

Rural Development Risk Register Report

Entity: Rural Development, Risk Assessment open, Current Risk version, Risk is open

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Deirdre Harte (Rural Development Manager)				<i>Items in Group: 11</i>			
Rural Development	RDP projects are not implemented (Council as applicant)	Failure to progress projects by commitment deadlines (brought forward due to Brexit to 30/9/19); Failure to secure additional Council match funding; Failure to meet funder procurement and other requirements; Project partners are not managed effectively; Loss of key staff or failure to replace/recruit within timescales	Potential loss of funding; Non-delivery of key projects; Loss of / reduction in agreed outputs; Credibility.	<p>Agreed milestones and monitoring in place to ensure delivery within DAERA timescales (adjusted for Brexit)</p> <p>Project Boards set up as required. Regular meetings to monitor progress - at Director level if required</p> <p>Request to Capital WG/Council for additional cash match funding to enable full delivery of VR & Cooperation schemes</p> <p>Close liaison with funder DAERA to monitor BREXIT implications and timescales</p> <p>Project Plans to be put in place</p> <p>Project Risk Registers to be put in place</p> <p>Close monitoring of third party suppliers/contractors procured to deliver projects</p>	3	4	12
Rural Development	DAERA Equality requirements are not met	Lack of knowledge; Lack of monitoring of equality make up of panels, board and sub-groups; Gender Action Plan not delivered or reviewed	DAERA findings/penalties; Potential impact on future funding; Board does not represent make-up of LAG area; GDPR; Loss of credibility/public confidence in decisions	<p>Equality Declaration and Gender Action Plan in place and monitored</p> <p>Assessment Panel membership takes account of equality considerations and gender balance recorded and monitored</p> <p>Social partner vacancy recruitment process takes account of Equality Declaration</p> <p>Mandatory LAG Board and Staff equality training</p>	3	3	9

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Rural Development	Loss of or reduced drawdown of grant allocations to Derry-Strabane LAG area	Ineffective claims and recoupment procedures; Lack of skills amongst staff; Reduced staffing resources; Failure to meet funder procurement and other requirements; Failure to meet earlier programme deadlines due to BREXIT/BREXIT uncertainty; Grant recipient non-delivery or completion of projects; Ineligible expenditure; Lack of procurement training; Inadequate systems; Ineffective project management systems; Ineffective communication with DAERA	Budgetary implications and potential additional financial cost to Council (eg to cover admin budget if exceeds 22% of project spend); Inability to deliver or complete projects; Financial cost; DAERA financial penalties; Increased DAERA risk rating for compliance	<p>Appropriate Management Information System in place (Excel, Agresso)</p> <p>Monthly LAG Board meetings</p> <p>Weekly RDP Team meetings and regular communication of wider Council updates</p> <p>Regular updates/contact with Dept Accountant</p> <p>Retention of all relevant files to meet DAERA and EU requirements</p> <p>Attendance at DAERA funding and database training by all RDP staff</p> <p>Procurement and DAERA training for relevant staff</p> <p>Adherence to DCSDC and DAERA procurement requirements</p> <p>Letters of offer to grant recipients clearly set out funders' requirements</p> <p>Information & guidance to grant recipients</p> <p>Agreement & acceptance of Letter of Offer prior to commencement of projects</p> <p>Compliance with letters of offer and appropriate monitoring in place</p> <p>Close liaison with funder DAERA to monitor BREXIT implications and timescales</p>	3	3	9

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Rural Development	Failure to deliver within budget	Failure to adhere to budgetary control procedures; ineligible expenditure; expenditure incurred on unbudgeted items; lack of project monitoring and planning.	Financial implications; credibility; reputation; failure to complete projects.	<p>Weekly RDP Team meetings and regular communication of wider Council updates</p> <p>Appropriate Management Information System in place (Excel, Agresso)</p> <p>Close liaison with funder DAERA to monitor BREXIT implications and timescales</p> <p>Regular updates/contact with Dept Accountant</p> <p>All project expenditure is signed off by RDP Manager</p> <p>Check List on all files to ensure appropriate checks completed in respect of eligibility and procurement</p> <p>Compliance with letters of offer and appropriate monitoring in place</p>	3	3	9
Rural Development	Loss of key members of team	Uncertainty surrounding funded/temporary posts and impacts of BREXIT	Loss of experience / knowledge; Financial implications from loss of funding; Service disruption	<p>Communication with staff and weekly RDP team meetings</p> <p>Communication with funder DAERA in terms of future funding and implications</p> <p>Regular updates and contact with HR and Head of Service</p> <p>Preparation of pipeline projects for new funding rounds include existing staff resources</p>	3	3	9

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Rural Development	Non-compliance with GDPR requirements	Lack of knowledge/training; Inappropriate security, storage and disposal systems; Loss of information (eg at events/in transit)	Loss of information; Fine/penalties; Loss of funding; Loss of credibility	IT system access controls - restricted access to RDP folder Document Retention & Disposal Policies in line with Council and DAERA requirements Lockable filing devices & restriction of key access Staff awareness and mandatory Data Protection/GDPR training Contracts between Council, LAG and DAERA addendums take account of GDPR RDP GDPR document prepared for DAERA Article 60 annual compliance inspection All forms, templates and sign-in sheets amended in line with GDPR requirements Safe storage of information whilst out of office (Events/In transit)	3	3	9
Rural Development	Failure to safeguard against bribery and breaches of conflict of interest	Lack of awareness; Lack of clear DCSDC or LAG policies; Weak grant aid procedures	Financial cost; Litigation; Reputation; Inappropriate decision making	Adherence to DCSDC and DAERA procurement requirements Adherence to DCSDC and DAERA Gifts and Hospitality Policy Adherence to DAERA's strict grant aid assessment and award criteria LAG Board approvals required for all project funding Council approval required for administration spend at required thresholds. Manager/HOS/Director authorisation of all invoices Mandatory Declarations of Interest completed by all staff and LAG Board members and reviewed annually Conflict of Interest a standard agenda item for all LAG meetings	3	3	9

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Rural Development	An effective Health & Safety Management system is not implemented and operated	Lack of ownership / direction; Lack of awareness; Lack of training; No regular reviews of Risk Assessments and other H & S systems	Personal injury / death; Litigation; Financial cost; Reputational cost; Demoralised staff.	Staff awareness & mandatory training (inc Tool Box talks) Health & Safety Performance Indicators & monitoring system in place Departmental Health & Safety meetings Liaison with Corporate Health & Safety Officer OHS18001 accreditation and audit SSOWs and Risk Assessments in place and reviewed annually and as required. RA for overseas trips/visits	2	4	8
Rural Development	Lack of effective communication with staff	Lack of planning; Time; Lack of structured meetings	Financial implications; Low morale; Poor management of resources; Loss of staff	Regular one-to-one meetings/appraisals and monitoring of wellbeing and performance Weekly RDP Team meetings and regular communication of wider Council updates	2	3	6
Rural Development	Third party service providers are not managed effectively	Inadequate contracts; Non-adherence to procurement requirements and controls; Ineffective selection and management of suppliers; Lack of monitoring of performance/compliance with contracts	Financial cost; Delays or non-delivery of projects; DAERA financial penalties for non-compliance with procurement requirements; Reputational damage	Compliance with DAERA and Council procurement requirements Procurement Manager involvement/sign-off for all procurement over £10K Restricted access to procurement evaluation/scoring to trained and nominated staff only Contracts in place for third party service providers Close monitoring of targets and milestones to ensure compliance and delivery on time and within budgets Termination/claw back where required in line with contract T&Cs	2	3	6

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Rural Development	Council does not provide an effective Administrative service to enable LAG Board to deliver RDP	Lack of adequate administrative resources and support; Lack of knowledge/training; Poor governance structures	Failure to deliver RDP Strategy and funding; Financial risk to Council; Failure to meet Company House requirements	Financial management and audit overseen within Council processes Monthly progress reporting to LAG Board and DAERA Adherence to Company House requirements (AGM, Annual Report, financial returns and meeting quorum) DAERA Mandatory LAG Board and staff training RDP reports to Business & Culture Committee and monitored as part of Council's Service Plan framework Head of Business attends LAG Board meetings	2	3	6