

RISK REGISTER

REPORT TO:**DATE:** March 14TH 2016.**LEAD OFFICER & ORGANISATION:** Sharon Williams.**CONTACT OFFICER & ORGANISATION:** Cyngor Gwynedd Council.**SUBJECT:** AD-TRAC 16-24

VERSION CONTROL

Version	Date	Author/Editor	Details of changes or comments
v.1.0	14:03:2016	<i>Sharon Williams</i>	Draft developed following review of the Risk Registers of Potensial, LLwyddo'n LLeol, Taith i Waith and TRAC 11-24 as well as discussion within the YEPF management group/board.

1. PURPOSE OF THE REPORT

To provide information about risks, their analysis, counter measures which have been implemented and status of the risk.

2. CURRENT RISKS

The principal risks identified for the project are set out in the table below, together with the proposed method of management and mitigation which are rated in accordance with the attached Matrix.

This table demonstrates regional implications and applies to delivery of the project on a regional basis. Reference is not made to risks within the individual authorities involved as individual risk plans will be produced to include further information. It is acknowledged however, that major risks within any one of the authorities could present a risk to the project as a whole.

Risks identified as "high risk" will be monitored during the YEPF & Employability strategic group as well as the Regional Management board, with risks identified as "medium" or "low" risk will be monitored during the YEPF strategic board only.

Risk Identification				Risk Analysis		Risk Planning			Monitoring and Control	
Reference	Date	Summary	Risk Description	Consequence	Current Risk Score	Mitigating Actions	Action Owner	Residual Score	Date for Review	Further Action
	14.3.16	Local Authority Restructure	Merger of Local Authorities in ongoing discussion	Impact on match funding, political agenda, delivery of services.	C4	Review discussion on merger and anticipated timeline.	Regional Project Delivery/NET group	C4	Project Commencement	
	14.3.16	Procurement Providers	Potential only a low number of bilingual providers tendering to deliver framework provision	Not all the provision required will be provided within Gwynedd.	C3	<p>All appropriate procurement processes will be followed including appropriate avenues to promote tendering process.</p> <p>Information via the YEPF mapping work will identify existing providers who will also be informed of process.</p> <p>Employability Group – identify local opportunities to promote tendering process.</p>	Lead Organisation	D3		Regular Review in line with Procurement guidance and discussion with the Employability Group.
	14.3.16	Quality of Provision	<p>Poor quality provision and inconsistent delivery across the county.</p> <p>Provision doesn't meet standards such as safeguarding and available in both Welsh and English language.</p>	<p>Participants won't receive quality provision and may disengage.</p> <p>Young people will not engage with project.</p>	C3	<p>Robust Quality Management Plan and procedures in place to monitor and evaluate provision in place and ensure consistency.</p> <p>Regional contractual agreements will also include dispute resolution mechanisms to be undertaken should the quality of provision not meet project standards.</p>	Quality Officer	D3		

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	14.3.16	Young Peoples Engagement	<p>Lack of engagement or support by young people.</p> <p>Confusion of offer when compared with other national projects and restrictions put in place by these operating.</p> <p>Essential that everyone understands what is being delivered and what is not.</p>	<p>Reduced or limited take up – not achieving outputs.</p> <p>Potential groups being ineligible for support may not be eligible.</p> <p>Frustration and reduced staff morale</p> <p>Young people won't use project if it is unclear what the benefits are going to be for participants and what the outcomes of the provision will be.</p>	D4	<p>Demonstrate the short/long term benefits of programmes. Ensure good rapport between delivery staff and young people.</p> <p>Make strong links with DWP Staff so that they understand benefit of operation and ensure they are members of the strategic and operational panel.</p> <p>Ensure one point of multi-agency contact to avoid confusion and miss-interpretation of information.</p> <p>Build good rapport with Partnership Groups such as the Gwynedd Young People's post 16 panel. Show the added-value to stakeholders and specifically young people.</p> <p>Clearly defined as to what is on offer with provision and what the expected outcomes are for young people.</p> <p>Produce marketing materials for young people.</p>	Quality Officer, Project Manager, Team Managers	D4		
14.3.16		ESF Projects	Other ESF projects in place catering to same client group.	Unable to claim a participant if already working with another project	C3	NWEAB brokering discussions with other projects which may impact and discussions taking place on how this can be facilitated.	NEET Project Committee	C3		

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	14.3.16	Meeting Objectives & outputs	Difficulties in meeting objectives and targets regarding participants and outputs.	Outputs not achieved as required and claw back.	D4	Robust management arrangements. Effective systems in place for monitoring performance and outcomes. The project will have its own database which will include up to date information regarding services provided. Recruitment of high quality staff via sound recruitment processes. Monthly monitoring of delivery staff via effective performance management systems.	Regional Team and Local Team	D4		
	14.3.16	Beneficiary Data	Submitting duplicate /wrong information on beneficiaries to WEFO.	Incorrect information sent to WEFO which would result in possible clawback grant. Monitoring statistics would be incorrect.	C4	Ensure robust management of data system within the authority. Adhere to all regional systems & processes.	Regional Compliance and Monitoring Officer	D4		
	14.3.16	Identification Tool 16-24 / Tier 1-3 Careers Wales data	Effectiveness of local identification tool developed to target participants aged 16-24. Currency of monthly Tier 1-3 data received from Careers Wales.	Impact on volume of participants identified and whether they are appropriate. No beneficiaries for Tier 1 & 2 identified for the project.	C3	Ensure the tool is monitored on a monthly basis. Discussion at Gwynedd post 16 young people's panel. Information sharing is reviewed as stated in the ISP. Continue to monitor and evaluate the effectiveness of the tool and modify where necessary.	EPC's & Project Manager	C3		
	14.3.16	Quarterly Claims	Claims submitted late to WEFO	Effect on targets for WEFO and amount of money drawn down to Wales	C3	Joint Sponsors submit monthly claims to Lead Sponsors. Claims schedule produced and disseminated to Joint Sponsors Provide Joint Sponsors with the option of submitting claims a month in arrears.	Finance Officer, Project Manager	D3		

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Reference	Date	Summary	Risk Description	Consequence	Current Risk Score	Mitigating Actions	Action Owner	Residual Score	Date for Review	Further Action
	14.3.16	Monitoring and Evaluation	Not collecting Soft Outcomes information from all participants	Missing important information on the impact of the intervention on the beneficiaries	D4	<p>Establish a Monitoring and Evaluation group to review project monitoring and evaluation plan</p> <p>Implement regional processes as part of day-to-day delivery.</p> <p>Monitor Soft Outcome Tool as part of the regular Beneficiary Monitoring meetings.</p>	Monitoring and Compliance Officer	D4		
	14.3.16	Recruitment	<p>Staffing Issues</p> <p>1. Staff leaving posts before project closure</p> <p>2. Staff leaving posts during project delivery</p>	<p>Unable to recruit replacement staff due to end of project</p> <p>Reduced capacity to deliver services</p> <p>Impact on project delivery</p>	C3	<p>Risk 1</p> <p>Develop exit strategy that seeks to redeploy staff at end of project including to successor programmes.</p> <p>Risk 2</p> <p>Ensure:</p> <p>Good working environment</p> <p>Supervision procedures</p> <p>Staff development opportunities</p> <p>Annual appraisals take place</p>	Local Managers	C3		

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Reference	Date	Summary	Risk Description	Consequence	Current Risk Score	Mitigating Actions	Action Owner	Residual Score	Date for Review	Further Action
	14.3.16	Outputs	<p>Failure to reach project outputs</p> <p>A number of projects targeting same client group</p> <p>Failure to appropriately address Cross Cutting Themes</p>	<p>Fewer outcomes achieved in terms of qualifications gained</p> <p>Project not reaching aims and objectives set out in local delivery plan.</p>	C3	<p>Regular monitoring of outputs by the YEPF board.</p> <p>Ensure profile of outputs reflects increased likelihood of clients working with other Partners in years 2-4 of project.</p> <p>Discuss any issues with PDO/ immediately if project is unlikely to achieve certain outputs.</p> <p>Joint Sponsors to work with community partners to identify hard to engage and out of touch pre-NEETS.</p> <p>Establish a referral process between projects targeting same target group.</p> <p>Better understanding of what can and cannot be claimed at each level when more than one ESF funded project is working with the same beneficiary.</p>	Regional Team	C3		
	14.3.16	Match Funding	Unable to evidence sufficient match funding	Income deemed ineligible	C3	<p>Ensure all potential match funding avenues are identified.</p> <p>Ensure all evidence is collated to WEFO requirements to evidence the match.</p> <p>Train all "matched" staff of the requirements set out by WEFO</p>	Lead Organisation and Regional Team	C3		
	14.3.16	Project Closure	Ensure all documentation is kept on file.	Ensure that all project documentation is archived accordingly until WEFO advice.	D4	Ensure all documentation is kept updated continuously until the end of the project.	Engagement Manager	D4		

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Reference	Date	Summary	Risk Description	Consequence	Emergent Risk Score	Mitigating Actions	Action Owner	Residual Score	Date for Review	Further Action
	14.3.16	Exit Strategy	No sustainability for the project.	Gap in provision for participants registered on project.	C4	<p>Host regular discussion/updates on future funding during YEPF board / Employability Board Meetings.</p> <p>Explore all options for future funding.</p>	Project Board	C4		
	14.3.16	100% Match Funded Staff	Need to identify whether or not 100% match funded staff need to keep timesheets.	<p>Organisations not being able to directly link 100% match funded posts to project delivery due to lack of evidence / supporting documentation</p> <p>Possible clawback of grant</p>	D4	<p>Identify all match funded staff, and identify whether or not they work with beneficiaries between 16-24 years old, whom are NEET</p> <p>Ensure copies of all match funded staff Job Descriptions or secondment letters to ensure that JD is relevant to the project and that project is included in the JD</p>	Engagement Manager	E4		
	14.3.16	Additionally and Added Value	Ensure that all project activities and support are additional to current provision; add value and are above and beyond statutory provision	<p>Ineligible activity</p> <p>Clawback of grant</p>	C4	Working with all key partners / , organisations to demonstrate how project activities add value and are additional to current provision Discuss any areas of concern with PDO	Joint Sponsors and Lead Sponsor	D4		
	14.3.16	Partnership Working	Difficulties managing range of different services on a local basis	<p>Lack of progress implementing and delivering the project.</p> <p>Poor coordination of project and serious consequences for achieving projects objectives</p>		<p>Ensure YEPF board monitors partnership working.</p> <p>Engagement Manager to ensure all key partners is aware of the project and outcomes.</p> <p>Post 16 Young people's panel to ensure concerns are discuss on an operation level monthly.</p>	Local delivery team and engagement manager	D4		
14.3.16	14.3.16	Under spend against profile	Clawback due to Underspend	Creation of stringent financial procedures and protocols understood and agreed. Re-profile structures	C3	Monitor and review – potential to re-profile	Finance Officer	D4		

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	14.3.16	Sustainability of EPC	Non statutory function there is a risk that under the funding cuts that this pivotal position will not be safeguarded. Will impact referral and streamline approach currently in place. Also there are different approaches across the region in terms of the EPC role.	Risk that this could impact on the project's referral processes.	B3	Regional Management Team to work closely with EPCs to monitor developments and to make any necessary amendments	EPC, Heads of Education, Regional Management Team	D4		
	14.3.16	Lack of referrals	Low number of referrals into project by key organisations such as Careers Wales, Social Services and DWP	Operation does not achieve targets and young people to not gain support required.	B3	Ensure robust communication plan in place. Broad consultation and raising awareness of operation has taken place during project development. Post 16 Young People's Panel.	Local I Management team	D4		
	14.3.16	Lack of employment opportunities	Lack of opportunities for NEET Participants (16 - 24 years of age) entering employment upon leaving:	Not achieving the outputs for the project in terms of number of young people entering work.	B3	Continue to implement the skills and employability module. Target supportive employers. Work closely with key partners such as JCP/Careers Wales. Utilise seasonal recruitment during key periods.	Engagement Manager and local delivery team.	D4		

Project Assessment Criteria

LIKELIHOOD	Event is almost certain to occur in most circumstances	>70%	Almost Certain	A					
	Event likely to occur in most circumstances	30-70%	Likely	B					
	Event will possibly occur at some time	10-30%	Possible	C					
	Event unlikely and may occur at some time	1-10%	Unlikely	D					
	Event rare and may occur only in exceptional circumstances	<1%	Rare	E					
						5	4	3	2
					Very Low	Low	Medium	High	Very High
	Minor								
	Moderate								
	Major								
	Critical								
Time/Cost/Objectives		Insignificant increase to project time or cost. Barely noticeable impact on project scope or objectives	<5% increase to project time or cost. Minor impact on project scope or objectives	5% - 20% increase to project time or cost. Major impact on project scope or objectives requiring sponsor approval	20% - 50% increase to project time or cost. Impact on project scope or objectives unacceptable to sponsor	>50% increase to project time or cost. Project fails to meet objectives or scope			
Service Performance		Minor errors or disruption	Some disruption to activities/customers	Disruption to core activities/customers	Significant disruption to core activities. Key targets missed	Unable to deliver core activities. Strategic aims compromised			
Reputation		Trust recoverable with little effort or cost	Trust recoverable at modest cost with resource allocation within budgets	Trust recovery demands cost authorisation beyond existing budgets	Trust recoverable at considerable cost and management attention	Trust severely damaged and full recovery questionable and costly			
Financial	Cost (£)	<£50k	£50k - £350k	£350k - £1 m	£1 m - £5 m	>£5m			