

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

**September 2019**

No.	Risk		Plan	Current Risk			DoT Direction of Travel	
				L	I	T		
<b>Objective 1: Provide, improve and maintain standards of sound, needs based sustainable land drainage, flood protection and water levels management.</b>								
1.1	Asset failure at the Board's Pumping Stations, of the Board maintained watercourses or the Board's plant and machinery	1.1.1	Failure of pumping stations - Risk of flooding of land and properties.	Reduce	2	4	8	→
		1.1.2	Overtopping, failure of bank structures.	Reduce	3	4	12	↑
		1.1.3	Capacity of drains reduced below design standard.	Reduce	2	3	6	→
		1.1.4	Failure of Board owned or Contractors Plant and Machinery.	Reduce	2	2	4	→
		1.1.5	Flood damage to third party property including residents & businesses.	Share	3	4	12	↑
1.2	Risk of Operations failure due to lack of staffing or machinery resource, staff error or accident, failure of key supplier or contractor.	1.2.1	Lack of staff resource	Reduce	2	2	4	→
		1.2.2	Lack of machinery resource.	Reduce	2	2	4	→
		1.2.3	Volume of PSCA/rechargeable works requested.	Reduce	2	2	4	↑
		1.2.4	Failure of key supplier/contractor	Reduce	2	3	6	↑
1.3	Unable to respond appropriately to an emergency event due to lack of resources	1.3.1	Inadequate resources to be able to respond effectively	Share	2	3	6	→
		1.3.2	Lack of coherent Emergency Plan	Reduce	2	2	4	→

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).	1.4.1	Lack of financial resources.	Reduce	2	2	4	→
<b>Objective 2: To conserve and enhance the environment wherever practical and possible, to ensure there is no net loss of biodiversity</b>								
2.1	The 4 Boards do not deliver on the duty to protect and where practicable enhance the environment	2.1.1	Insufficient advice and guidance on environmental issues.	Reduce/ share	1	2	2	→
		2.1.2	Lack of training for staff	Reduce	1	2	2	→
		2.1.3	Members not aware of environmental issues.	Reduce	1	2	2	→
		2.1.4	Compliance with legislation and regulations.	Reduce	1	3	3	→
		2.1.5	Reduction of habitat/protected species	Reduce	1	2	2	→
<b>Objective 3: To provide a safe and fulfilling working environment for all staff.</b>								
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.	3.1.1	Injury to staff	Reduce	2	3	6	↓
		3.1.2	Not complying with Health & Safety regulations	Reduce	2	4	8	→
3.2	Potential claims against a Board resulting from accidents and incidents.	3.2.1	Claims and losses resulting from accidents and incidents	Share	2	3	6	↓
3.3	Issues with Staff Retention	3.3.1	Regular staff turnover	Reduce	2	2	4	↑
		3.3.2	Not able to recruit or retain competent and skilled workforce.	Reduce	2	2	4	↑
<b>Objective 4: To provide a cost effective, value for money organisation and maintain financial records that are correct and comply with recommended accounting practice.</b>								
4.1	Adverse internal and external audit opinions, non compliance with statutory requirements.	4.1.1	Loss of public confidence in any / all of the 4 Boards. Reputational impact.	Reduce	1	2	2	→

		4.1.2	Joint Services arrangement not function properly.	Reduce	1	2	2	→
4.2	Failure to collect income due to the Board, loss of income due to error or fraud.	4.2.1	Income due to the Board not invoiced or collected.	Reduce	1	3	3	→
		4.2.2	Loss of 'cash'/bank fraud.	Reduce	1	2	2	→
		4.2.3	Loss of investments.	Reduce	1	4	4	→
		4.2.4	Fraud by Officers	Reduce	1	3	3	→
		4.2.5	Lack of independent audit	Reduce	1	2	2	→
		4.3	Excessive Expenditure, beyond approved budgets	4.3.1	Budgets overspent	Reduce	1	2
		4.3.2	Unapproved expenditure by Officers	Reduce	1	2	2	→
		4.3.3	Fraudulent use of credit/purchasing cards.	Reduce	1	2	2	→
4.4	Loss of or damage to the Boards' assets due to theft, neglect or vandalism	4.4.1	Loss of stock	Reduce	1	2	2	→
		4.4.2	Loss/damage of assets	Reduce	2	2	4	→
4.5	Loss of data, ICT and Communications	4.5.1	Loss of data/data breach	Reduce	2	2	4	↑
		4.5.2	Loss of internet/ telephony/ telemetry	Reduce	1	2	2	↑
		4.5.3	Network Failure/virus introduced	Reduce	2	4	8	↑
		4.5.4	Loss of accounting/rating records	Reduce	1	2	2	↑
<b>Objective 5: To ensure that all actions taken by each Board comply with current UK (and EU) legislation</b>								
5.1	Non-compliance with legislation, regulations and good practice resulting in losses, prosecution, fines/ penalties/ sanctions.	5.1.1	Non compliance with law/regulations	Reduce/ Share	1	2	2	→
		5.1.2	Lack of awareness of 'best practice'	Reduce	1	2	2	→
		5.1.3	Claims and losses resulting from non compliance	Share	1	3	3	→

