices for payment and authorising invoice payments), within the limitations of smaller public bodies.	Segregation of duties between authorising invoices/payments and making the payment. Only senior staff can undertake payments through banking system. Monthly bank reconciliations.				
		Reduce	4.2.6 Staff role clarity, training.	Job descriptions in place for staff. Ad hoc/specialist training provided as required.				
		Share	4.2.7 Insurance policies proportionate to risk – eg cyber fraud policy for each Board.	Insurances in place on all 4 Boards (renewed 22/04/17 for NEL, 19/05/17 for UW and 01/07/17 for W1 & W3)				
		Reduce	4.2.8 Financial Regulations.	Financial Regulations sets out procedures to follow. (last updated November 2017).				
		Reduce	4.2.9 Internal Audit.	New Internal Audit Contract in place from October 2017. On site work scheduled for 13/14/15th February 2018.				
		Reduce	4.2.10 Whistleblowing policy.	Policy requires updating (part of suite of HR policies currently being updated).				
4.3	Excessive Expenditure, beyond approved budgets	Reduce	4.3.1 in-year monitoring of approved budgets with actual income and expenditure and variance analysis reported to Board Meetings, Joint Services Committee meetings and relevant sub-committees.	Each Board/JSC meeting receives an in year monitoring position and in January a projected outturn position. Budgets now more aligned to spend patterns.	1	1	1	↓
		Reduce	4.3.2 Financial Regulations sets out limits for virement, etc.	Financial Regulations last updated November 2017.				

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4.4	Loss of or damage to the Boards' assets due to theft, neglect or vandalism	Reduce	4.4.1 stock control and inventory checks.	Annual stock control as part of closure of accounts. Stocks in/out reconciled monthly. Asset register of items over £5,000. Inventory maintained of smaller value items.	2	2	4	→
		Reduce	4.4.2 security measures – eg CCTV, telemetry based monitoring on most Plant, alarms on buildings, key controls, service contracts, maintenance programmes.	All new plant purchased with Satrack (or similar). Alerts received if suspicious movement. CCTV on some buildings and alarms monitored by 3rd party. Alarm call outs to office and depots attended by 3rd party.				
5. Objective 5: To ensure that all actions taken by each Board comply with current UK (and EU) legislation								
5.1	Non-compliance with legislation, regulations good practice resulting in prosecution, fines / penalties / sanctions and loss of confidence in the Board(s).	Reduce/ Share	5.1.1 Access specialist advice as required, eg Finance, Legal, H&S, Insurance, etc.	Sills & Betteridge current legal advisors and commissioned 22.08.16 to draw up the Joint Services Agreement between the Boards from 01.04.17 (commuted sum agreements, developer agreements, specialist Employment Law Advice etc). Cope Safety Ltd retained as H&S advisors. Insurance company (currently Towergate) provide support and advice as required. Other advice procured as required.	1	2	4	→
		Reduce	5.1.2 Publicly available websites, regularly reviewed and updated to provide policies Election Notices, financial information, Board minutes, winter works Programmes etc and demonstrate compliance with legislative requirements like the local Audit and Accountability Act 2015.	All 4 Boards have live websites. Updated regularly. Internal Officer working group to ensure they remain up to date and compliant.				
		Reduce	5.1.3 Membership of ADA nationally, ensuring access to industry-wide Good Practice updates & guidance.	ADA Membership renewed for 2017 (awaiting renewal for 2018).				
		Reduce	5.1.4 Peer Group support, e.g. Engineers' forum and Clerks' Society for Lincolnshire IDBs and ADA's Policy & Finance and Technical Committees.	Nominated Officers on ADA Technical & Policy & Finance Committees. Regular attendance at local forums.				
		Reduce	5.1.5 Membership of ADA Lincolnshire Branch.	ADA Lincolnshire Branch Membership renewed for 2017/18				
		Share	5.1.6 Inter-agency working amongst FRM authorities, e.g. the Lincolnshire FRM & D Partnership and the North Lincolnshire Flood Risk Strategy Board.	Funded role of Consents & Enforcement post by LCC to be extended beyond April 2018 (had verbal assurance, awaiting written confirmation).				



L = LIKELIHOOD
I = IMPACT
T = TOTAL