

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
Governance - Members & Management								
Question 1 - Does the Board Lack Direction?								
1. a)	B	High	Low	1.1	Each board has a policy statement on Flood Protection and Water Level Management. These fall short of full Strategic Plan. All Boards have Biodiversity Action Plans. ADA standard model policies utilized to adopt an application. By default the constitution follows the provisions laid down in the Land Drainage Acts.	<u>31/03/2016</u>	ongoing	<u>31/03/2015</u>
1. b)	B	High	Low	1.2	Budgets follow sound logical principles. Approved by each IDB.	<u>15/02/2016</u>	annual (Jan/Feb)	<u>30/10/2015</u>
1. c)	B	High	Low	1.3	Daily, weekly, Monthly and Quarterly totals considered by Financial Officers on an ongoing basis that these are in accordance in general terms with budget. Evidence of budget monitoring approved by IDBs. Budget review document signed each month with comments.	<u>Ongoing</u>	ongoing	<u>30/10/2015</u>
1. d)	B	High	Low	1.4	Operational performance considered and updated at Board meetings as appropriate.	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
					Ratepayers know Board members. (Names of all Board members to be added to Shire Group website)	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
					Feedback to board of praise /criticism via member. Complaints procedure documented and available on website.	<u>Ongoing</u>	<u>Ongoing</u>	<u>30/10/2015</u>
Members & Management								
Question 2 - Do officials/members lack relevant skills or commitments?								
2. a)	D	Low	Low	2.1	Land Drainage Act provides for election of members every 3rd Year. Generally recruitment is via word of mouth from existing members and landowners who have been affected by the boards' policies in order to represent their interests.	31/03/2008	29/03/2008	<u>31/10/2015</u>
					Nomination papers are prescribed by the LDA 1991 and available on the website.	31/03/2013	<u>30/09/2015</u>	<u>30/09/2015</u>
2. b)	D	Low	Low	2.2	Qualifications for membership laid down by LDA 1991. See reverse side of nomination paper.	31/08/2014	29/03/2014	<u>1/04/2015</u>
	C	Low	High		Council to nominate people as they consider appropriate			
2. c)	C	Low	High	2.3	Ian Benn is a member of the ADA Technical & Environmental Committee. He attends a forum of local Clerks approx 3 times per year together with The Association of Drainage Authorities annual conference. Regular updates from Association of Drainage Authorities. <u>Training seminars on legislation, responsibilities, ethics, etc. are being delivered</u>	31/03/2016	<u>19/06/2015</u>	<u>6/11/2015</u>
Question 3 - Does the Board lack appropriate composition?								
3. a)	D	Low	Low	3.1	Standing Orders and Financial Regulations renewed are reviewed and renewed. To be approved by DEFRA.	31/03/2015	ongoing	<u>6/11/2015</u>
3. b)	D	Low	Low	3.2	Minutes and agenda thereto states Board Members are advised to declare a pecuniary or non pecuniary interest on any item in the agenda. Register of Members' Interested for are completed. Register of interests compiled	31/03/2015	ongoing	<u>31/03/2015</u>

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
3. c) Is there a procedural framework for meetings and recording decisions?	D	Low	Low	3.3	LDA and Clerk to arrange programme of meetings.	31/03/2008	ongoing	7/07/2014
3. d) Is there a procedural framework for dealing with conflicts of interest?	B	High	Low		As 3) above	31/03/2015	ongoing	7/07/2014
3. e) Is there the legal authority to pay expenses?	D	Low	Low		Not for Board meetings, conferences only.	31/03/2008	31/03/2008	7/07/2014
3. f) Is there a remuneration policy?	D	Low	Low		No remuneration policy in place. Boards may pay a chairman's honorarium at their discretion.	31/03/2008	31/03/2008	7/07/2014
Members & Management								
Question 4 - Is There an Adequate & Informed Organisational Structure?								
4. a) Is there an education programme with regard to the law?	D	Low	Low		See 2. b) above	31/03/2015	ongoing	<u>31/03/2015</u>
4. b) Is there an organisation chart clearly stating roles, duties and lines of communication?	D	Low	Low		In general on website	31/03/2015	ongoing	<u>31/03/2015</u>
4. c) Is there a monitoring process carried out?	D	Low	Low		JBA Procedures	31/03/2008	ongoing	<u>31/03/2015</u>
4. d) Is there a review of structure?	D	Low	Low		JBA procedures. IDB Division established in line with DEFRA requirements.	1/01/2009	1/01/2009	<u>31/03/2015</u>
4. e) Is there a competence framework?	B	High	Low		Job descriptions are written from the prospective of an engineering company which do not reflect duties specific to an IDB. Prescriptive Job Descriptions written for each team member. These are in progress. (reviewed annually)	31/03/2015	ongoing	<u>31/03/2015</u>
Question 5 - Is there a lack of succession planning? Can experience and skills be lost, and corporate contract/operational impact be lost?								
5. a) Is there succession planning?	B	High	Low	13.1	Good balance of knowledge and skills appropriately segregated. Procedures being documented.	31/03/2015	ongoing	<u>31/03/2015</u>
5. b) Are there appropriate notice periods for changeover?	B	High	Low	13.1	All IDB Division Staff have a permanent contract with JBA Consulting.	31/03/2008	11/09/2014	<u>31/03/2015</u>
5. c) Are there training programs in place?	B	High	Low		Ongoing on the job training of key staff occurring.	31/03/2015	ongoing	<u>31/03/2015</u>
Question 6 - Is the reporting process adequate?								
6. a) Is there timely and accurate project reporting?	D	Low	Low		Progress on capital schemes is reported regularly at Board meetings	31/03/2015	ongoing	<u>6/11/2015</u>
6. b) Is there timely and accurate financial reporting?	D	Low	Low		Estimates Jan/Feb, Accounts May/June	31/03/2015	annually	<u>6/11/2015</u>
6. c) Is there a budget setting process?	D	Low	Low		Yes. Laid down by LDA.	31/03/2015	annually	<u>15/02/2015</u>
6. d) Is there proper project assessment?	D	Low	Low		Grant-aided scheme - PAB Approval. Non grant-aided - report to the board.	31/03/2015	ongoing	<u>31/03/2015</u>
6. e) Is there regular contact between board and management?	D	Low	Low		Regular Board meetings	31/03/2015	ongoing	<u>6/11/2015</u>
Operational Risk								
Question 7 - Are there any risks associated with the provision of services?								
7. a) Is there a quality control procedure?	D	Low	Low		Duty of Care as Board Member	31/03/2008	31/03/2008	<u>19/06/2015</u>
7. b) Is there a complaints procedure?	B	High	Low		Website - Shire Group of Internal Drainage Boards	31/03/2008	31/03/2008	<u>6/11/2015</u>
7. c) Is there a policy to raise public awareness and profile?	D	Low	Low		Website - Shire Group of Internal Drainage Boards	31/03/2008	ongoing	<u>31/03/2015</u>
Question 8 - Is there a risk of supplier dependency?								
	D							

Appendix C - Risk Register

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
8. a) Are there procedures for obtaining quotations/periodic review of suppliers' charges?	B	High	Low	8.1	Three tier system	31/03/2008	31/03/2008	6/11/2015
8. b) Is there an authorised suppliers list?	D	Low	Low		JBA carry out all quality assurance on all contractors. Approved contractor list circulated as appropriate and approved by the board	31/03/2015	ongoing	31/03/2015
8. c) Is there a monitoring process over the quality and timing of bought in services?	B	High	Low	8.1	JBA administers all tendering processes and timing.	31/03/2015	ongoing	7/07/2014
Question 9 - Is there a risk that capital resources are under utilised?								
9. a) Is there a building and plant inspection programme?	B	High	Low	8.2	Program in place.	31/03/2015	annually	31/03/2015
9. b) Is there a repair and maintenance programme?	D	Low	Low	8.2	Repairs undertaken as required and approved at board meeting and general review to consider replacement option.	31/03/2015	annually	31/03/2015
9. c) Is there a capital expenditure budget?	B	High	Low	8.2	JBA prepare and update for each meeting a 5 year capital programme for IDBs.	31/03/2015	annually	31/03/2015
9. d) Is there a review of security and safe custody arrangements?	B	High	Low	8.2	Boards with plant have secure depots .	31/03/2015	ongoing	31/03/2015
9. e) Are there insurance reviews?	B	High	Low	8.2	Towergate Insurance annually review all eight Board policies. IDB supplied with details.	31/03/2014	annually	26/03/2015
Question - 10 Is there a risk of employment disputes due to injury, unfair dismissal, equal opportunities, in appropriate training etc., or a high staff turnover?								
10. a) Is there a recruitment process for appropriate staff?	D	Low	Low	10.1	Interview Questionnaire	31/03/2008	ongoing	27/08/2015
10. b) Is there a policy to check references and qualifications?	B	High	Low	10.2	Written references obtained when new employees are engaged.	31/03/2008	ongoing	7/07/2014
10. c) Is there an equal opportunities policy – fair and open competitions for key posts?	B	High	Low	10.3	No formal policy in place. Abide by current statute	31/03/2015	ongoing	7/07/2014
10. d) Is there a policy of appraisal with feedback?	D	Low	Low		No current formal appraisal policy	31/03/2015	ongoing	7/07/2014
10. e) Is there a policy of training and development?	D	Low	Low	10.4	Schedule of training needs via the asset manager	31/03/2010	31/03/2010	7/07/2014
10. f) Is there a health and safety training and monitoring?	D	Low	Low	10.4	As 10. e) above	31/03/2015	ongoing	7/07/2014
10. g) Is there a job description for each key position?	D	Low	Low	10.5	Job specifications in place for recent appointments.	31/03/2015	ongoing	7/07/2014
10. h) Is there a policy of review of rates of pay, training, working conditions etc.?	B	High	Low		Rates increased in accordance with Association of Drainage Authority guidelines.	31/03/2008	annually	7/07/2014
10. i) Are there contracts of employment?	B	High	Low	10.6	Contracts of employment in place	31/03/2008	31/03/2008	7/07/2014
Question 11 - Are there risks of loss of information and continuity?								
11. a) Is there a disaster recovery plan	B	High	Low	11.1	Backup tapes <u>kept off site</u>	31/03/2018	daily	31/03/2015
11. b) Is there a policy of taking and sharing data off site?	B	High	Low	11.1	As 11. a) above			
11. c) Is there Insurance cover? Is it regularly reviewed?	B	High	Low		see 9. e) above	31/03/2015	31/03/2014	26/03/2015
Question 12 - Is there a risk of lack of awareness of procedures and policies?								
12. a) Is there a proper documentation of procedures and policies?	B	High	Low	12.1	Recommend that policies be documented at the earliest opportunity. These are in progress.	31/03/2016	ongoing	31/10/2015
	D							

Financial Risks

Question 13 - Is there a risk of loss of control through an inadequate budget process?

Appendix C - Risk Register

Item	Grade	Impact	Likelihood	Ref	Comments/Action	Target Date	Completion Date	Last Reviewed
13. a) Is there a budget linked to planning and objectives?	B	High	Low		See 1. b) above	31/03/2015	ongoing	<u>6/11/2015</u>
13. b) Is the budget regularly reviewed and monitored?	B	High	Low		See 1. c) above	31/03/2015	ongoing	<u>6/11/2015</u>
13. c) Is there a monitored and adequate skill base to interpret the information?	B	High	Low		Team members both experienced and suitably qualified	31/03/2015	ongoing	<u>6/11/2015</u>
13. d) Is there an indication of major dependencies on income sources?	B	High	Low		Highlights requirements of DEFRA Grants and/or Public Works Loans (Capital works)	31/03/2015	ongoing	<u>6/11/2015</u>

Question 14 - Is there a risk of lack of liquidity due to inadequate reserves?

14. a) Is there a reserves policy linked to business plans and identified risks?	B	High	Low		To enable the operational existence of the Drainage Board year-on-year for the foreseeable future.	31/03/2015	ongoing	<u>31/03/2015</u>
14. b) Is there a regular review of the reserves policy?	B	High	Low		As 14. a) above	31/03/2014		<u>31/03/2015</u>
14. c) Is there a fair reflection of the financial integrity of the Boards reserves?	B	High	Low		Presentation of balances within accounts is consistent with associated effects on stated reserves. Recommend review of presentation of Balance Sheet in conjunction with Reserves Policy. This is ongoing.	31/03/2015	ongoing	<u>24/06/2015</u>

External Risks / Compliance with the Law

Question 15 - Is there a risk associated with non-compliance with the law or other external factors?

15. a) Is there a policy of review of the legal requirements extending to the organisation/professional opinion sought re:					Boards contractual.			
<ul style="list-style-type: none"> ● Employment Law? ● Human Rights Legislation? ● Health & Safety? ● Criminal Acts? 	B	High	Low		Equal Opportunities policies in existence.	31/03/2008	31/03/2008	<u>30/10/2015</u>
					Ian Benn/Craig Benson Health & Safety Advisors. Disciplinary Procedures.			
15. b) Is there a policy for monitoring and reporting grant funders' conditions?	B	High	Low		Depends on the scheme. Monitored generally by the project manager	31/03/2015	ongoing	<u>30/10/2015</u>