

# Business & Culture Risk Registers

Entities: Business; Culture (including children), 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
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## (Rural Development Manager)

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 &amp; 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	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	<p>IT system access controls - restricted access to RDP folder</p> <p>Document Retention &amp; Disposal Policies in line with Council and DAERA requirements</p> <p>Lockable filing devices &amp; restriction of key access</p> <p>Staff awareness and mandatory Data Protection/GDPR training</p> <p>Contracts between Council, LAG and DAERA addendums take account of GDPR</p> <p>RDP GDPR document prepared for DAERA Article 60 annual compliance inspection</p> <p>All forms, templates and sign-in sheets amended in line with GDPR requirements</p> <p>Safe storage of information whilst out of office (Events/In transit)</p>	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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	<p>Adherence to DCSDC and DAERA procurement requirements</p> <p>Adherence to DCSDC and DAERA Gifts and Hospitality Policy</p> <p>Adherence to DAERA's strict grant aid assessment and award criteria</p> <p>LAG Board approvals required for all project funding</p> <p>Council approval required for administration spend at required thresholds. Manager/HOS/Director authorisation of all invoices</p> <p>Mandatory Declarations of Interest completed by all staff and LAG Board members and reviewed annually</p> <p>Conflict of Interest a standard agenda item for all LAG meetings</p>	3	3	9
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

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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>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>Letters of offer to grant recipients clearly set out funders' requirements</p> <p>Information &amp; guidance to grant recipients</p> <p>Agreement &amp; 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> <p>Adherence to DCSDC and DAERA procurement requirements</p> <p>Procurement and DAERA training for relevant staff</p> <p>Regular updates/contact with Dept Accountant</p> <p>Weekly RDP Team meetings and regular communication of wider Council updates</p> <p>Monthly LAG Board meetings</p>	3	3	9
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>	3	3	9

				Compliance with letters of offer and appropriate monitoring in place			
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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
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.	<p>Staff awareness &amp; mandatory training (inc Tool Box talks)</p> <p>Health &amp; Safety Performance Indicators &amp; monitoring system in place</p> <p>Departmental Health &amp; Safety meetings</p> <p>Liaison with Corporate Health &amp; Safety Officer</p> <p>OHS18001 accreditation and audit</p> <p>SSOWs and Risk Assessments in place and reviewed annually and as required. RA for overseas trips/visits</p>	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	<p>Regular one-to-one meetings/appraisals and monitoring of wellbeing and performance</p> <p>Weekly RDP Team meetings and regular communication of wider Council updates</p>	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	<p>Compliance with DAERA and Council procurement requirements</p> <p>Procurement Manager involvement/sign-off for all procurement over £10K</p> <p>Restricted access to procurement evaluation/scoring to trained and nominated staff only</p> <p>Contracts in place for third party service providers</p> <p>Close monitoring of targets and milestones to ensure compliance and delivery on time and within budgets</p> <p>Termination/claw back where required in line with contract T&amp;Cs</p>	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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

### (Festival and Events Manager)

Festivals and Events	FE7 Insufficient Marketing Opportunity	Lack of Marketing Team resource; Lack of budget	Poor reach & minimum impact; Incohesive approach to projects; Average participation & economic impact	Marketing Plan in place Regular meetings with Marketing Officers Support from Marketing & Communications Team	3	3	9
Festivals and Events	FE3 Lack of Festivals and Events Strategy	Lack of strategic planning; Lack of direction; Interlinked to Community Planning process; Lack of resources	Minimum impact both financial & quality; Lack of co-ordinated approach; Duplication of effort; Continuation of pet versus strategic projects	Tourism and Arts and Cultural strategies include Festival & Events dimension and relevant PIs Members Culture Working Group established Engagement in Community Planning process	3	3	9
Festivals and Events	FE10 An effective Festival & Events Grant Aid programme is not delivered	Lack of resources; Lack of clear grant aid policy which ensures grant programme is linked to Festival & Events objectives; Lack of training	Inappropriate grant allocated; Fraud; Financial cost; Reputation; Loss of opportunity; Impact on communities	Independent Assessment Panels Staff member dedicated to processing of grant aid Post-Event Evaluation Forms Grant Aid Policy which ensures competitive process for Headline Events and Community Festivals Fund Award criteria linked to Community Plan objectives	3	3	9

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Festivals and Events	FE6 Inadequate Health & Safety Management of events	Lack of co-ordination; Lack of communication; Increasing attendance levels; Insufficient resources; Poor inter-departmental working; Wider festivals programme and additional responsibilities	Fatalities/Personal Injury; Litigation; Financial costs; Reputation; Damage to inter-agency relationships	Post-event evaluations Ongoing staff training Event Safety Officers (2) in post Event Safety working group established to examine resourcing of Events Health & Safety support Event Safety Training Plan in place Event Planning Teams Contractual arrangements Event Safety Plans & Risk Assessments Communication & liaison with other statutory agencies & external bodies Vetting of Contractors/Third Parties Safety Advisory Group	2	4	8
Festivals and Events	FE8 Inadequate or inappropriate procurement systems	Lack of resources; Lack of policies and procedures; Lack of training; Poor file management systems; Time constraints when delivering events	Inappropriate procurement decisions; Non-compliance with procurement policies; Legal challenges; Financial cost; Reputation	Council procurement policies and procedures Liaison with and advice from Procurement Section Finance and Verification Officer appointed for Directorate on temporary basis	2	4	8
Festivals and Events	FE9 Inadequate budgetary control system	Lack of inter-departmental communication; Inadequate reporting systems; Inappropriate costing authorisations; Variances in site services costs; Unplanned events	Overspend; Financial cost	Quarterly budget reports Liaison with Property Management regarding site services costs Event rates agreed for staff Liaison with Directorate Accountant	2	3	6
Festivals and Events	FE4 Poor Programme Development	Lack of team/resources to develop events; No clear direction through strategy; Inability to research effectively; Unforeseen/unplanned events place strain on existing budgets	Lack of participation; Poor reputation; Inefficient use of funds	Agreed annual programme Annual Tender for Animation service Working with key partners in the delivery of programmes	1	3	3

				Members Culture Working Group established			
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**(Marketing Manager)**

Marketing	Lack of appropriate research/consultation	Lack of consultation; Lack of strategy; Poor data collection; Lack of resources Lack of budgets	Loss of credibility; Public disengagement; No information/feedback for planning or decisions or service improvements	Campaign Evaluation Systems Surveys Online system for feedback Liaison and communication with Council Depts to identify consultation needs	3	3	9
Marketing	New Council Brand roll-out is not achieved	Non-alignment with current Council policies; Resistance to change Language / signage moratorium	Reputation; Council services not fully recognised; Inconsistent communication	Centralisation and consistency of all design requests Council approvals where required Brand guidelines developed and rolled out to all service areas	3	3	9
Marketing	Inability to maintain systems for social media and e-communication	Inadequate resources and reluctance to change; Lack of appropriate skills in respect of social media communication; Lack of appropriate intranet system	Missed opportunities and inefficiencies; Reputation	Social Media Plans for every campaign Ongoing review of Council-owned websites Website Redevelopment Plan Staff training Social Media protocols developed and to be rolled out to all staff Editorial Calendars Use of Social Bankers to monitor, moderate and evaluate social media activity across all Council owned social media channels Dedicated Marketing Officer administers each social media page. The responsible officer tracks conversations, comments and messages and resolves accordingly. Each social media page carries a set of page rules for users	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Marketing	Third party service providers are not managed effectively	Lack of communications/trust; Lack of formal contract; Lack of transparency	Financial cost; Poor/Inadequate service standards	Procurement training to relevant staff Liaison with and advice from Procurement Manager Use of single select list for services Sign-off of all projects Regular progress meetings Clear Terms of Reference for all Projects Adherence to Council procurement procedures	2	3	6
Marketing	The security and integrity of critical data/information is not assured	Inappropriate access controls; Lack of training/awareness	Loss of information; Loss of credibility; Loss of documentation	Data Protection training Email Marketing System Access controls Mechanism for authorisation of holding of personal data/ mailing lists Involved in GDPR steering group	2	3	6
Marketing	Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness	Financial cost; Impact on service delivery; Reputation	DCSDC Gifts & Hospitality Policy DCSDC approval & payment procedures Fraud Awareness Training Adherence to Council procurement procedures	2	3	6

### (Tourism Development Manager)

Tourism Development	Lack of coordination/ liaison between council & tourism partners	Lack of resources. Lack of support. Failure to build effective relationships establish/ develop a fit for purpose and representative tourism forum.	Disengagement from external bodies/ key stakeholders. Silo working/ failure to identify and work towards common goals. Failure to develop an effective tourism strategy. Loss of funding.	Maintenance of robust databases & multiple platforms for dissemination and sharing of information. On-going engagement.: community planning, strategy, development, Sperrins Future Search Tourism Strategy/ tourism steering group. Grant aid programme for heritage venues.	3	3	9
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Tourism Development	Lack of communication with public/ tourism providers and lack of awareness of industry needs.	Lack of resources. Lack of consultation.	Industry disengagement. Loss of credibility/ reputation. Loss of funding. Service delivery based on perceived needs as opposed to actual needs of citizens / stakeholders.	Maintenance of robust databases & multiple platforms for dissemination and sharing of information. On-going engagement.: community planning, strategy, development, Sperrins Future Search Industry support initiatives, informal networking. Customer service Charter - responses to requests for information & support	2	4	8
Tourism Development	Failure to manage third party service providers effectively	Lack of formal contract. Lack of management systems. Lack of communications/trust. Lack of transparency	Council procurement procedures. staff procurement trained. Clear terms of reference for all projects. Use of single select lists for services if applicable. Contractual arrangements in place/ service level agreements. On-going liaison with providers.	Council procurement procedures. Staff procurement trained. Clear terms of reference for all projects. Use of single select lists for services if applicable. Contractual arrangements in place/ service level agreements. On-going liaison with providers.	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Tourism Development	Inadequate H&S management systems	Lack of leadership/ ownership. Poor management. Lack of awareness/training	Death/ injury. Damage to property/ plant/ equipment. Financial cost. Litigation. Service disruption. Loss of reputation/ credibility. Demoralised staff.	<p>Compliance with council's H&amp;S policy, procedures and processes</p> <p>Premises, Service and Event Risk Assessments</p> <p>ISO 18001 compliance and audits</p> <p>Departmental Health &amp; Safety performance indicators and compliance</p> <p>Maintenance/housekeeping regimes</p> <p>Vetting of sub-contractors (Select List) and contractual arrangements</p> <p>Health &amp; Safety related training matrix in place for staff</p> <p>Team meetings - Health &amp; Safety on agenda</p> <p>Event Management Plans</p> <p>Access to Safety Advisory Group (SAG)</p>	2	4	8
Tourism Development	Tourism Assets are not managed effectively	lack of clear definition of ownership; Lack of resources; Lack of planning; Poor maintenance/inspection regimes; Poor recording systems; Age and poor condition of assets; Lack of inventory management controls/trace-ability. Lack of secure/suitable storage. Lack of knowledge/training/user manuals. Poor maintenance/inspection regimes. Lack of process for equipment disposal. Retention of damaged/unsafe equipment. Inadequate support information e.g. user manuals or training	Loss of assets; Unsafe environment/poor working conditions; Equipment misplaced, borrowed (and not returned), stolen, damaged. Financial loss/ insurance premium. Accumulation of unwanted equipment. Use of unsafe equipment; Unsafe use of equipment; Litigation against council. Loss of reputation/credibility.	<p>Designated keyholders for Sperrin Heritage Centre</p> <p>Premises Risk Assessments in place</p> <p>Site visits and inspections</p> <p>Equipment inventory checks</p> <p>Adequate and safe storage of equipment</p> <p>PAT Testing</p> <p>Training where applicable</p>	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Tourism Development	Lack of effective communication with staff	Lack of resources. Poor management. Time constraints.	Demoralised workforce. Loss of credibility/ reputation. Impact on service delivery	Regular informal communication-shared office space, Corporate communications & staff engagement events regular service/ team meetings. Formalised written reporting processes.	2	3	6
Tourism Development	Loss of key members of staff	RPA Lack of career opportunities and advancement. Ineffective allocation of roles and responsibilities. Poor work environment. Ill health.	Loss of experience/ knowledge. Service disruption. Impact on staff morale.	Provision of adequate resources/ positive working environment. Staff personal development planning and training reviews in place. Team meetings - on-going support. Be Well initiatives.	2	3	6
Tourism Development	Lack of knowledge/ expertise	Lack of resources. Lack of planning. Inadequate recruitment processes. Inadequate/ induction/ training provision.	Incorrect advice/ support given to stakeholders. Litigation against Council. Loss of reputation/ credibility.	Robust recruitment process. Induction/ in-house training for new employees. Staff personal development planning and training reviews in place. Team meetings.	2	3	6
Tourism Development	Security of critical data/information	Inappropriate security systems. Lack of back-up systems, lack of training/ awareness of procedures	Loss of information. Unauthorised access to sensitive data. Breach of data protection. Financial losses/ penalties. Disruption to service prevention. Reduced stakeholder confidence. Loss of credibility	Confidential/ essential documentation stored in secure area. IT controls- Protection against cyber attacks; back-up systems in place Password controlled PC's/ folders Adherence to corporate document retention & disposal policies.	2	3	6
Tourism Development	Lack of appropriate IT resources (equipment & software)	Lack of resources planning	Reduction in efficiency of service	Dedicated IT section/ provision of Internal ICT support.	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Tourism Development	Failure to obtain sufficient co-financing to secure funding	Lack of advance planning. Lack of expertise. Ineligible spend. Lack of awareness. Poor communication/ networks. Lack of resources/ time. Funders dissatisfaction with project management.	Inability to deliver projects. Reduced tourism benefits/ outcomes. Financial loss penalties. Loss of reputation/ credibility.	Networking/ On Funders Databases ..... Training where applicable ..... Attendance at funders workshops. ..... Application of budgetary control systems .....	2	3	6
Tourism Development	Strategic priorities & service target/ deadlines not achieved. Poor service delivery	Lack of resources/ expertise. Lack of planning and management. Lack of awareness. Lack of awareness. Failure to implement efficiency and cost management controls	Resident/ Stakeholder dissatisfaction. Elected member dissatisfaction. Loss of opportunity. Poor value for money/ service disruption. Council reputation damaged/ negative PR. Damaged staff morale. Threat to future funding.	Community Plan/ Tourism Strategy. ..... Annual service plans produced. ..... Management meetings. ..... Progress reporting. ..... Updates to Council. .....	2	3	6
Tourism Development	Failure to safeguard against bribery	Lack of policies/ procedures. Poor procurement/ financial systems. Lack of awareness/ training. Lack of checks and balances	Financial cost. Litigation. Poor service delivery. Loss of reputation/credibility	Adherence to DCSDC procurement policy and procedures. ..... Staff training - fraud awareness. ..... Policy and procedures for grant aid. Gifts & Hospitality Policy. ..... Appropriate authorisation and certification of payments. ..... Conflicts of Interest Policy	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Tourism Development	Theft/ Fraud by employee or third party	Inadequate security/ controls. Lack of checks balances. Failure to correctly process and approve invoices/ requests for payments for goods and services received.	Financial cost. Loss of reputation/ credibility. Staff morale.	Inventory of equipment. Clear policies, procedures and record management processes: Travel & Subsistence/ Clock in. Adequate and secure storage. Loan forms completed by external groups. Staff training - fraud awareness. Adherence to DCSDC procurement policy and procedures.	2	3	6
Tourism Development	Ineffective management of absenteeism	Poor working practices. Inadequate policies. Pressure on staff resources. Poor morale. Apathy. Lack of training.	Poor morale. Financial cost. Service disruption.	Adherence to Council's Sickness/Absence Policy Training & staff support/ wellbeing initiatives.	2	2	4

**(Arts & Culture Manager)**

Arts and Cultural Development	ACD6 Council's public artworks portfolio is not appropriately registered and maintained	Lack of resources; Lack of clear definition of ownership; Poor inventory & recording systems;	Damage to assets; Public perception; Negative impact on public spaces	Audit of existing works completed Individual arrangements in place for specific works Liaison with Property Management regarding maintenance requirements	3	3	9
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Arts and Cultural Development	ACD7 Inadequate Health & Safety Management System	Lack of ownership / direction; Lack of awareness; Lack of training	Personal injury / death; Litigation; Financial cost; Reputational cost; Demoralised staff	Vetting of sub-contractors (Select List) Contractual arrangements Quest Accreditation awarded to Alley Theatre (includes review of H & S System) Regular internal and external auditing of H & S Departmental Health & Safety Performance Indicators & monitoring system in place Insurance inspections Event Management Plans Health & Safety Risk Assessments Officer membership of Event Safety Management Group Maintenance regime for plant & equipment Ongoing staff training Compliance with Council Corporate Health & Safety Policy, systems & procedures Ongoing audits of ISO 18001 systems Regular meetings Premises Risk Assessments	2	4	8
Arts and Cultural Development	ACD17 Inadequate security of Council premises	Lack of initial planning ; Lack of resources	Service disruption; Loss of confidence; Financial Cost	Appropriate security infrastructure & procedures Designated keyholders Premises Risk Assessments	2	4	8



Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Arts and Cultural Development	ACD5 Theft / Fraud by Employee or Third Parties	Inadequate security (physical & financial controls)	Financial cost; Loss of credibility; Staff morale	Inventory of equipment Loan forms completed by external groups Adherence to Council procurement procedures Cash handling & reconciliation procedures Compliance with Finance Debtors and Creditors procedures Stock monitoring & control procedure (Alley Arts & Conference Centre) Equipment Spot Checks Fraud Awareness Training	2	3	6
Arts and Cultural Development	ACD15 Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness	Poor service delivery; Financial cost; Reputation	Adherence to Council procurement procedures Appropriate authorisation & certification of payments Gifts & Hospitality Policy Grant Aid policies and procedures Conflict of Interests Policy Fraud Awareness Training	2	3	6
Arts and Cultural Development	ACD10 Lack of effective communication with staff	Lack of planning; Time	Demoralised staff; Reputation of Council; Impact on Service Delivery	Regular meetings Continual informal communication	2	3	6
Arts and Cultural Development	ACD18 Inadequate Safeguarding Arrangements	Lack of policies/procedures; Lack of awareness	Personal injury/damage; Stress; Litigation; Reputation	Adherence to Corporate Safeguarding/Child Protection Policy/Procedures Staff training Access NI checks where appropriate	2	3	6
Arts and Cultural Development	ACD4 Reduced capacity to access external funding in respect of Arts activity	Failure to obtain sufficient co-financing; Lack of knowledge; Lack of communication; Lack of time & resources; Lack of forward planning	Failure to attract funding; Inability to deliver programmes; Reduced Arts & Cultural benefits; Credibility	Constant awareness of funding opportunities Networking Attendance at funders seminars Budgetary control system Arts Development Officers in post	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Arts and Cultural Development	ACD20 Non-compliance with Working Time Directive	Out of Hours demands of service; Lack of resources; Lack of agreed procedures	Financial cost; Staff wellbeing; Morale	Regular planning of work schedules Ongoing monitoring of hours Agreed procedures for allocation of hours/annual leave/TOIL	2	3	6
Arts and Cultural Development	ACD16 Poor Inventory Management arrangements	Lack of clear documented procedures; Unclear roles/responsibilities; Lack of knowledge/training	Loss of assets; Inadequate insurance; Theft/Fraud; Reputation; Litigation	Loan forms completed by external groups Inventory of equipment Periodic equipment inventory spot checks Stock monitoring & control procedure (Alley Arts & Conference Centre) Museum objects held in dedicated, secure storage (Alley) & inventory held	2	3	6
Arts and Cultural Development	ACD2 Lack of co-ordination/liaison between Council & Cultural Partners	Lack of resources; Lack of support; Failure to establish & maintain an appropriate forum	Failure to develop an updated Arts & Cultural Strategy; Disengagement from external bodies; Failure to work effectively with Cultural Partners	Engagement in Community Planning process Arts & Culture Working Group Development of an Arts & Cultural Strategy 2019 - 2024 Planned establishment of a co delivery group to oversee roll out of strategy Grant aid programme for venues and festivals Section 75 Evaluation & Monitoring systems Service Level Agreement with Millennium Forum and NWC1	2	3	6
Arts and Cultural Development	ACD8 Lack of awareness of community needs / Lack of communication with communities	Lack of consultation; Lack of strategy	Loss of credibility; Public disengagement; Loss of funding	Co-Design Group for Arts & Cultural Strategy includes representatives from Cultural Sector Engagement in Local Area Planning Informal networking/consultation arrangements in place with key cultural partners. Engagement in Community Planning process - Arts & Culture Working Group	2	3	6

				Intensive consultation and needs analysis included as part of development process for Arts & Cultural			
Arts and Cultural Development	ACD19 Bad Debtors (Alley Arts & Conference Centre)	Lack of policies/procedures; Lack of awareness	Negative impact on budgets; Reputation; Impact on service delivery	Compliance with Finance Debtor Control procedures	2	2	4
				Staff training			

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### (Business Development Manager)

Business Development	Loss of or damage to Council Building Asset (Hawkin Street Premises)	Lack of management of tenants; Misuse of property; Vandalism; Lack of adequate inspection and maintenance procedures; Inadequate health & safety management systems	Financial cost; Service disruption; Reputation; Litigation	Tenants issued with lease Premises Risk Assessment in place Weekly inspections and health & safety checks Bonfire protection in place when required	3	3	9
Business Development	Loss of or reduced drawdown of grant allocations	Ineffective claims and recoupment procedures; Lack of skills amongst staff; Failure to meet funder requirements; Potential Brexit implications	Reduction in number of business support programmes delivered; Budgetary implications; Financial cost	Research into alternative funding avenues Adherence to LOO requirements Staff training re: European funding financial requirements Procurement training	3	3	9
Business Development	Management systems for events in external venues are not effective	Lack of planning; Inadequate health & safety management systems; Lack of expertise/knowledge	Poor quality events; Events do not achieve business development objectives; Public complaints; Accidents/incidents ; Reputation	Risk Assessments completed for external events Event Plans where applicable Health & Safety and Manual Handling training for staff Council staff on site for duration of events	3	3	9
Business Development	Walled City and Strabane Markets are not managed effectively	Lack of planning; Poor quality product offering; Inadequate health & safety management; Unclear roles and responsibilities; Poor communication and management of traders	Poor attendance levels; Business development opportunities lost; Stakeholder disengagement; Reputation; Public complaints; Injury to staff or public	Terms and Conditions issued to Traders Quality criteria applied to Trading applications Markets Development Officer in post Risk Assessments completed for markets Traders required to have appropriate food safety rating and insurance in place Manual handling training for staff Checking of weather forecasts prior to markets Engagement with Environmental Health & Property Management Sections within Council	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Business Development	Ineffective Health & Safety Management system	Lack of ownership / direction; Lack of awareness; Lack of training.	Personal injury / death; Litigation; Financial cost; Reputational cost; Demoralised staff	Departmental Health & Safety meetings Liaison with Corporate Health & Safety Officer Risk Assessments in place Health & Safety Performance Indicators & monitoring system in place OHS18001 accreditation and audit Managing Safely and Working Safely training to staff	2	4	8
Business Development	Business Development projects within the Service Plan are not delivered	Poor project management;; Lack of communication; Failure to manage third party service providers (Mentoring, Contractors); Failure to work effectively with other statutory agencies and funders; Inadequate monitoring and reporting of Projects	Loss of funding; Overspend/underspend; Reputational damage; Duplication of effort with other business support agencies; Statutory requirements are not met;	Regular meetings with funder and other Business support agencies Financial monitoring including programme spreadsheets Regular audit of Mentors' performance Regular PM meetings with partner Councils and Enterprise Agencies Monitoring procedures for Contractor delivery	2	3	6
Business Development	Third party service providers do not deliver on appointed contracts	Poor management of contracts; Poor communication	Failure to meet LOO requirements; Poor service delivery; Loss of funding; Overspend/underspend; Financial cost; Reputational damage	Contracts in place Regular meetings with contractors Spend/Activity Update Reports	2	3	6
Business Development	Strabane BID Annual Action Plan is not delivered	Poor management controls; Lack of resources; Inadequate communication; Failure to collect levy	Economic impact; Financial cost; Reputational damage; Stakeholder disengagement	Head of Business is Board member of BID Company Financial management and audit overseen within Council processes BID Work Plan contained within Council Service Plans Board receiving board governance support Monthly meetings of Board Debt recovery re. levy payment including legal proceedings if necessary	2	3	6

				Head of Business reports to Business & Culture Committee			
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Business Development	Programmes are not delivered within budgetary allocations	Failure to adhere to budgetary control procedures; ineligible expenditure; expenditure incurred on unbudgeted items; lack of project monitoring and planning.	Overspend/Underspend; credibility; Failure to meet programme and funder objectives	Financial monitoring including programme spreadsheets Regular claims submitted Regular budgetary meetings with project staff and funders	2	2	4

### (Visitor Services Manager)

Visitor Services	VS17 Inability to meet target date for development of Maritime Museum	Lack of agreed funding from TEO; Current political uncertainty	Unable to develop stronger cultural hub for Ebrington site; Financial implications; Loss of current funders; Loss of economic benefits; Reputational damage	Maritime Museum Project Team and governance structure in place Visitor Services Manager is Project Operation Sponsor for Maritime Museum Project Regular Project Board and Steering Group meetings Strategic review of project underway	4	3	12
Visitor Services	VS18 Inadequate premises and operational management arrangements for 1-3 Waterloo Place premises	Lack of accountability/ownership; Lack of clear policies, systems and procedures; Multiple teams located on site	Health & safety implications; Loss of Council assets; Financial implications; Reduced business income opportunities; Staff morale; Reputational damage	Responsibility for premises management assigned to Visitor Services Currently reviewing Leases and local agreements Meetings being held with various teams to agree roles and responsibilities Expressions of interest requested to assign point of contact	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Visitor Services	VS4 Poor Inventory Management Arrangements	Lack of clear documented procedures; Unclear roles/responsibilities; Lack of knowledge/training; Poor management of acquisitions/loans	Loss of/Damage to assets; Inadequate insurance; Theft/Fraud; Reputation; Litigation; Poor quality exhibitions/displays	Security Policy Policies/guidelines for the movement/relocation of artwork & museum objects including Collection Policy and Loans Policy Annual reconciliation of Civic Treasures, Artworks etc. with Insurance Manager Annual 100% Audit of Civic Treasures etc completed by Museum Staff, and 10% random checking by Service Level Action Plan includes actions related to cataloguing project Regular reviews of Inventories including checks on out of date stock Insurance	3	3	9
Visitor Services	VS11 Acceptable standards of maintenance are not achieved	Poor systems/routines; Lack of ownership; Inexperienced Team Leaders; Lack of knowledge; Lack of financial resources; Absence of forward planning; Poor inter-departmental communication; Poor service from Contractors; Inefficient or lack of ICT systems	Damage of collections; Slow dilapidation of facilities reducing capital values; Long delays in repairing faults; Loss of revenue; Reputation; No repeat visitors; Increased likelihood of accidents/incidents	Staff Training - Training Matrix in place Maintenance Checklists Premises Risk Assessments & inspection systems in place Regular inspections of buildings Liaison with Property Management Section Maintenance Planning Use of Asset HQ Software system to record all property maintenance issues Compliance with requirements of OHS 18001	3	3	9
Visitor Services	VS16 Inappropriate operational staff structure	Prolonged organisational review; Poor or lack of relevant consultation; Budgetary constraints; Lack of expertise to conduct review process; Lack of clear responsibilities; Poor communication	Inefficient and ineffective systems and procedures; Inadequate staff to deliver high customer standards; Poor and inexperienced management team; Poor staff morale; Ineffective staff rotas	Experienced HR and operational personnel conducting review Consideration of previous and current staff Consultation with team and unions Multiple options to be considered	3	3	9



Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Visitor Services	VS19 Total loss of or serious damage to major Council building asset through a major fire or other event	Poor fire preventative measures in place; Lack of training; Inadequate maintenance and inspections or premises and equipment; Fire spreading from neighbouring premises/bins etc; Vandalism; Terrorism; Inappropriate use.	Service disruption; Loss of historical/cultural asset; Loss of valuable artefacts; Death or injury to staff; Staff morale; Financial costs; Management disruption; Litigation; Reputation; Increase in insurance premiums; Disruption to third party business operations sited within Council premises	<ul style="list-style-type: none"> <li>Fire Risk Assessments in place</li> <li>Liaison with Fire Authority</li> <li>Emergency lighting in place and tested regularly</li> <li>Regular inspections</li> <li>Good housekeeping</li> <li>Property Insurance</li> <li>General Premises Risk Assessment in place which is continually monitored &amp; reviewed.</li> <li>Smoke detectors in place and regularly tested</li> <li>Smoke detectors linked to Fire Service</li> <li>Regular reviews of building exteriors including parking, bin storage etc</li> <li>Test logs held by Facility Managers</li> </ul>	1	5	5
Visitor Services	VS3 External funding opportunities are not exploited	Lack of knowledge; Lack of communication; Failure to work in partnership with other bodies	Failure to attract funding; Inability to develop Heritage & Museum Assets; Economic impact; Reputation	<ul style="list-style-type: none"> <li>Regular contact with funding bodies (NITB, HLF, NI Museum Council)</li> <li>Regular reviews of Funders' websites to ensure all opportunities maximised.</li> <li>Communication with other agencies/bodies</li> <li>5 year Strategy for Museum Services in place from March 2018</li> <li>Forward planning &amp; liaison with Finance Dept. &amp; Economic Development</li> </ul>	2	2	4

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Visitor Services	VS5 Visitor footfall and income targets set for 2018/19 are not met	Weak booking & financial systems; Lack of knowledge/training in respect of booking procedures; Lack of dedicated booking staff; Weak marketing strategy; Lack of internal charging policies; Poor marketing of facilities; Lack of facilities within museums (cafes, retail facilities); Under utilisation of facilities; Weather conditions	Reduced income; Financial cost; Reputation; Restriction on service development	Annual review of pricing policy Donation boxes in venues Liaison with Marketing Section Visitor Information Record System Monthly communication with Tour Operators Annual exhibition & Events Programme Visitor Surveys Subscription to Annual Tourism NI Grading System (4 Star Rating Guildhall and Tower Museum) Service Level Action Plan agreed in relation to income targets Booking Diaries in place	2	2	4
Visitor Services	VS7 Standard Operating Procedures are not met	Lack of formal systems/routines; Confusion in respect of roles, responsibilities & priorities; Poor access to Health & Safety systems; Lack of permanent Management Team; Inexperienced Team Leaders; Lack of training	Poor service standards; Security of premises; Health & Safety implications; Inability to attract visitors; Reputation; Financial cost; Increased likelihood of failing audits; No consistent leadership to drive operations; Poor staff discipline	Monthly Health & Safety meetings Health & Safety responsibilities assigned Health & Safety Audit Procedures Security Policy/Procedures for premises Staff Training Matrix in place VSM meets staff fortnightly & the Curator weekly to outline priorities	2	2	4

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Visitor Services	VS9 Council does not work effectively with key strategic partners in respect of the development of Museums and Visitor services	Lack of communication; Lack of strategic thinking; Lack of agreed funding	Missed opportunity for major funding and for establishing a further presence in the city; Incoherent & competing collecting policies; Cost for conservation & care of collections	Liaison with and mentoring of other venues Grant funding applications in partnership where applicable Liaison & communication with wide range of statutory and local/national organisations Maritime Museum Project Team and governance structure in place Engagement in Community Planning process Visitor Services Manager is Project Operation Sponsor for Maritime Museum Project Detailed Risk Register in place for Maritime Museum project 5 year Strategy for Museum Services in place from March 2018	2	2	4
Visitor Services	VS1 Inadequate Health & Safety Management systems	Lack of ownership/direction; Lack of training/awareness; Lack of systems/procedures; Lack of regular Health & Safety meetings	Personal injury/death; Litigation; Financial cost; Reputational cost; Demoralised staff	Risk Assessments & SSOWs on Health & Safety 'S' Drive Staff Training Matrix Staff training Inspections of premises Emergency evacuation procedures Fire Risk Assessments Departmental Health & Safety Committee Team meetings & internal Management meetings consider Health & Safety issues Health & Safety Performance Indicators & monitoring system in place Compliance with requirements of OHS 18001 Internal and External audit processes	2	2	4

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Visitor Services	VS10 Inability to maximise marketing opportunities	Lack of adequate budget; Lack of strategy; Lack of Regional Museum & Heritage Network; Lack of Museum & Visitor Attractions Website; Weak external green signage & local fingerposting; Poor liaison with Marketing Team; Inadequate staff resources; High turnover of marketing officers resulting in lack of continuity	Loss of credibility; Public disengagement; Uncoordinated marketing strategy; Missed opportunities; Failure to attract major events/conferences ; Reduction in visitor numbers; Reduced income	Marketing Objectives set in Annual Service Plan Regular team meetings - Monthly formal and bi-weekly informal Development of business partnerships to maximise advertising opportunities Maximising available marketing budget Maximising of social media opportunities Promotional Videos, brochures and leaflets Meet the Buyer Events Visit Derry Membership Website Plan Liaison with Marketing Section Fortnightly meetings with Marketing & Communications Officer Marketing Plan	2	2	4
Visitor Services	VS12 Lack of adequate income collection procedures	Inadequate security (Physical & Financial Controls); Lack of stock control system; No audits in place; Lack of training; Inappropriate software	Financial cost; Theft/Fraud; Loss of credibility; Staff morale	Staff training Stock sheets in place to record opening stock, purchases, sales and closing stock of all items now merchandised at Guildhall and Tower Museum. Income Collection & Bookings Procedure in place Use of Drop Safes Till software - 'RST' EPOS system installed Petty Cash voucher system	2	2	4
Visitor Services	VS15 Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness/training;	Financial cost; Impact on quality of service; Reputation	Council Procurement procedures Adherence to Hospitality Policy Anti-Bribery Policy Conflicts of Interest Policy Fraud Awareness training Segregation of duties	2	2	4

				Adherence to Council Grant Aid Procedures			
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
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### (Digital Services Manager)

Digital Services	IT18 Inadequate protocols for the use of Portable Devices	Lack of policies/Procedures; BYOD; Lack of staff awareness; Inadequate security of devices	Loss of Data; Security Breach; Virus transmission; Data protection implications; Additional strain on ICT Resources; Fraud/Theft	Facility for remote wiping of devices Meraki Device Manager Software Citrix Receiver used for portable devices Signed acceptance of User requirements for Portable Devices Encryption of devices commenced Suite of Digital Services policies and procedures in place Mandatory training on Digital Services Policies for staff	3	4	12
Digital Services	IT1 Inability to maintain ICT services in the event of a major disruptive incident or a hardware/software failure	Lack of planning; Time; Budget constraints; Inappropriate hardware/software	Discontinuity in delivery of Council services; Loss of credibility; Financial cost	Disaster Recovery and Continuity Plans in place for Civic Offices (2 Sites) Disaster Recovery System in operation for both sites which are tested on a weekly basis Daily Back-Ups Daily back-up status report	2	4	8
Digital Services	IT17 Use of unsupported software for core functions	Lack of resources; Lack of policies; Lack of central control; Lack of planning; Poor communication with Council Depts	Impact on service delivery; Financial cost; Reputation	Phasing out of unsupported software Continual communication and liaison with Council Depts regarding software requirements	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Digital Services	IT19 ICT development does not keep pace with organisational priorities and challenges facing Council services	Lack of strategy; Lack of ICT engagement in business planning programmes; Inadequate budget; Lack of expertise	Poor service delivery; Inability to support major transformational change; Reputation; Ineffective use of resources	Digital Services Manager and staff regularly attending seminars and meetings on new and emerging technologies Business Partnerships to access funding for Digital Services Projects Digital Services representation on Project Boards/Working Groups for Business ICT Projects (e.g. Ernact) Digital Services Manager attendance at monthly Business meetings Development and implementation of training Attendance at Regional ICT Managers meetings Digital Services 3-Year Plan in development to include additional investment requirements	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Digital Services	IT12 Breach of ICT Security Systems	Lack of clear policies/procedures; Lack of communication (Leavers/starters etc.); Failure to fully implement Digital Services Policies	Loss of information/data; Confidentiality breaches; Loss of credibility; Service disruption; Financial cost; Loss of confidence	Password Protection Group Policies Security Access Management Liaison with HR/Payroll and Line Managers Signed policy acceptance from all users Leavers listing checked on monthly basis Periodic monitoring of policy implementation Majority of remote users on Citrix which provides more control over software installation Digital Services Policies Symantec Policy Server - Central control for anti-virus software (Controls all updates and patches) Network NI Certification Firewalls and web filter installed DR Server Infrastructure upgraded with dual site backup Email Filter Use of check lists to ensure weekly checks on virus scanning, DR Back-ups, IBM Bigfix and Exchange (Email Server)	2	4	8
Digital Services	IT16 Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness	Financial cost; Impact on service delivery; Reputation	DCSDC Procurement procedures DCSDC Approval & Payment Procedures Gifts and Hospitality Policy Conflicts of Interest Policy Anti-Bribery Policy Tender training for staff Fraud Awareness Training	2	3	6



Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Digital Services	IT15 Failure to comply with requirements of Network NI	Lack of IT Policies & Procedures	Restriction of access to Network NI; Loss of communication between 2 sites; Loss of access to Planning Service; Loss of access to Planning Portal; Loss of access to NIRAS System	Security certification Firewalls and web filter installed IP Addressing Scheme Quarterly Maintenance Report from Eircom to Digital Services Manager Digital Services Policies	2	3	6
Digital Services	IT13 ICT related issues are not dealt with in a timely manner	Failure to set service standards, failure to maintain a log of reported problems, lack of resources, lack of out of hours service.	Recurring problems not identified, credibility, impact on service delivery, financial cost, reputation cost.	Regular Communication Set Service Standards Digital Services Help Desk All service calls are logged and prioritised Staff Leave Calendar	2	3	6
Digital Services	IT7 Failure to manage Council property or assets	Lack of inventory of assets; Lack of Resources; Lack of adequate controls in respect of portable departmental equipment	Service delivery reduces; Public perception falls; Financial Cost	Registers of portable equipment Equipment Loan Forms completed and signed for issue of hardware with appropriate authorisation Help Desk system with inventory plug-in Asset tags on all equipment Conditions of Use Policy for portable devices	3	2	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Digital Services	IT4 Total IT System failure - hardware and/or software for more than 24 hours	Viruses; Unreliable IT equipment; Inappropriate use	Total loss of information; Service disruption; Customer dissatisfaction; Loss of credibility	Virus Scanning Prioritised replacement of unreliable equipment Restriction of Access to Servers Monitoring of useage. Maintenance contracts with hardware & software providers Disaster Recovery System in operation for both sites which are tested on a weekly basis Daily back-up status report Daily, weekly and monthly back-up systems Use of check lists to ensure weekly checks on virus scanning, DR Back-ups, IBM Bigfix and Exchange (Email Server) Digital Services Policies	2	3	6
Digital Services	IT2 Total loss of data communications facilities (including email) for more than 48 hours	Fault at exchange; Roadworks in vicinity of Council; Fault in communications room; Computer room air conditioning failure; Malicious damage; Oversize Mailboxes	Service disruption; ; Loss of cash desk at leisure centres; Reduced morale; Loss of credibility	Communication with individuals & Depts re. Mailbox Inspections & servicing of Air Conditioning system Security controls Disaster Recovery System in operation for both sites which are tested on a weekly basis 2 Separate Internet connections and 2 telephone systems which ensure back-up in the event of loss of connection 2 Live Exchange Servers in operation	2	3	6
Digital Services	IT6 Loss of key members of staff	Lack of career opportunities; Staleness in present position; Illness	Loss of experience / knowledge; Service disruption; Impact on staff morale; Financial Cost	Training/Development Regular Communication Rotation of roles within Section and across sites Regular staff meetings	2	3	6
Digital Services	An effective, current Council website is not provided	Lack of resources; Lack of information from Services; Inadequate Hosting Service	Vital communication not delivered to citizens; Reputation	Marketing staff trained to update elements of website System in place for Data/Information collection across Council	2	3	6

				Contract with Hosting Service provider			
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Digital Services	IT11 Installation of unlicensed/illegal software	Lack of Knowledge/Communication/Re sources; Lack of policies/procedures	Litigation; Loss of credibility; Financial cost; Compromised system performance	Digital Services Policies ..... Monitoring of websites ..... System Group Policies (Access Restrictions) ..... Current software licencing in place ..... Attendance at Best Practice Seminars/Courses etc. ..... Symantec Policy Server - Central control for anti-virus software (Controls all updates and patches) ..... Network NI Certification ..... IBM Bigfix installed which scans network for legal and illegal software (constant scan and checked weekly by DS Staff)	2	3	6

Sue Divin (Manager PEACE IV)

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Loss of or reduced drawdown of grant allocations	Ineffective claims and recoupment procedures; Lack of skills amongst staff; Reduced staffing resources; Failure to meet funder requirements; Ineligible expenditure; Lack of procurement training; Elements of procurement potentially passing Council's procurement, but deemed ineligible by Funder (SEUPB); Ineffective project management systems; Ineffective communication with funders; Change of conditions of grant by funder after implementation has begun; Brexit; Currency fluctuations	Budgetary and rates implications; Inability to deliver projects; Financial cost; Reputation	<p>Contracts include clause stating ineligible expenditure responsibility of contracted group</p> <p>Minimum fortnightly team meetings</p> <p>Immediate communication of any changes to funder's conditions of grant to all relevant stakeholders</p> <p>Compliance with letters of offer and standard conditions of grant</p> <p>Regular meetings between projects and PIV project officers</p> <p>PEACE IV Team attend all mandatory SEUPB financial and communications training</p> <p>Manager and Officers receive DCSDC tender/procurement training</p> <p>Close liaison between PEACE IV, SEUPB Case Officer, Financial Officer and FCU</p> <p>Programme Officers build into PEACE IV bid for Council led projects.</p> <p>Dedicated Finance and Verification Officer appointed</p> <p>Regular liaison with DCSDC Procurement Manager</p> <p>Training provided by PIV Team to all Council led, tendered and grant aided providers (3rd party providers)</p> <p>Input from Operational Steering Group as and when required</p> <p>Retention of all relevant files to meet EU requirements</p> <p>Meeting with Internal Audit as and when required</p>	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Lack of safeguards against conflicts of interest (staff board, steering groups), and/or negligence claims	Lack of awareness; Lack of clear Policies; Weak conflict of interest procedures around procurement (tenders, grants) and around recruitment; Lack of relevant liability and professional indemnity insurance	Inappropriate decision-making; Financial cost; Litigation; Reputation; Loss of Board involvement	<p>Approach to management of conflict of interest approved by Board, DCSDC Legal Services and</p> <p>Declarations of Interest held on file for all Board and Steering Group members, and Policy followed at meetings.</p> <p>Optional Conflict of Interest and Code of Conduct training offered to all Board members. Powerpoint of training circulated to all Board members.</p> <p>Any conflicts on tenders highlighted to SEUPB in tender summary documents</p> <p>Declaration of Interest as standard item on all Board and Steering Group meetings</p> <p>No electronic information on procurement</p> <p>Minutes of Board meetings published on website</p> <p>Relevant insurance procured via DCSDC Insurance Officer</p> <p>Relevant level of insurance provided by all third party service providers</p>	2	4	8
PEACE IV	Inadequate external communication	Lack of planning; Lack of marketing/comms expertise; Third party service providers unaware of communication requirements; Inaccurate or inappropriate information communicated	Disengagement of public; Negative media coverage; Damage to credibility of DCSDC and EU funding; Withdrawal of some or all funding	<p>SEUPB Communications training attended by 2 staff</p> <p>Communications training rolled out to all third party service providers</p> <p>Liaison with designated DCSDC marketing contact</p> <p>Liaison with SEUPB marketing contact</p> <p>Crisis Communications Plan in place for service and for all Projects</p> <p>Proactive positive information provided through appropriate communications via marketing e.g. Website, monthly e-newsletter, press releases, social media</p>	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Projects are not implemented effectively	Failure to set and meet milestones; Third party service providers are not managed; Lack of resources; Recruitment issues	Potential loss of funding or reduction in agreed outputs; Credibility	Support of Board and bi-monthly thematic and operational steering groups Updates when required to Business and Culture Committee Service level plan with agreed milestones in place Project Plans in place with targets Project Officers meet regularly with project steering groups Written evaluations submitted with claims/invoices Policy on 'Support to Projects' in place Sept 18 Personal Development Plans in place with staff	2	4	8
PEACE IV	Poor Audit rating from Funder	Lack of policies and procedures; Lack of knowledge; Poor training of staff; Lack of proper procurement and retention of documentation for same; Poor management of third parties	Loss of funding; Financial cost; reputation; Impact on staff resourcing	Compliance with letters of offer and standard conditions of grant Dedicated Finance and Verification Officer appointed Minimum fortnightly team meetings PEACE IV Team attend all mandatory SEUPB financial and communications training Manager and Officers receive DCSDC tender/procurement training Close liaison between PEACE IV, SEUPB Case Officer, Financial Officer and FCU Clawback clause included in Letters of Offer Close scrutiny of claims by more than one member of staff before submission and any concerns raised directly with Manager	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	An effective Health and Safety Management system is not implemented and operated	Lack of ownership or direction; Lack of awareness; lack of training	Personal Injury; Death; Financial cost; Council and Funder reputational cost; Demoralised staff	<p>Management has completed IOSH Managing Health and Safety Course</p> <p>Working Safely Course for staff</p> <p>Risk Assessments completed for relevant activities and tool box talks delivered</p> <p>Team encouraged to avail of Be Well Programmes</p> <p>Health and Safety discussed at Team meetings</p> <p>Liaison with DCSDC Corporate Health and Safety and compliance with OHS18001 requirements</p>	2	4	8
PEACE IV	Loss of key members of staff or under-resourcing of staff (Structures and training)	Fixed term contracts and uncertainty around funded posts; Sickness/absenteeism	Loss of experience and knowledge (financial and programme knowledge); Service disruption; Insufficient staffing resource for workload	<p>Open and regular communication with staff/PIV Team to check workload, priorities and morale</p> <p>Regular meetings between projects and PIV project officers to alert if any staffing vacancy issues arise</p> <p>Liaison with HR in relation to absenteeism</p> <p>Work with HR as rapidly as possible on any recruitment processes which may arise</p>	2	3	6
PEACE IV	PEACE IV Team not focused/not achieving optimal results	Lack of effective team management; Lack of prioritisation of work; Lack of appropriate delegation; Lack of supervision	Under achievement; Negative reputational impact; Impact on financial drawdown	<p>Monthly Board and Steering Group meetings with clear agendas and updates</p> <p>Manager attendance at Business Team management meetings</p> <p>Update items for information and decision to</p> <p>Minimum fortnightly team meetings</p> <p>Service level plan with agreed milestones in place</p> <p>Personal Development Plans in place with staff</p> <p>Open and regular communication with staff/PIV Team to check workload, priorities and morale</p> <p>Close liaison between PEACE IV, SEUPB Case Officer, Financial Officer and FCU</p>	2	3	6



Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Impact of programme is not measured or not meeting reconciliation or participant targets	Lack of effective monitoring and evaluation systems; Lack of action on issues arising	Failure to meet Funder's targets; Financial and reputational impacts	<p>Close liaison between PEACE IV, SEUPB Case Officer, Financial Officer and FCU</p> <p>Monthly Operational Steering Group meetings with responsibility to examine evaluation and monitoring systems</p> <p>Appropriate evaluation questionnaires, systems and resources in place</p> <p>Liaison with Statistics Team</p> <p>Translations of questionnaires into other languages as required</p> <p>Project Officers raise any concerns with Manager for more detailed scrutiny and intervention if required on specific projects</p>	2	3	6
PEACE IV	PEACE IV Team working in isolation and lacking specialist advice	Poor liaison with Council Depts; Inappropriate representation on Board and Project Steering Groups	Negative impact on all or elements of programme implementation; Potential loss of funding	<p>Use of key contacts within DCSDC Finance, Procurement, Internal Audit, Statistics, Insurance, Legal and Marketing services</p> <p>Good Relations Team has a clear contact on reconciliation issues</p> <p>Use of expertise input from representatives on Board and Steering Groups on an ongoing basis</p>	2	3	6
PEACE IV	Inadequate Internal Communications	Lack of planning; Inadequate reporting structures and protocols	Misunderstandings/tensions between Board and Council; Stress for staff; Inappropriate decision-making	<p>Records kept of Committee items for information or decision.</p> <p>Informal update with Line Management on any specific issues arising as and when necessary</p> <p>Manager attendance at Business Team management meetings</p> <p>Agendae circulated in advance for monthly Board and Steering Group meetings</p> <p>Detailed Board report circulated in advance for Board meetings</p> <p>Items sent to Committee for all tender procurements and update items for information at least quarterly</p> <p>Records kept of minutes of Board meetings and Board reports</p>	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Third party service providers are not managed effectively	Inadequate contracts, SLAa and Letters of Offer	Financial costs; Impact on project delivery; Reputational damage	<p>Clear SLAs, Contracts or Letters of Offer with all third party service providers as appropriate. These templates are checked and approved by DCSDC Procurement and Legal Services and by Funder SEUPB</p> <p>Clawback clause included in Letters of Offer</p> <p>Regular updates on projects to relevant thematic and operational steering groups as well as Board</p> <p>Updates when required to Business and Culture Committee</p>	2	3	6
PEACE IV	Programme is not delivered within budget	Budgetary control procedures are not adhered to; Ineligible expenditure; Expenditure incurred on unbudgeted items; Lack of project monitoring and planning	Financial implications; Credibility/Reputation; Failure to complete projects	<p>Regular updates on projects to relevant thematic and operational steering groups as well as Board</p> <p>Project Officers alert Manager to any potential issues requiring closer scrutiny/support</p> <p>Any relevant budget changes require appropriate Board clearance</p> <p>Compliance with letters of offer and standard conditions of grant</p> <p>Dedicated Finance and Verification Officer appointed</p> <p>Appropriate sign off of project expenditure by Line Manager</p> <p>Appropriate management information system in place (Agresso/Excel) including project costs codes/detail codes</p> <p>Regular meetings between projects and PIV project officers</p> <p>Minimum fortnightly team meetings</p>	2	3	6
PEACE IV	The security and integrity of critical/sensitive data is not assured	Lack of knowledge; Inappropriate security systems	Loss of information; Loss of credibility; Data protection; Negative press	<p>All staff have undergone mandatory data protection and GDPR training</p> <p>All Ipads given 4 digit pass code</p> <p>Data Protection Policy submitted to SEUPB and approved</p> <p>Review of data systems completed to ensure GDPR compliance</p>	1	4	4

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
PEACE IV	Lack of segregation of duties	Over-specialism or dependence on individual members of staff; Lack of appropriate systems/procedures; Lack of training	Inappropriate payments; Poor audit rating; Potential fraud; Loss of funding	<p>Minimum fortnightly team meetings</p> <p>Clear 3 stage process on all financial claims/invoices within team.</p> <p>1. Project Officer processes</p> <p>2. Finance and Verification Officer checks and completes cover documentation/coding.</p> <p>3. Programme Manager checks and signs off.</p> <p>Records of Project updates minuted at Steering Group meetings and at Board meetings to ensure shared communication on progress and issues arising</p>	2	2	4
PEACE IV	Programme/Projects do not meet the needs expressed by the local community (Business Case)	Lack of effective consultation; Lack of communication; Lack of co-ordination with community planning processes and local area plans	Disengagement of communities; Projects do not meet agreed objectives; Financial costs; Reputation; Loss of funding	<p>Effective consultation conducted for stage 1 and stage 2 bids for SEUPB PEACE IV funding</p> <p>Approval of Stage 1 and Stage 2 Business Plan by Council</p> <p>Approval of Stage 2 bid by PEACE IV Board</p> <p>Ongoing communication with the public via information sessions, launches, website and monthly e-mail bulletin</p> <p>Establishment of Board and Steering Groups for scrutiny and input</p> <p>Regular updates on projects to relevant thematic and operational steering groups as well as Board</p>	1	4	4
PEACE IV	Lack of effective communication with staff	Lack of planning; Time mis-management; Lack of structured meetings	Financial implications; Low morale; Poor management of resources	<p>Minimum fortnightly team meetings</p> <p>Open and regular communication with staff/PIV Team to check workload, priorities and morale</p> <p>Personal Development Plans in place with staff</p>	1	4	4
PEACE IV	External funding opportunities are not exploited	Poor planning; Lack of awareness of slippage opportunities; Lack of human and financial resources; Uncertainty around potential Brexit implications	Loss of funding; Loss of staffing resources; Poor performance of section; Implications for future Peace Programmes	<p>Close liaison between PEACE IV, SEUPB Case Officer, Financial Officer and FCU</p> <p>Monthly funding updates with Operational Steering Group</p> <p>Funding updates as required to Business and Culture Committee</p>	1	3	3

Tina Gillespie (Economic Development Officer)

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Education and Skills	Inability to deliver on Education and Skills actions with the Strategic Growth Plan	Lack of funding/resources; Poor communication; Lack of co-ordinated approach; Lack of engagement with stakeholders; Ineffective partnership working	Impact on regional economy; Reputational risk	Maximisation of joint-funding and partnership opportunities Education and Skills Delivery Partnership Education and Skills Sub-Groups Progress reports to Strategic Growth Partnership	3	3	9
Education and Skills	Security and integrity of data/information is not assured	Lack of knowledge; Inappropriate security systems; Lack of policies and procedures	Loss of information; Loss of credibility; Data protection implications; Litigation; Fines	Document Retention and Disposal Policy Mandatory GDPR/Data Protection training Information Asset audit completed Restricted access to files and implementation of procedures regarding release of information Liaison with Council Information and Records Section	2	3	6
Education and Skills	Loss of key members of staff	Lack of career opportunities; Staleness in present position; Poor communication	Loss of experience/knowledge; Service disruption; Impact on staff morale; Financial cost	Encouragement of good working environment Provision of staff development opportunities Weekly staff meetings	2	3	6
Education and Skills	An effective Health & Safety Management system is not operated and implemented	Lack of ownership/direction; Lack of awareness; Lack of training	Personal injury/death; Litigation; Financial cost; Reputational cost; Demoralised staff	Staff awareness and training Adherence to Council Health, Safety and Wellbeing Policy Risk Assessments and SSOWs in place Liaison with Corporate Health and Safety	2	3	6
Education and Skills	Project Partners are not managed effectively	Poor definition of Projects; Ineligible expenditure; Inadequate contracts/Letters of Offer; Poor communication	Projects do not deliver on Strategic Growth Plan objectives; Poor service; Financial cost; Credibility	Contracts of Service Vetting of Third Parties/Project Partners Specification for delivery of service Representation from Project Partners at all levels of Strategic Growth Plan delivery structure Ongoing monitoring	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Education and Skills	Failure to deliver within budget	Non-adherence to budgetary control procedures; Ineligible expenditure; Lack of project planning and monitoring	Financial implications; Credibility; Reputation; Projects are not delivered.	Weekly staff meetings ..... Appropriate Management Information System in place (Excel and Agresso) ..... Line Manager certification ..... Liaison with Directorate Accountant	2	2	4
Education and Skills	Members of the ESDP and sub-groups are not kept engaged	Over commitment of members' time; Unrealistic expectations; Lack of planning; Poor communication	Failure to attend meetings; Inability to progress Actions/Projects; Poor decision-making; Inability to deliver on Education and Skills agreed actions	Advance notice of meetings ..... Provision of training ..... Effective communication with Partners	2	2	4