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MONITORING MEETING - DCAL AND SPORT NI
9.30 am WEDNESDAY 25 JANUARY 2012
VENUE – HOUSE OF SPORT

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2011/12**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **Stadiums**
 - **2012 Olympics**
 - **Pre-Games Training Camps**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Management Statement and Financial Memorandum – Review**
 - 5.5 Spend against Budget**
 - 5.6 Financial Profile/Forecasting**
- 6. Any Other Business**
 - 6.1 Tollymore NOC Action Plan**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
WEDNESDAY 25 JANUARY 2012 AT 9.30 AM
HOUSE OF SPORT**

Present: Mick Cory (MC) (Chair)
Colin Watson (CW)
Robert Heyburn (RH)
Tim Duff (TD)
Eamonn McCartan (EMcC)
Andrew Sloan (AS)
Nick Harkness (NH)
Shaun Ogle (SO)
Leigh Brown (LB)
Paul Donnelly (PD)
Rachael McDowell (RMcD) (part of meeting)
Edel Cosgrove (EC)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 MC welcomed everyone to the meeting. There were no apologies.

2.0 Minutes from Meeting held on 28 October 2011

2.1 The minutes of the previous meeting held on 28 October 2011 were agreed.

3.0 Matters Arising/Action Points (paragraph numbering in brackets refers to the Action Point within the Minutes of 28 October 2011)

A number of Action Points from the previous meeting were addressed:

3.1 Movement between Lottery and Exchequer Funding (DCAL) (3.1.1)

3.1.1 A draft policy paper has been shared with SNI. NH stated that SNI is currently reviewing this paper and will respond to the Branch.

Action: SNI

3.2 SCS Pay Remit (SNI) (3.2.1)

3.2.1 MC referred to the outstanding issue of the SCS Pay Remit and his understanding that a letter from Sport NI had been received this morning.

3.3 Business Performance Review: Business Plan & KPIs 2010/11 (SNI) (3.4.1)

3.3.1 MC enquired about the status of the platform piece SNI had agreed to provide to the Department regarding London 2012. AS confirmed this has now been forwarded to Lorraine Conlon and Julie Steen on 24 January 2012.

3.4 Accountability and Governance – Quarterly Assurance Statement (QAS) (SNI) (3.6.1)

3.4.1 A review of pitches following on from the Belfast Royal Academy issue has been completed and SNI has reported back to the Department on 13 January 2012.

3.5 Accountability and Governance – Quarterly Assurance Statement (QAS) (SNI) (3.7.1)

3.5.1 This issue was discussed later under “Quarterly Assurance Statement”.

3.6 Business Performance Review – Business Plans & KPIs 2011/12 (SNI) (4.1.4)

3.6.1 At the previous meeting on 28 October 2011 there had been discussion around revisiting targets in respect of the number of Governing Bodies meeting standards. SO advised that new targets will be proposed. MC commented that it is essential that the SNI Board is fully aware of and satisfied with amendments to Business Plan targets.

3.7 Major Projects and Programmes – Stadiums (SNI) (4.2.3)

3.7.1 MC raised the issue of the Single Tender Action on UBIRFU historical costs. With regard to the DAC form, CW advised the meeting that he will respond to SNI once CPD have changed their input on the form.

Action: DCAL

3.8 Major Projects and Programmes – Stadiums (DCAL) (4.2.4)

3.8.1 Confirmation that the Department is content with the current approach in respect of the IFA business plan has been relayed to SNI.

3.9 Major Projects and Programmes – Stadiums (SNI) (4.2.5)

3.9.1 The SNI bid for the December monitoring round, to establish the Stadiums budget for 2011/12, was received by the Department.

3.10 Accountability and Governance – Quarterly Assurance Statement (QAS) – Policy Implementation (SNI) (5.1.6)

3.10.1 SNI has forwarded its Whistleblowing Policy to the Department.

3.11 Accountability and Governance – Risk Register Review (SNI for 5.2.1, 5.2.3, 5.2.5) and (SNI & DCAL for 5.2.9)

3.11.1 At the previous meeting MC had highlighted a number of irregular entries and out-of-date comments within SNI's Risk Register and suggested SNI update/remove them from the Risk Register. All suggestions have been taken onboard, however, SNI has considered the issue relating to SINI and advised that SINI has their own Risk Register and Management has not highlighted any risk that warrants escalation onto the SNI Risk Register.

3.11.2 In relation to DCAL's action point, the letter relating to the SINI issue, was forwarded to AS.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2011/12

4.1.1 PD referred to the Quarter 3 Review of the Business Plan 2011/12 to 31 December 2011. Of the 57 Key Performance Indicators (KPIs), 52 (91%) are on target to be achieved (Green) and 5 are likely to be achieved but with some uncertainty (Amber).

4.1.2 Referring to page 15, 2.1.4 – the number of governing bodies demonstrating high performance system development through a planned and coordinated approach to development: SO updated the meeting suggesting that the target be downgraded to 8; a more reasonable expectation. This was due to a combination of factors but predominantly due to staff resources. MC asked about the process for approving changes to targets. SO advised that the Board would make the decision and SNI would then inform the Department. The next Board meeting is scheduled for 7 February 2012. MC commented it may be difficult to provide a rationale for altering the target late in the year and it may have to be accepted that the target will move to red status.

4.1.3 Referring to page 18, 3.2.1 – to advance the 3 individual stadia projects (including development of programme and project organisation structures, development of viable and affordable business plans for each project and achieving compliance with the 'Gate 0' gateway review process): NH and EMcC updated the meeting on progress; referring to risk levels for each project. Detailed progress and assurance is being provided outside of the Accountability meeting, reporting to a Departmental Sponsor Board.

- 4.1.4 Moving to page 19, 3.6.1 – to remain on target for the construction of the 50m Pool and consume an allocated spend of £7m in the current financial year: NH referred to the structural beam damage resulting in the construction of the pool now experiencing an unforeseen time delay. He advised that SNI will issue a letter to North Down Borough Council notifying them of the reduction in award for 2011/12 of £2.25m. MC reminded SNI it will need to inform the Department as soon as possible regarding budget requirements for the Pool for 2012/13. If additional budget is required, this would then need to be followed up by a formal bid in the first monitoring round of the new financial year. (50m Pool issues were also discussed under the QAS – see 5.1.8.)
- 4.1.5 NH referred to the Mourne Mountain Bike Track, managed by the Northern Ireland Tourist Board and the delays which resulted in an easement of £150,000 for 2011/12. TD confirmed a bid would need to be submitted for budget required next year, in the first monitoring round of 2012/13. This has already been flagged up internally within the Department. MC highlighted this was the second year the project had slipped and budget been eased. He stated that no guarantee could be given that DCAL would provide budget for the project in 2012/13.
- 4.1.6 Referring to page 22, 4.1.6 – the number of governing bodies meeting revised recognition standards following a Sport Northern Ireland review: SO advised that it was proposed that the target be reduced from 12 to 9, as a result of staffing issues. MC referred to the issues regarding governing bodies having significant issues to address before they can meet recognised standards. Therefore, the amber status of the target is not solely due to SNI staffing issues but other contributing factors, for example, the unknown number of governing bodies coming forward for recognition.
- 4.1.7 Moving to page 29, 6.1.1 – the total consumption by Sport Northern Ireland on the Lottery and Exchequer annual accounts, based on revised allocation letters due to in-year monitoring round changes: CW

referred to an apparent error in the figure quoted for decrease in spend for the 50 Metre Pool of £2.205m. He queried if this should be £2.25m. AS stated that he would forward a reconciliation to the Department. For Lottery, AS referred to an anticipated £1.4m variation between the budget deficit and forecast actual surplus in year. This is, in part, due to an unexpected rise in the sale of lottery tickets.

4.2 Major Projects and Programmes

4.2.1 Sports Strategy: PD referred to Phase 2 of the progress report and advised that SNI is working closely with 22 organisations and is in the process of drafting a short summary report covering the first quarter of Sports Matters: a glossy document will be produced. PD also advised that SNI will be rolling out a Sports Matters Roadshow and will be working with the Department, looking at targets and measuring progress. SNI will also be working with the Department in producing a paper for presentation to the CAL Committee on 1 March. MC advised SNI that he was scheduled to meet Stephen Reid as the representative from SOLACE who has replaced Philip Faithful. The purpose of the meeting was to discuss engagement with elected Council members.

4.2.2 Stadiums: Issues relating to Stadiums were discussed earlier in the meeting under Matters Arising/Action Points.

4.2.3 PGTCs: MC referred to a recent 2012 Leadership meeting at which Dominic Walsh had given an update on the progress of PGTCs. AS confirmed that the Irish Paralympic Association, the Jordanian Paralympic Association, the Australian boxers and the Chinese Gymnastics Team will be basing their PGTCs here. He also advised that there would be an announcement on 26 January in respect of a wheelchair basketball tournament.

4.2.4 AS continued that, unfortunately, news of Cuban boxers basing their camp in NI had leaked to the Press before it has been confirmed. MC

raised concern as to how information had been leaked and was surprised that the information had included specific information, such as, dates. AS stated that SNI had no idea of how this information had become available. EMcC commented that the report had included incorrect information. He stated that the Cuban boxers have not yet been fully secured, so potentially the leak is very damaging.

5.0 Accountability and Governance

5.1 Quarterly Assurance Statement (QAS)

5.1.1 MC noted that the QAS was signed and dated by EMcC. Referring to 'Risk Management', NH advised of one adjustment in relation to the Cliff where reference is made to all parties agreeing to SNI undertaking a governance review around the legal ownership of the site. NH clarified that Larne Borough Council is very committed to this but were putting this through their Development Committee on 24 January and an update had not yet been provided.

5.1.2 RH referred to the PSNI report relating to Castlereagh Borough Council. LB clarified that the Report had been referred to the Public Prosecution Service and that a decision on further action would be made in due course.

5.1.3 AS referred to Omagh United Football Club and confirmed SNI is actively seeking to recover money from the Club's bank account.

5.1.4 Referring to Belfast Royal Academy, AS confirmed that other pitches have been tested and there is no evidence to suggest any further cases of suspected defective delivery have occurred.

5.1.5 AS referred to the 'insolvent supplier' and advised that they had been suppliers to a number of Government organisations but had since gone

into liquidation. Full recovery is not likely and SNI is liaising with the appointed liquidator.

5.1.6 Referring to Derriaghy Football Club/Dromore Amateur Boxing Club, AS confirmed SNI is taking action through the Small Claims Court to recover as much monies as possible.

5.1.7 Moving to Youth Sport Omagh (YSO), MC reiterated concern that this issue has been ongoing for some years and stressed that the Department is keen to have this resolved as soon as possible. NH referred to information which was submitted by YSO on 9 January in response to a final SNI request for financial and governance information. NH commented that the organisation was now showing a better financial position. EMcC suggested that the intervention of SNI has stimulated positive changes. MC asked SNI to ensure that all actions arising from the FPM Report have been addressed. He noted that the Perm Sec had written to EMcC on 22 December 2011 and received a reply dated 3 January 2012. He also noted the next Funders' Group meeting was scheduled for 31 January 2012. QAS to be updated accordingly.

Action: SNI

5.1.8 Referring to the 50m Pool and further to discussion earlier in the meeting, MC noted an urgent meeting called by the Department regarding the changes made by SNI to actual resource spend and commented on further investigations being undertaken regarding changes in spend profiles. EMcC advised that the Chair of the SNI Audit Committee, Dr Olive Brown, had been called in urgently to discuss the issue and that an Internal Audit review had been initiated. A further report has been forwarded to the Department and discussions are ongoing. MC noted the seriousness with which the Department viewed this matter.

- 5.1.9 MC moved to discussion on the Stadia Programme and referred to the first sentence in the QAS narrative on the subject: 'This remains a very demanding programme to achieve full expenditure within the CSR period.' He restated that risk management is crucial to ensuring targets in this area are achieved.
- 5.1.10 MC referred to the point made in respect of The Cliff. NH advised that it is exceeding its throughput but there seems to be friction between Larne Borough Council, Sea Court, The Cliff Association and Larne Youth which they are trying to resolve and improve relationships.
- 5.1.11 Moving to 'Business Planning', MC referred to item No 4: 'Key targets (including PSAs, business objectives and KPIs) are on schedule to be achieved': and stated that this should not be ticked 'yes' as some targets will not be met. MC suggested that an addition to the narrative on the QAS should be made to make it clear that some targets are not likely to be met.
- 5.1.12 MC queried the information under 'Performance Quarter 2 for 2011/12' asking whether this should actually refer to Quarter 3. AS confirmed the information related, as stated, to Quarter 2, however, although it was noted that this meeting was occurring after Q3 was complete, SNI explained figures were not yet available for Q3 when the QAS was prepared and signed.
- 5.1.13 Moving to 'Financial Planning and Monitoring', MC referred to item No 2: 'Monitoring procedures are in place to compare actual expenditure with budget on a monthly basis'. MC specifically referred to the concerns regarding the 50m Pool budget profiling and stated that this should have been mentioned in the QAS. AS stated that SNI will amend the QAS accordingly.

Action: SNI

5.1.14 MC referred to item No 4 under Financial Planning and Monitoring and particularly referred to underspend. TD referred to the £50,000 decommitment from the Capital Equipment Programme, which SNI wish to use for Mountain Rescue capital equipment. MC stated that this should also have been mentioned in the QAS. However, he accepted that it was understandable, given the timing, that this information was not to hand in time for inclusion in this QAS.

5.1.15 Under 'Economic Appraisal, Post Project Evaluation (PPE) and Consultancy', MC asked about the status of PPEs. TD referred to the Soccer Strategy PPE which is outstanding. AS advised that SNI had submitted this in October 2011 and the Department had asked for further information which will be with the Department shortly. MC commented that 3 PPEs are due in March 2012 and asked SNI to have a look at these in particular, to ensure they are deliverable.

5.1.16 No comment was made on 'Procurement', as issues had been discussed earlier under 'Matters Arising' and all were content with 'Policy Implementation'.

5.1.17 Referring to 'Internal and External Audit Reports', MC asked for an overview of the information contained in the QAS. LB advised the meeting that under 'External Audit' 2 recommendations remain outstanding. One of these relates to changing between Lottery and Exchequer funding streams. SNI now has a policy paper from DCAL, which it is currently considering. The other recommendation pertains to advance payments which Sport NI makes to grantees on a risk-based basis. RH commented that the Department considers this issue as resolved as it has provided the DCMS view to SNI. RMCD joined the meeting to clarify that the response from DCMS had been forwarded to NIAO and they are content with it. MC suggested that the QAS should include a comment stating that NIAO were content.

5.1.18 Moving to 'Internal Audit' recommendations, LB advised the meeting that the audit report is passed round managers every quarter and Priority 1 recommendations are always reviewed.

5.1.19 Next on the QAS was 'Data Management' to which no comment was made.

5.1.20 On 'Other Issues', MC highlighted issues that should have been included under this heading. Firstly, referring to the Coleraine Riding for the Disabled cost overrun, MC stated that he would have expected this to have been included here. Secondly, MC referred to the outstanding SCS Pay Remit and suggested that it should also have been included.

5.1.21 MC queried whether the SNI Board sees the QAS. AS confirmed that the Audit Committee have sight of it and it reports to the Board on the QAS, with Olive Brown giving a verbal update.

5.2 Risk Register

5.2.1 MC referred to the date on the Risk Register which is dated 16 January 2012 and asked when the SNI Board and Audit Committee would have last reviewed it. AS advised that a previous version was cleared by the Audit Committee and noted by the Board on 6 December 2011. LB added that the Risk Register is a live document. MC stated the date of the last review by the Audit Committee and Board should be made clear on the front of the current document.

5.2.2 AS referred to page 2 of the Risk Register which gives the main changes made to the document. CW referred to the mention of 'CPD approval' under the risk for Single Tender Action and reminded SNI that CPD do not 'approve' but provide advice to the Accounting Officer and it is for the Accounting Officer to give approval. AS agreed to revise the Risk Register accordingly.

Action: SNI

5.2.3 MC asked why Sport NI see the Review of ALBs as a risk and asked what was perceived to be the risk. AS advised that SNI sees the impact in terms of budgetary pressures and the sustainability of the organisation. MC commented that he was trying to fully understand the risk and that if it related to sport development then he could see why this would be included. EMcC confirmed the risk, as SNI sees it, is nothing to do with the survival of SNI. MC highlighted that the review is out of SNI's hands, therefore, they have no control of the risk. EMcC stated that SNI see the Arms Length Body model as the best way of delivering sport development goals and, therefore, the risk is to sport development. SNI will re-word the Risk Register to make this clearer. EMcC advised that the SNI Board had asked for the Review of ALBs to be included in the Risk Register.

5.2.4 Referring to the first risk, 'Budget Underspend', MC remarked on the current control stated to be 'ongoing liaison with DCAL'. He commented that this control was rather woolly. AS commented that this process was about gathering facts and information. LB stated that this control involved liaison with stakeholders and communication to map a way forward. MC stated that this could be more clearly stated in the Risk Register.

5.2.5 MC commented that, in respect of the Risk Register, the SNI Board should be challenging, discussing and advising SNI of actions to take and should not be relying solely on DCAL challenge.

5.3 Annual Report and Accounts

5.3.1 The 2009/10 Exchequer Accounts have been laid in the Assembly. The 2010/11 Exchequer Accounts are yet to be laid, pending the Perm Sec's consideration.

5.4 Management Statement and Financial Memorandum - Review

5.4.1 CW advised this was an outstanding task for the Department. MC stated that if SNI are aware of any issues with the current MSFM it should raise these with the Department.

5.5 Spend against Budget

5.5.1 MC referred to the allocation letter. AS confirmed there are no issues.

5.6 Financial Profile/Forecasting

5.6.1 MC referred to profiles and advised that the Department is spending a bit of time looking at variances between 'actual' and 'profiled spend' and 'drawdowns'. AS commented that uncertainties inherent in the grant payment process are largely responsible when variances arise. MC stated that the DCAL Board is concerned and want to ensure accurate forecasting of spend within the Department and its ALBs. AS stated that SNI will continue to profile as accurately as possible.

5.6.2 RH referred to the Resource Consumption Table and specifically to explanations given for variances stated on the Table. MC suggested the Department extract the comments and submit this to SNI in table format for clarification and further information on variances.

Action: DCAL & SNI

5.6.3 MC referred to the recent CAL Committee meeting at which Dominic Bradley had queried why there was no capital budget for the 4th year of the CSR period and referred to a letter from Sport NI which stated this to be the case. EMcC advised the meeting that he, himself, had clarified the budget position with Mr Bradley and had met with Mr Bradley in the House of Sport, where he was shown the Corporate Plan which clearly identifies a capital budget in the 4th year of the CSR period. MC noted he was writing to EMcC on this and stressed this

must be cleared up and that SNI should write to the CAL Committee clarifying the issue.

6.0 Any Other Business

6.1 Tollymore NOC Action Plan

6.1.1 MC referred to the Implementation Plan for the TNOC Post Project Evaluation Report recommendations. NH provided the meeting with a document showing the updated position on required actions. He stated that SNI expect to deliver the required actions within the timescales agreed on the Implementation Plan. MC referred to the forthcoming meeting with Martin McMullan and John McCallister MLA to discuss the Post Project Evaluation. NH commented that TNOC is not trying to compete commercially with the private sector and is attempting to engage private sector providers in consultation as to how TNOC can help meet their needs. However, some will not co-operate.

6.1.2 MC commented that SIB's Commercialisation Strategy will need to be considered, going forward for TNOC activities. However, he stressed that the emphasis for TNOC should remain that which was the core rationale for Government intervention, ie, leadership and skills courses. This needs to be made apparent to address perception to the contrary. NH pointed out that participation was a rationale for the investment.

6.2 Security against Regional Stadiums

6.2.1 NH raised this issue and advised that SIB were comfortable that security was taken against the asset created. NH asked if the Department's view is needed. MC advised that SNI should provide the Department with SNI's views to allow the Department to consider the issue.

Action: SNI

7. Date/Time/Venue for Next Meeting

7.1 The next meeting will be held on Thursday 26 April 2012 at 9.30 am in Causeway Exchange.

The meeting closed at 11.25 am.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V16
AUTHOR:	A Sloan
DATE:	16/01/12

Summary of Changes

Version	Ref	Risk	Details updated to reflect the completion of the Gateway Zero review and subsequent implementation of agreed recommendations bar at this stage
16	1	Stadia Project	Details updated to reflect the completion of the Gateway Zero review and subsequent implementation of agreed recommendations bar at this stage
	2	50m Pool	appointment of the Programme Director.
	3	Single Tender Action (Stadia Programme - Ravenhill)	New Risk
	4	Fraud	Details updated to reflect CPD approval of the Direct Award Contract (DAC) for 49% of the costs. Awaiting DCAL approval.
	5	Reputation Risk – Gov't Funding Database	Risk Ratings have been updated to reflect the impact and likelihood of different levels of fraud.
	6	Sustainability – Review of ALBS	This risk has been removed as all outstanding actions have now been implemented.
	7	Service Disruption	As SNI enter phase II of this review, the risk rating has been increased.
			Risk Removed

Table 1: Risk Scoring Matrix

Likelihood	Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
High 5	5	10	15	20	25
Medium-High 4	4	8	12	16	20
Medium 3	3	6	9	12	15
Low-Medium 2	2	4	6	8	10
Low 1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Current/Residual level	Further Actions	Corp Objectives Impacted
1. Budget Underspend (Stadia Projects)	High	✓	<ul style="list-style-type: none"> Quality Facilities
2. Delay in Delivery of Major Project – 50m Pool	High	✓	<ul style="list-style-type: none"> Quality Facilities
3. Single Tender Action	High	✓	<ul style="list-style-type: none"> Quality Facilities
4. Potential Threats to Budgets	High	X	<ul style="list-style-type: none"> All
5. Sustainability – Review of ALBS	Medium	✓	<ul style="list-style-type: none"> All
6. Fraud Minor	Medium - Low	✓	<ul style="list-style-type: none"> All
7. Non Achievement of Objectives >10%	Medium	✓	<ul style="list-style-type: none"> All
8. Lack of Appropriate Information System Security	Low	✓	<ul style="list-style-type: none"> Strong Sport Northern Ireland
9. Contingency / Business Disasters (Minor Level)	Low	✓	<ul style="list-style-type: none"> Strong Sport Northern Ireland Strong Partners

SPORT NORTHERN IRELAND – RISK REGISTER

No	Hazard	Risk Descrpn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Budget Underspend (Stadia Projects)	<p><u>Cause:</u> Programme timelines/ budgets set without due consideration of unique project characteristics, procurement and project management requirements. There exists a significant risk of mismatch between budgets and project spend profiles.</p> <p><u>Impact:</u> If realised, this will impact budget spend the quality, and timing of delivery.</p>	5	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ On-going liaison with DCAL ▪ On-going liaison with CPD ▪ Implementation of recommendations from Gateway Zero Review 	4	4	<p>1. Lease Transfer Sport Northern Ireland overseeing the transfer of the lease agreement of Linfield's ground from Linfield to the IFA</p> <p><i>Other actions not under the control of Sport Northern Ireland are:</i></p> <p>2. A further gateway review is to be undertaken to measure progress against the recommendations from the previous review.</p> <p>3. The Strategic Investment Board will be managing the appointment of the Programme Director</p>	February 2012	CMcG	3	3
2	Delay in Delivery of Major Project 50m Pool	<p>In December 2011, Sport Northern Ireland was advised by NDBC that the delivery of the primary structure of the 50m pool hall had been badly affected by severe storm damage during sea transit from Rotterdam to Belfast.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Potential Delay in Completion of 6 Weeks • In year De-commitments • Increased costs to accelerate completion timeframe – (costs will not be met by SNI) • Reputational impacts 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ Project management protocols ▪ Liaison with supplier and contractor ▪ Internal Controls <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Project management arrgs ▪ Ongoing oversight by SNI's Design and Technical Team ▪ Discussion with DCAL over deferral of £2.25m 	4	3	<p>1. Position Analysis Report to be prepared and issued by main contractor Farrans via Weihag and North Down BC have undertaken to provide an update as soon as further information on condition is available.</p> <p>2. Ongoing Stakeholder Liaison Between SNI and NDBC on impact on programme.</p> <p>3. Ongoing Project Monitoring, Feedback and Reporting</p>	Contractor NH TS	Jan 2012 Ongoing Ongoing	3	3
3	Single Tender Action (Stadia Programme)	<p><u>Cause:</u> Non adherence with government procurement requirements. Value - approx £170K.</p> <p><u>Impact:</u> if STA it not approved, project / programme may be at risk of failure due to ability of applicant / promoter to absorb cost. This risk must be considered in light of any criticism / action against Sporty Northern Ireland should it decide to support any STA.</p>	4	5	<p>Directive / Preventative Controls</p> <ul style="list-style-type: none"> ▪ Liaison with relevant Governing Body ▪ Liaison with DCAL ▪ On-going liaison with CPD ▪ Board input and oversight 	4	3	<p>1. Approval SNI has reviewed this case and has agreed to contribute up to 49% of the costs. SNI has liaised with CPD on this matter and a Direct Award Contract (DAC) Form completed which has been approved by CPD. This is currently with DCAL for final approval.</p> <p>Subsequent to DCAL approval, this risk will be addressed and the matter resolved.</p>	February 2012	SNI	2	1

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk					
			I	L		I	L				I	L				
4	Potential Threats to Budgets	<p>Cause: Budgetary pressures within DCAL may result in a review of the allocation letter. This risk is being flagged subsequent to request from the Department seeking confirmation of 'inescapable pressures' i.e. live contracts.</p> <p>Impact:</p> <ul style="list-style-type: none"> • Non achievement of stated objectives • Revision / reprioritisation of objectives • Reduced funding to dependent partners 	5	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> • On-going liaison with DCAL • On-going liaison with CPD 	5	2	<p>Accept Risk</p> <p>This will be subject to ongoing monitoring</p> <p><i>This risk is a potential one and Sport Northern Ireland is unable at this stage to take further action. Management will be in regular liaison with the Department on this matter.</i></p>		SMT	5	2				
5	Sustainability (Review ALB's)	<p>Cause: The Department is currently undertaking a review of its Arms Length Bodies.</p> <p>Sport Northern Ireland believe in the value it adds and is confident that the realisation of a vision of 'a culture of lifelong enjoyment and success in sport' can only be realised through a dedicated arms length Body.</p> <p>This review does provide a platform for Sport Northern Ireland to fully demonstrate its value and contribution to Sport. For purposes of this register this review is being presented only as a risk (not an opportunity).</p> <p>Impact:</p> <ul style="list-style-type: none"> • Budgetary pressures moving forward • Sustainability Pressures 	3	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> • Sport Northern Ireland Position Paper • Liaison with stakeholders 	2	4	<p>1. Phase II</p> <p>Management are working closely with the review team.</p>	Ongoing	CEO	2	3				
6	Fraud	<p>Cause: Fraud is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p>Impact: A zero tolerance level across central government will require a full investigation by SNI irrespective of the level of fraud. Depending on the nature of fraud and any perceived control weaknesses there may be sanctions / punitive action / criticism / reputational damage to SNI.</p>	100's Lost 2	5	<p>Directive Controls</p> <ul style="list-style-type: none"> • Fraud / Whistleblowing Policy • Internal Controls • Staff Training incl Bribery Act <p>Preventative Controls</p> <ul style="list-style-type: none"> • CPD Contracts • Government Funding Database • Fraud Training 	100's Lost 2	2	<p>1. Training Ongoing fraud training to staff</p> <p>2. Validation of Data Validation of a sample of data input on GFD.</p> <p><i>Treated risk unchanged – no new actions. GFD validation DCAL request.</i></p>	Ongoing Jan 2011	LB LB	100's Lost 2	2	1000's Lost 3	1	1m's Lost 5	1

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	<p>Non Achievement of Objectives</p> <p>>10%</p>	<p>Cause: SNI has agreed to deliver against a number of objectives and KPI's.</p> <p>Its ability to do so is dependent on a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance by its partners for example applicants and governing bodies; ▪ Government priorities; • Level of goal congruence; ▪ Appropriate budgets; ▪ Appropriate staff, ▪ Engagement with key functions internally and externally. <p>Impact: Failure to achieve objectives will impact on stakeholder perception, the performance of sport on the ground and may also impact future budgets.</p>	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes • Delegated Authority Policy ▪ Outreach Officer ▪ Quarterly Meetings with DCAL ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ Quarterly Meetings with DCAL ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building • Governing Body KPI's ▪ Implementation of Best Practice ▪ Liaison - DCAL / Local Authorities • Approval Processes ▪ NI Coaching Delivery Plan ▪ Funding Reallocation - Coaching Ite ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists ▪ Revised Governance Framework – IPS Programme ▪ Detective Controls ▪ Third Party Reviews 	3	2	<p>Accept Risk</p> <p>No further action available to SNI at present.</p>	N/A	SO	3	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
8	Contingency / Business Disasters (Minor Level)	<p>Cause: Unforeseen and unplanned events may arise within and external to SNI.</p> <p>Impact: Such events will adversely impact on the achievement of the corporate strategy, affecting resource allocation, management priorities and business continuity.</p>	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ Business Continuity Plan <p>Preventative / Detective Controls</p> <ul style="list-style-type: none"> ▪ Periodic and phased BCP testing <p>Corrective Controls</p> <ul style="list-style-type: none"> ▪ Data back – Ups ▪ Insurance 	4	1	<p>1. Ongoing BCP Testing Testing of SNI BCP. <i>Treated risk unchanged – no new actions.</i></p>	Ongoing	MS	4	1
9	Lack of Appropriate Information System Security	<p>Cause: Refers to ability of electronic systems to meet requirements imposed under the DPA 1998. Risk recognises the volume of data held electronically and ease with which this can be transferred. Continual changes and advances in technology also render some system safeguards redundant within a short period of time.</p> <p>Impact:</p> <ul style="list-style-type: none"> • Loss/theft of data - Distress to data subjects • Sanctions by ICO • Cybercrime 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ IS Policy and Strategy ▪ Fraud / Whistleblowing Policy ▪ Internal IT Controls, e.g. Firewalls, antivirus ▪ Staff Training (DPA) / HR Department <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Skilled IS Staff ▪ Password Controls ▪ Hard Disk Encryption <p>Detective Controls</p> <ul style="list-style-type: none"> ▪ Review & Monitoring / IS Review ▪ Data Audits 	4	1	<p>1. Ongoing BCP Testing Testing of SNI BCP. <i>Treated risk unchanged – no new actions.</i></p>	Ongoing	MS	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk	
		I	L
1. Sub Standard Work by Third Parties	<p>SNI engages with a number of third party suppliers to assist it in the delivery of its strategy.</p> <p>Any failings or under performance on there part will adversely impact the quality of outputs and the return on investment.</p>	4	2
2. Failure to retain and Secure Appropriately Trained Staff	<p>Impact on achievement of objectives due to loss/inability to attain required staff resources. E.g. the finance team. Fully resourced, team should consist of 3.5 FTE. While additional staff have been sourced internally, there exists a temporary skills and experience gap. This is coupled with increased requirements, for example 9 month accounts.</p>	4	2
3. Insufficient Financial Resources Due to Overspend/ Underspend >10%	<p>Failure to manage activities with agreed budgets incurs the risk that projects and plans may have to be abandoned, adversely impacting objectives and public confidence. Reputational risk also.</p>	4	1
4. (Minor) Non Compliance with SNI's Policy and Procedures	<p>Failure by staff and management to comply with governing policies and procedures.</p>	4	1
5. Minor Non Compliance with Health and Safety Regulations / Legislative Requirements	<p>Refers to impacts of minor breaches or deviations from H&S procedures.</p>	4	1
6. Reputational Risk Arising from governance failures by partner organisations. (Irish Football Association)	<p>Partners present a risk to reputation in event of a failure of governance on their part. Particular attention is given to the IFA in light of recent events within the organisation. This particular body has experienced negative press regarding its governance framework. Due to SNI support in the past, there is a risk to reputation and return of investment should action not be taken to address the shortcomings highlighted.</p>	3	1

Non Significant Risks – Areas Requiring Special Attention

This section of the register details risks which management are aware of and are addressing but are not significant to warrant specific attention on the corporate risk register. The purpose of their inclusion in this document is to make key stakeholders aware of them and to demonstrate that they are being actively addressed by management and are in a state of control.

Note: Non significant risk areas are reported by Directors in their Quarterly Assurance Statements.

Risks / Hazards	Management Response
<p>Youth Sport Omagh</p>	<p>SNI had previously reported concerns regarding the governing arrangements in place within Youth Sport Omagh. By way of update, Sport Northern Ireland met with the Chair of Youth Sport Omagh in June to advise of the funders preferred option to claw back the grant.</p> <p>Youth Sport Omagh has since engaged with their solicitors who have challenged this approach.</p> <p>Sport Northern Ireland's solicitors have issued further correspondence in late December notifying the applicant of their breach of award conditions and imposing a deadline for disclosure of requested financial information. This information was supplied on 9th January and is currently being reviewed.</p> <p>Sport Northern Ireland continues to manage this project with due care and diligence acting at all times under the advice of its solicitors. A meeting will be convened with other funders in late January.</p> <p>Regarding the status of this project on the corporate risk register, Sport Northern Ireland is content that with conditions of award and other related agreements, controls are in place that enables the transfer of the facility to Omagh District Council in the event of the project failing, thereby preserving project deliverables.</p>
<p>The Cliff</p>	<p>There are some emerging relationship issues between the partner organisations to the Cliff project. In an effort to progress matters and safeguard the sport development outcomes into the future, Sport Northern Ireland is undertaking a governance review which all parties have agreed to. All sport development KPI's are currently being exceeded.</p>

Weighting Rationale:

Risk	Inherent	Residual	Treated
Budget Underspend (Stadia Projects)	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Non achievement of KPI's Impact on external customers and stakeholders Public embarrassment / National media coverage NIAO criticism if poorly managed
Delay in Delivery of Major Project 50m Pool	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Non achievement of KPI's Impact on external customers and stakeholders Public embarrassment / National media coverage NIAO criticism if poorly managed
Single Tender Action	Significant impact on external customers and stakeholders Significant public embarrassment NIAO criticism if poorly managed	Significant impact on external customers and stakeholders Public embarrassment NIAO criticism if poorly managed	No impact on achievement of objectives
Potential Threats to Budgets	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention
Sustainability – Review of ALBs	Cessation of activities Non achievement of objectives	Business disruption Material Impact on performance and business deliverables	Business disruption Material Impact on performance and business deliverables
Non Achievement of Objectives by >10%	Failure of key objectives Negative media attention	Material Impact on performance.	Material Impact on performance.
Fraud	Financial Loss >£1m Negative media coverage	Minor fraud - £100s No impact on achievement of objectives	Minor fraud - £100s No impact on achievement of objectives
Lack Appropriate Information System Security.	Significant public embarrassment Personal damages	Minor non compliance issues	Minor non compliance issues
Contingencies / Business Disasters.	Failure of key support services Media coverage	Negligible impact on support services.	Negligible impact on support services.

MONITORING MEETING - DCAL AND SPORT NI
2.30 pm MONDAY 3 SEPTEMBER 2012
VENUE – ROOM 2.1, CAUSEWAY EXCHANGE

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (25 January 2012)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2011/12 Year End Outturn**
 - 4.2 Business Plan & KPIs 2012/13**
 - 4.3 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **2012 Olympics/Paralympics**
 - **Boxing Strategy**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Statement of Internal Control**
 - 5.4 Annual Report and Accounts**
 - 5.5 Spend against Budget**
 - 5.6 Financial Profile/Forecasting**
- 6. Any Other Business**
 - 6.1 Review of All Hours Worked Allowance**
 - 6.2 ALB Verification Checks**
 - 6.3 Appointment of Consultants – SINI Business Case**
 - 6.4 Sport NI Recruitment**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
MONDAY 3 SEPTEMBER 2012 AT 2.30 PM
CAUSEWAY EXCHANGE**

Present: Colin Watson (CW) (Chair)
Ciaran Mee (CM)
Tim Duff (TD)
Nick Harkness (NH)
Andrew Sloan (AS)
Paul Donnelly (PD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 CW welcomed everyone to the meeting.

2.0 Minutes from Meeting held on 25 January 2012

2.1 The minutes of the previous meeting held on 25 January 2012 were agreed.

3.0 Matters Arising/Action Points (paragraph numbering in brackets refers to the Action Point within the Minutes of 25 January 2012)

A number of Action Points from the previous meeting were addressed:

3.1 Movement between Lottery and Exchequer Funding (SNI) (3.1.1)

3.1.1 Views on a draft policy paper have been received from SNI and DCMS on the issue of movement between Lottery and Exchequer funding streams. This paper will now go to the DCAL Board. Action complete.

3.2 Accountability and Governance – Quarterly Assurance Statement (QAS) (SNI) (3.5.1 and 5.1.2)

3.2.1 This action point has been carried forward from 28 July 2011. As a result of an incident of fraud in the Active Communities Programme at

Castlereagh BC, SNI agreed to share 'lessons learned' outputs with the Department. SNI is currently liaising with Castlereagh BC on this matter. SNI advised that a Lessons Learned report has been shared with the Department, however, it may have only been issued to Robert Heyburn who was off on leave. SNI to resend report to Department.

Action: SNI

3.3 Major Projects and Programmes – Stadiums (DCAL) (3.7.1)

3.3.1 This action point related to the delay in progress on the Rugby business plan due to UBIRFU consideration of the historical costs issue. Responsibility for Stadiums delivery is now with DCAL. Action complete.

3.4 Accountability and Governance – Quarterly Assurance Statement (QAS) – Youth Sport Omagh (SNI) (5.1.7)

3.4.1 Mick Cory had expressed concern that the QAS did not reflect the actual risk regarding Youth Sport Omagh and had asked for the QAS to be updated accordingly. QAS was revised following further developments. Action complete.

3.5 Accountability and Governance – Quarterly Assurance Statement (QAS) – Financial Planning and Monitoring (SNI) (5.1.13)

3.5.1 Further to concerns regarding the 50m Pool budget profiling, at the previous meeting MC had stated that this should have been mentioned in the QAS and asked for it to be amended accordingly. The QAS was revised as requested. Action complete.

3.6 Accountability and Governance – Risk Register (SNI) (5.2.2)

3.6.1 The Risk Register had included reference to CPD 'approval' under the risk for Single Tender Action. CW had reminded SNI that CPD do not

'approve' but provide advice to the Accounting Officer and it is for the Accounting Officer to give approval. The Risk Register was to be amended accordingly. Reference is no longer in the Risk Register as Stadium Programme delivery has transferred to the Department. Action complete.

3.7 Accountability and Governance – Financial Profile/Forecasting (DCAL & SNI) (5.6.2)

3.7.1 The Resource Consumption Table had included explanations for variances which the Department sought further information on. It was agreed that the Department would extract the comments and submit this to SNI for further information. SNI subsequently provided the information as requested, which the Department has analysed as appropriate. Action complete.

3.8 Any Other Business – Security against Regional Stadiums (SNI) (6.2.1)

3.8.1 NH had advised the Department that SIB were comfortable that security was taken against the asset created and asked if the Department's view was needed. MC had asked SNI to provide the Department with their views to allow the Department to consider the issue. Stadium Programme delivery has since transferred to the Department.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2011/12 Year End Outturn

4.1.1 PD referred to the Quarter 4 Review of the Business Plan 2011/12 to 31 March 2012. In summary, of the 57 Key Performance Indicators (KPIs), 50 (87%) were achieved (green) and 7 (13%) were not achieved (red). KPIs were discussed by exception.

4.1.2 Referring to page 11, 2.1.2 – the number of SNI-funded athletes/teams attaining medal success at the highest level in their sport including Commonwealth, European, World and Olympic/Paralympic level: At the end of the year 24 athletes achieved medal success from 1 April 2011-31 March 2012. NH commented that the target was 30, however, there was some under-performance resulting from injury and selection to compete in senior events rather than junior events where one individual would have been a medal contender at that level.

4.1.3 Moving on to page 20, 4.1.6 – the number of governing bodies meeting revised recognition standards following a SNI review: The target for this KPI was 12. SNI has reviewed 9 governing bodies, 5 of which have retained their SNI recognition. PD commented that SNI is working to address the issues which have caused this target to slip. NH added that the biggest factor was that 2 officers working in this area continue to be absent with long term sickness. CW noted this but questioned whether there is an underlying issue with the money, time and effort being input by SNI to assisting governing bodies and yet targets were not being achieved. NH explained that a lot of the people involved in organisations are volunteers with 9-to-5 jobs and SNI try to improve their understanding of what is required to meet recognition standards. CW said he felt that the information provided made it look as if only 5 organisations were up to standard with the vast majority failing to reach the standard. He stated that the explanation in the comments section should refer to the number of governing bodies that are up to standard. NH agreed that this will be updated for the 2012/13 Quarter 2 report.

Action SNI

4.1.4 Moving to page 23, 4.4.1 – the percentage of respondents rating the overall quality of the services provided by DSNI and CAAN as 'good' or 'excellent': The target for this was 80%; 77% was achieved. PD advised the meeting that the fall in satisfaction levels can be largely attributed to an issue relating to CAAN on which one disgruntled individual has been

agitating. He continued that 77% satisfaction with the service is still a good response.

4.1.5 Referring to page 27, 5.2.2 – the number of people attending/attaining coach development/leadership courses through SNI-funded programmes: The overall target for this was 11,460; 8,294 was achieved. Targets not achieved related to Capital Programmes (Building Sport and Places for Sport); Special Olympics Ulster; and Tollymore National Outdoor Centre (TNOC). In relation to Capital Programmes, PD explained that target figures obtained from project applicants were over-estimated following a misinterpretation of the KPI definition and that the target figure had wrongly referred to a cumulative total of the up-skilled workforce at each facility for the full duration of the sport development programme. This issue has been addressed in the targets for 2012/13. The issue in respect of Special Olympics Ulster has been reported to the IDOG and new targets agreed. With regard to TNOC, a new pricing structure will reduce prices for leadership courses and boost demand.

4.1.6 Moving to page 28, 5.2.4 – the number of FTE posts created in NI through SNI-funded programmes: A target of 249 had been set with 232.7 achieved. Targets not achieved related to: Disability Sport NI, Investing in Performance Sport and Sports Institute NI. NH stated that this target has been reduced for 2012/13 to be more realistic.

4.1.7 Referring to page 32, 6.1.1 - the total consumption by SNI on the Lottery and Exchequer annual accounts, based on revised allocation letters due to in-year monitoring round changes: This target was £31.3m with provisional year end figures - £28.6m resulting in a variance of £2.7m. Referring to the Lottery budget, AS explained there had been a delay in issuing Letters of Offer. He advised that SNI were on target in respect of Exchequer funding based on the end-of-year budget and that this is how the target is now expressed within the 2012/13 Business Plan. CW noted the £2.7m underspend with Exchequer against the start of year

budget. He stated that a pattern of not spending the full budget could lead to the conclusion that SNI is receiving too much in its budget and it was imperative that improvements were made to provide assurance on SportNI's overall management of its resources. AS commented that SNI always endeavours to spend as much of its start-of-year budget as possible.

4.1.8 Moving to page 36, 6.7.1: the ratio of marketing expenditure to the total value of positive press coverage attributed to SNI at a Corporate level: This target was 1:5 with 1:4 achieved. AS highlighted he was not happy with this particular target with NH adding that SNI was in the business of *promoting* sport not itself. The KPI has been reworded accordingly for 2012/13.

4.1.9 NH referred to the marketing of SMCCP projects and asked for clarification as to what was agreed by DCAL re the marketing protocol for sports projects. Department to return to SNI with advice on this issue.

Action: DCAL

4.2 Business Plan & KPIs 2012/13 – Quarter 1

4.2.1 Discussion moved to the Quarter 1 Review of the Draft Business Plan. In summary, ratings for the 57 output targets were broken down as follows: For the first quarter of 2012-13, 55 (96%) KPIs were on target to be achieved (green); one (2%) was likely to be achieved but with some uncertainty (amber); and one (2%) was unlikely to be achieved (red).

4.2.2 Referring to page 26: the total expenditure on the Lottery budget: CW enquired why there was a shortage of staff to deal with the Lottery programme. NH stated that staff have been moved to cover Ministerial priorities and other staff have left the organisation.

4.2.3 NH advised that SNI's understanding was that the ability to recruit still required the Department's approval. Discussion followed on the headcount and reference was also made to sickness absence and unfortunately, there has been a run of sickness absence which has affected SNI's ability to progress activities.

4.2.4 Referring to page 26, 6.2.2: The percentage of internal audit reports receiving a satisfactory or substantial level of assurance: this KPI is amber and is hoped to be achieved. AS advised that the Department has responded to a request from SNI for assistance by stating that it does not have any resources to assist SNI with its internal audit function. However, he confirmed that a new person, recruited through an agency, has started in SNI in a temporary capacity to assist with internal auditor work. It is anticipated, therefore, this KPI will turn to green in the next quarter.

4.3 Major Projects and Programmes

4.3.1 **Sports Strategy:** PD advised that SNI was working on the Draft Progress Report for the next Sport Matters Implementation Group (SMIG) meeting. He advised the meeting that the Department of Education had been given to 17 August to comment but there had been no contact. NH confirmed further contact had been made with DE to follow this up, otherwise a nil response would have to be assumed.

4.3.2 **SMCCP:** NH advised that all has gone well with years 1 and 2 projects. Referring to year 3, 2013/14, he advised that SNI has gone through a series of prioritisation and state of readiness exercises. Some "sensitive" projects did not meet the state of readiness requirements and would not, therefore, be funded. Full spend is anticipated for year 3/4 projects.

4.3.3 **2012 Olympics/Paralympics:** CM commented that good results have been achieved in terms of medals won but the next stage will be

realising legacy; Games Legacy Unit are working in this area but SNI is likely to be drawn into discussions. CW commented that this area needs to be progressed quickly to take advantage of the success of the Games. NH added that SNI is already looking closely at legacy issues.

4.3.4 **Boxing Strategy:** CM commented that the first priority is to get a strategy document and implementation plan in place. NH confirmed that Willie Devlin is working on this.

4.3.5 CM asked whether any SNI staff are now working with WPFPG. NH confirmed a Memorandum of Understanding (MOU) is in place with the WPFPG Company. SNI needed to recall a staff member seconded to WPFPG but he is being replaced by another SNI staff member. NH continued that a second person had requested the right to terminate their secondment at one month's notice. A third person was hoping to take a career break. SNI has offered to replace this person at their cost and recruit someone to second to WPFPG. WPFPG CEO, John Tully, had suggested creating a merit list of Service staff who could be seconded to SNI and then to WPFPG as an option to get staff in more quickly. This is being considered. CW made the point that the WPFPG was a Ministerial priority and he expected Sport NI to ensure their continued assistance to the Games Company and to agree any revised arrangements with the company.

4.3.6 **50m Pool:** The issue of the insolvency of the sub-contractor, Rotary, was discussed. NH advised that North Down Borough Council (NDBC) and Farrans had moved very quickly and appointed another sub-contractor, Dowds. The indications are that this will not impact on the finish date for the project and certainly not on the cost.

4.3.7 SNI highlighted the requirement for an addendum to the Business Case in respect of a private contractor being brought in to run the Pool. CW advised that the addendum will require Departmental approval. NH stated that he did not think NDBC could be prevented from contracting

the running of the Pool to a private company. CW questioned what would happen if the Department did not approve the addendum; if the KPIs in the business case are adversely affected by alternative arrangements then surely the Department/Sport NI could instigate clawback arrangements. .

5. Accountability and Governance

5.1 Quarterly Assurance Statement (QAS)

5.1.1 CW noted the QAS and raised several points under the "Risk Management" heading. CW queried the mention of the CEO being 'on leave' and queried whether this should be included in the QAS on its own. He suggested that the broader issue of staff shortages should be included instead. NH felt this required mention as SNI was down a senior member of staff. NH was content with the point made and agreed the QAS will be amended in future.

Action: SNI

5.1.2 CW moved to the St Colman's College Project and specifically referred to the reference to SNI's Internal Auditor conducting an 'independent' review of this project. He asked if Paul Welsh will understand this being an 'independent' review. It was agreed the 'perception' may need to be addressed.

5.1.3 CW added that Dominic Walsh had written to the Department to advise it would be the end of September before the St Colman's report would be completed. NH commented that the assistance of Steven Trainor would be very beneficial as he would have quick access to numerous emails. CW agreed to enquire about this.

Action: DCAL

- 5.1.4 Referring to Castlereagh Borough Council and the Active Communities programme, SNI advised that no money was at risk and the issue is closed.
- 5.1.5 On the issue of Gleann Amateur Boxing Club, NH advised SNI has now closed the matter and contacted the whistleblower to inform them of this.
- 5.1.6 Referring to Omagh United Football Club, an incorrect figure of £83,00 (sic) was quoted in the QAS. This should have read £8,300. SNI has written off this amount as permitted within the Lottery Financial Directions, which grant delegated authority to the Accounting Officer to write off amounts up to £50,000. CW queried whether DCMS need to be advised of this. AS to check with Rachael McDowell if DCMS has been informed.

Action: SNI

- 5.1.7 Discussion followed on Derriaghy Football Club and Dromore Amateur Boxing Club. CW queried the statement that the cessation of the outsourcing arrangement with the Big Lottery Fund (BLF) in respect of grants will afford more control to SNI. NH advised that BLF has its own management framework and SNI had no control.
- 5.1.8 Referring to Youth Sport Omagh (YSO), NH confirmed that SNI were meeting with the YSO Board and DCAL were being updated accordingly.
- 5.1.9 Finally, under "Risk Management", CW sought confirmation as to whether write off will be required in respect of an insolvent supplier, KDS. SNI confirmed write off will be required to the sum of approximately £10,000 but this could not be confirmed until after liquidation of the company.

- 5.1.10 Moving to item 3, "Business Planning", CW queried why all the KPIs are 'key'. AS confirmed if not all KPIs are met, then the issue is rated as 'No' in terms of being on schedule to be achieved. PD added that 6 corporate KPIs were agreed which could be seen as key targets and that change of emphasis could be incorporated into next year's business plan.
- 5.1.11 CW moved to item 4, "Financial Planning and Monitoring". He specifically referred to cash management and emphasised that it was important to get forecasts right at the outset. AS added that in training with managers it is stressed there is a need to ensure accuracy. NH added that there is always change and there are always claims received early or late. CW agreed there will always be exceptions and referred to the 50m Pool as an example. AS stated again the emphasis to managers to ensure they give an early warning of such changes.
- 5.1.12 With regard to Management Accounts, page 14, TD advised that rather than deliberately under-spending on resource to offset a pressure on non-cash costs, SNI should make a bid through a monitoring round to cover the non-cash pressure and make an easement on resource if some monies in that area are no longer required.
- 5.1.13 With regard to item 5, "Economic Appraisal, Post Project Evaluation and Consultancy", CW stated he would have expected to see a reference to Coleraine Riding for the Disabled. Discussion ensued and reference was made to lessons learned but NH understood this to be a closed matter.
- 5.1.14 On item 7, "Policy Implementation", CW referred to 'gifts' and asked what is being done. AS advised the meeting that the SNI policy is being redrafted and will be sent to the Department for approval.
- 5.1.15 On item 8, "Fraud, Whistleblowing and Bribery Act", CW highlighted the St Colman's issue of an example where potential/alleged fraud was not

reported appropriately. He stated that, given this, the 'Partly' box being ticked did not seem appropriate AS agreed that the rating should be changed.

5.2 Risk Register Review

5.2.1 AS referred to the Risk Register Review version 19 and mentioned a number of changes which will be incorporated following the Council meeting of 15 August. Staff shortages will be included, referenced against its affect on meeting business plan objectives. The reference to legal action being taken by staff regarding TUPE will be removed.

5.2.2 NH stated that one of the ALB Review findings is that Risk Registers were not focused on the Business Plan objectives. However, no changes were to be made until all ALBs were brought into line. CW agreed to clear the approach internally.

Action: DCAL

5.2.3 CW referred to page 6 of the Risk Register and specifically to the red risks assigned to the potential threat to budgets. He commented that simply transferring the risk to DCAL was not an acceptable control. NH agreed that the current entry on the Risk Register seemed to be using the Department as a mitigation tool. CW commented there was nothing included as to what SNI is doing or going to do to manage this risk. He suggested that controls could include prioritising certain areas if not enough budget is available to carry out the full spectrum of SNI activities. CW questioned whether the risk exists at all, given that the Business Plan for 2012/13 has been approved by the Department. SNI will consider and amend as appropriate.

Action: SNI

5.3 Statement of Internal Control

5.3.1 AS confirmed this had been signed off and incorporated in the annual accounts for 2011/12.

5.4 Annual Report and Accounts

5.4.1 AS advised that the 2010/11 Exchequer Accounts were laid in the Assembly on 17 August 2012 and that the Exchequer Accounts for 2011/12 were complete, signed off by NIAO and were with the Department for laying. The 2011/12 Lottery Accounts were laid on 16 July 2012.

5.4.2 AS stated that it was the first time in 10 years that the Accounts were up to date in year. CW commended Sport NI for achieving this milestone.

5.5 Spend against Budget

5.5.1 AS advised the meeting that SNI would be making an easement for the October monitoring round against its resource budget and would be making a capital bid in respect of Tollymore National Outdoor Centre (TNOC) to do with the final retention sum.

5.5.2 CW referred to final outturn figures for 2011/12 and the under-spend of resource of c.£180k. AS advised this under-spend is mostly related to staffing issues. With regard to the overspend in respect of the 50m Pool, TD confirmed that SNI had been given approval by the Department to spend additional monies on this area, post the final monitoring round of the year.

5.6 Financial Profile/Forecasting

5.6.1 This was discussed earlier in the meeting at point 5.1.9.

6.0 Any Other Business

6.1 Review of All Hours Worked Allowance (AHWA)

6.1.1 CW referred to correspondence from Mick Cory issued to Eamonn McCartan in August 2011 requiring justification for AHWA to be included with any future SNI pay remits. NH requested that a copy of this letter be sent to him. Department to send copy letter to SNI.

Action: DCAL

6.2 ALB Verification Checks

6.2.1 TD advised the meeting that he has already spoken to AS and Rachael McDowell on this issue. AS commented that were there were high-risk projects SNI vouches for all expenditure and with regard to low risk projects, this is on a sample basis.

6.3 Appointment of Consultants – SINI Business Case

6.3.1 NH stated that the future funding of SINI is a key dependency for SNI business planning. CW advised SNI that the Department was not entirely convinced that SNI could not produce this business case itself. NH commented that the SNI Investment Assurance Team is suffering from a staff shortage. Therefore, the resource does not exist within SNI to complete the business case. CW commented that 'time' is not in the business case.

6.4 Sport NI Recruitment

6.4.1 CW confirmed he would shortly respond to SNI's correspondence regarding recruitment.

Action: DCAL

7. Date/Time/Venue for Next Meeting

7.1 The next meeting is scheduled for **Thursday 25 October 2012** at **9.30 am** in **Causeway Exchange** as per original scheduling of Accountability meetings.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V19
AUTHOR:	A Sloan
DATE:	02/08/12
DATE OF REVIEW BY AUDIT COMMITTEE	15/08/12
DATE OF REVIEW BY COUNCIL	15/08/12
NEXT REVIEW DATE	01/09/12

Summary of Changes

Version	Ref	Risk	
19	1	Absence of Chief Executive	New Risk
	2	Legal Action by Staff	New Risk
	3	Non-Significant Risks – Areas Requiring Special Attention – Youth Sport Omagh	Youth Sport Omagh - This project has been removed. Management arrangements are now in place including regular meetings between the applicant and Sport Northern Ireland. It was agreed at the Directors meeting on 30 July 2012 that this project which is now 'in control' be removed from the issues log and the risk register.
	4	Risk Management Statement	The Risk Management Statement included within the risk management manual has been added to this document
	5	Priority 1 recommendations	New section
	6	Glossary of Terms	For the benefit of new Members, a glossary has been added.

Risk Management Statement

The Risk Management Statement outlined below represents our rationale towards risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver of services.

“Sport Northern Ireland recognises that risk management is an integral part of the organisation’s activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of “a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society”.

Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholder expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the system given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and Senior Management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.”

Nick Harkness

Acting Chief Executive

July 2012

Table 1: Risk Scoring Matrix

Likelihood	Impact	Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
High 5		5	10	15	20	25
Medium-High 4		4	8	12	16	20
Medium 3		3	6	9	12	15
Low-Medium 2		2	4	6	8	10
Low 1		1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Current/Residual level	Further Actions	Corp Objectives Impacted
1. Delay in Delivery of Major Project – 50m Pool	High	✓	<ul style="list-style-type: none"> Quality Facilities
2. Potential Threats to Budgets	High	X	<ul style="list-style-type: none"> All
3. Absence of Chief Executive	High	X	<ul style="list-style-type: none"> All
4. Sustainability – Review of ALBS	Medium	✓	<ul style="list-style-type: none"> All
5. Fraud Minor	Medium - Low	✓	<ul style="list-style-type: none"> All
6. Legal Action by Staff	Medium	X	<ul style="list-style-type: none"> Trusted and Effective Leader
7. Non Achievement of Objectives >10%	Medium	✓	<ul style="list-style-type: none"> All
8. Lack of Appropriate Information System Security	Low	✓	<ul style="list-style-type: none"> Strong Sport Northern Ireland
9. Contingency / Business Disasters (Minor Level)	Low	✓	<ul style="list-style-type: none"> Strong Sport Northern Ireland Strong Partners

SPORT NORTHERN IRELAND – RISK REGISTER

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Delay in Delivery of Major Project 50m Pool	<p>In December 2011, Sport Northern Ireland was advised by NDBC that the delivery of the primary structure of the 50m pool hall had been badly affected by severe storm damage during sea transit from Rotterdam to Belfast.</p> <p>As a result, £2.25m has been eased from the 11/12 budget. This will create pressures during 12/13.</p> <p>Impact:</p> <ul style="list-style-type: none"> • Potential Delay in Completion - although SNI believes that the target date of Jan 2013 remains achievable • Increased costs to accelerate completion timeframe – (costs will not be met by SNI) • Reputational impacts 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> • Project management protocols • Communications and consultation with supplier and contractor • SNI's Internal Control framework such as business planning, project mgt, budgeting and forecasting. • Additional borrowing by NDBC subject to loan sanctions. <i>Non SNI control.</i> <p>Preventative Controls</p> <ul style="list-style-type: none"> • Project management arrgts • Ongoing oversight by SNI's Design and Technical Team • Discussion with DCAL over deferral of £2.25m 	4	3	<p>1. Ongoing Stakeholder Communications (Formal and Informal) Between SNI and NDBC on impact on programme.</p> <p>2. Ongoing Project Monitoring, Feedback and Reporting</p> <p>3. In Year Slippage, Re-directing any in-year slippage towards 50m Pool project.</p>	NH	Ongoing	3	3
2	Potential Threats to Budgets	<p>Cause:</p> <p>Budgetary pressures within DCAL have resulted in a recent allocation letter which provides for approximately £900k reduction in budgets over the next three years</p> <p>Impact:</p> <ul style="list-style-type: none"> • Non achievement of stated objectives • Revision / re-prioritisation of objectives • Reduced funding to dependent partners 	5	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> • On-going consultation with DCAL 	3	5	<p>Accept Risk</p> <p>This will be subject to ongoing monitoring</p> <p><i>This risk is a potential one and Sport Northern Ireland is unable at this stage to take further action. Management will be in regular consultation with the Department on this matter.</i></p>		SMT	3	5
3	Absence of Chief Executive	<p>Cause:</p> <p>The Chief Executive of Sport Northern Ireland is currently on sick leave. The Director of Participation is acting up, however this argt ceases on 31 July 2012. Should the Chief Executive be absent for a further period and the acting post not extended or any extension declined Sport Northern Ireland may find itself operating without a Chief Executive. This is compounded further by the imminent stepping down of the Council Chair</p> <p>Impact:</p> <ul style="list-style-type: none"> • Lack of leadership and accountability at the top • Risk to achievement of objectives 	5	3	<p>Preventative Controls</p> <ul style="list-style-type: none"> • Assessing the option of extending the terms for the Acting Chief Executive. 	5	2	<p>Accept Risk</p> <p>This will be subject to ongoing monitoring</p>		Council	5	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk								
			I	L		I	L				I	L							
4	Sustainability (Review ALB's)	<p>Cause: The Department is currently undertaking a review of its Arms Length Bodies.</p> <p>This review which is currently underway is 'light touch' in nature which presents the potential that conclusions may be based on limited information and 'crude' figures.</p> <p>Impact: i.e. if sport related objectives are not achieved</p> <ul style="list-style-type: none"> Non-achievement of all /part of the Northern Ireland Strategy for Sport and Physical Recreation 2009-19 Adverse impacts on sporting success, wellbeing and social inclusion 	3	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> Sport Northern Ireland Position Paper Communications with stakeholders 	2	4	<p>1. Phase II Management are working closely with the review team.</p>	Ongoing	CEO	2	3							
5	Legal Action by Staff	<p>Cause: Stadia staff transferred to the Department under TUPE may potentially pursue a legal action stating that the process was not conducted via a process of 'meaningful consultation'. The transfer of the Stadia Function occurred 30/04/12 and per a letter from the Permanent Secretary however this does not sync with the actual date of transfer of the function which is 1 August 2012. While Sport Northern Ireland believe that a process of 'meaningful consultation' has taken place the discrepancy between the aforementioned dates may provide leverage for legal action.</p> <p>Impact: Should a legal action be successful a fine of up to 12 weeks salary per individual may be imposed. Based on an average salary of £31k this could amount to £35,000 approx.</p>	2	4	<p>Preventative Controls</p> <ul style="list-style-type: none"> Consultation with staff Attendance at all meeting Liaison with DCAL head of HR Legal advice from SNI solicitors 	2	3	<p>Accept Risk This will be subject to ongoing monitoring</p>	Ongoing	TG	2	3							
6	Fraud	<p>Cause: Fraud is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p>Impact: A zero tolerance level across central government will require a full investigation by SNI irrespective of the level of fraud. Depending on the nature of fraud and any perceived control weaknesses there may be sanctions / punitive action / criticism / reputational damage to SNI.</p>	100's Lost	2	<p>Directive Controls</p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training incl Bribery Act <p>Preventative Controls</p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training <p>Detective Controls</p> <ul style="list-style-type: none"> Validation of Data on GFD 	100's Lost	2	<ul style="list-style-type: none"> Training Ongoing fraud training to staff <p>Treated risk unchanged – no new actions.</p>	Ongoing	LB	100's Lost	2	2	1'000's Lost	3	1	1m's Lost	5	1

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	<p>Non Achievement of Objectives</p> <p>>10%</p> <p>Note: Risk Linked to Budget Reduction, see risk 4</p>	<p>Cause:</p> <p>SNI has agreed to deliver against a number of objectives and KPI's.</p> <p>Its ability to do so is dependent on a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance by its partners for example applicants and governing bodies; ▪ Government priorities; ▪ Level of goal congruence; ▪ Appropriate budgets; ▪ Appropriate staff; ▪ Engagement with key functions internally and externally. <p>Impact:</p> <p>Failure to achieve objectives will impact on stakeholder perception, the performance of sport on the ground and may also impact future budgets.</p>	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ Quarterly Meetings with DCAL ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ Quarterly Meetings with DCAL ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ Liaison - DCAL / Local Authorities ▪ Approval Processes ▪ NI Coaching Delivery Plan ▪ Funding Reallocation - Coaching Ire ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists ▪ Revised Governance Framework – IPS Programme <p>Detective Controls</p> <ul style="list-style-type: none"> ▪ Third Party Reviews 	3	2	<p>Accept Risk</p> <p>No further action available to SNI at present.</p>			3	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
8	Contingency / Business Disasters (Minor Level)	<p><u>Cause:</u> Unforeseen and unplanned events may arise within and external to SNI.</p> <p><u>Impact:</u> Such events will adversely impact on the achievement of the corporate strategy, affecting resource allocation, management priorities and business continuity.</p>	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Business Continuity Plan <p>Preventative / Detective Controls</p> <ul style="list-style-type: none"> Periodic and phased BCP testing <p>Corrective Controls</p> <ul style="list-style-type: none"> Data back – Ups Insurance 	4	1	<p>1. Ongoing BCP Testing Testing of SNI BCP. Treated risk unchanged – no new actions.</p>	Ongoing	MS	4	1
9	Lack of Appropriate Information System Security	<p><u>Cause:</u> Refers to ability of electronic systems to meet requirements imposed under the DPA 1998. Risk recognises the volume of data held electronically and ease with which this can be transferred. Continual changes and advances in technology also render some system safeguards redundant within a short period of time.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data - Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy Internal IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy – recommended for approval by Audit Committee – Feb 2012 Staff Training (DPA) / HR Department Document Retention and Disposal Policy and Procedures <p>Preventative Controls</p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of extraction of data using portable storage devices – new laptops only. <p>Detective Controls</p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>1. Ongoing BCP Testing Testing of SNI BCP. Treated risk unchanged – no new actions. A recent review of data management raised a number of concerns primarily due to the absence of a data audit and information retention and disposal policy. Appropriate action has been taken and identified weaknesses addressed.</p>	Ongoing	MS	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk	
		I	L
1. Sub Standard Work by Third Parties	SNI engages with a number of third party suppliers to assist it in the delivery of its strategy. Any failings or under performance on there part will adversely impact the quality of outputs and the return on investment.	4	2
2. Failure to retain and Secure Appropriately Trained Staff	Impact on achievement of objectives due to loss/inability to attain required staff resources. E.g. the finance team. Fully resourced, team should consist of 3.5 FTE. While additional staff have been sourced internally, there exists a temporary skills and experience gap. This is coupled with increased requirements, for example 9 month accounts.	4	2
3. Insufficient Financial Resources Due to Overspend/ Underspend >10%	Failure to manage activities with agreed budgets incurs the risk that projects and plans may have to be abandoned, adversely impacting objectives and public confidence. Reputational risk also.	4	1
4. (Minor) Non Compliance with SNI's Policy and Procedures	Failure by staff and management to comply with governing policies and procedures.	4	1
5. Minor Non Compliance with Health and Safety Regulations / Legislative Requirements	Refers to impacts of minor breaches or deviations from H&S procedures.	4	1

Non-Significant Risks – Areas Requiring Special Attention

This section of the register details risks which management are aware of and are addressing but are not significant to warrant specific attention on the corporate risk register. The purpose of their inclusion in this document is to make key stakeholders aware of them and to demonstrate that they are being actively addressed by management and are in a state of control.

Note: Non significant risk areas are reported by Directors in their Quarterly Assurance Statements.

Risks / Hazards	Management Response
<p>The Cliff</p>	<p>Governance Sport Northern Ireland was not able to facilitate agreement between the three main stakeholders to a shared governance review. However, recognising the need for such a review, Sport Northern Ireland has commissioned a governance review around the legal ownership of the site and future governance arrangements. It is Sport Northern Ireland's intention to share the results of this review with the three main stakeholders once completed. Sport Northern Ireland has also undertaken to revisit a previous financial health-check on The Cliff which will be completed during May 2012.</p> <p>This matter has attracted local press attention and attention from local Councillors and MLA's.</p> <p>Revenue Award Monitoring of KPI's demonstrates performance likely to significantly exceed annual targets (due to be revisited in April 2012) in particular in relation to participation by females and people with a disability.</p> <p>On 22 March 2012, Sport Northern Ireland received information from The Cliff that they have written to Larne BC (via their solicitors) giving the grounds on which they will request judicial review should LBC fail to transfer the lease to The Cliff (Ltd).</p>
<p>St Marys GAC</p>	<p>On 7 March 2012, Sport Northern Ireland brought to the attention of the Department an issue regarding St Mary's GAC to whom a grant of £225,000 was paid for construction of a second sand mattress GAA pitch with floodlighting.</p> <p>Sport Northern Ireland's monitoring procedures have identified that 95.1% of VAT paid on this project has been recovered by the applicant. Sport Northern Ireland has calculated that with this change in VAT status, the eligible amount payable to the grantee is £197,090.23, a difference of £27,909.77.</p> <p>The applicant has advised that registration took place after the application process and through their own error, they neglected to understand the reference in the letter of offer to VAT as eligible expenditure. Sport Northern Ireland has engaged with the applicant seeking recovery of this amount.</p>

Woodvale Cricket Club

Sport Northern Ireland is seeking repayment of an element of the grant paid to this applicant. This amount equates to £16,159 and relates to equipment purchase. This will not impact the achievement of objectives envisaged through the remainder of the Sport Northern Ireland investment.

This Club was awarded £186,800 under the Places for Sport 2009/10 programme, towards the construction of a new cricket table, installation of new artificial pitch and the installation of drainage plus purchase of equipment (i.e. sight screens and pitch cover).

With the permission of Sport Northern Ireland, the applicant secured items for the project via the execution of a Vesting Order. Prior to receipt of the goods, the supplier went into liquidation and the appointed administrator awarded the goods to a third party. Sport Northern Ireland is seeking clawback of this element of the grant.

Weighting Rationale:

Risk	Inherent	Residual	Treated
Delay in Delivery of Major Project	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism if poorly managed	Non achievement of KPI's Impact on external customers and stakeholders Public embarrassment / National media coverage NIAO criticism if poorly managed
Potential Threats to Budgets	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention
Absence of Chief Executive	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention
Sustainability – Review of ALBs	Cessation of activities Non achievement of objectives	Business disruption Material Impact on performance and business deliverables	Business disruption Material Impact on performance and business deliverables
Legal Action by Staff	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Non Achievement of Objectives by >10%	Failure of key objectives Negative media attention	Material Impact on performance.	Material Impact on performance.
Fraud	Financial Loss >£1m Negative media coverage	Minor fraud - £100s No impact on achievement of objectives	Minor fraud - £100s No impact on achievement of objectives
Lack Appropriate Information System Security.	Significant public embarrassment Personal damages	Minor non compliance issues	Minor non compliance issues
Contingencies / Business Disasters.	Failure of key support services. Media coverage	Negligible impact on support services.	Negligible impact on support services.

PRIORITY ONE RECOMMENDATIONS

Summary of Priority 1 Recommendations

Assignment	Summary of Priority 1 Findings	Status
<p>Tollymore National Outdoor Centre – Stores Management</p> <p><i>Internal Audit</i></p>	<ol style="list-style-type: none"> Internal Audit has identified the absence of adequate physical control over stores equipment. While all equipment is securely stored, access to stores is not well controlled - in addition to the Stores Officer, instructors, trainees and the Centre Manager all hold store keys. The review of the system highlighted the absence of any level of duty segregation. Current procedures provide for stock control requiring that an annual stock reconciliation is undertaken which includes equipment condition checks by the Centre Manager or full time Instructor. Internal Audit identified the absence of either of these checks. 	<p>In progress</p> <p>In progress</p> <p>In Progress</p>
<p>Disclosure of Funding Streams</p> <p><i>Report to those Charged with Governance – Lottery and Exchequer Y/E 2012</i></p>	<ol style="list-style-type: none"> SCNI make grant awards to fund projects from either the Exchequer or Lottery funding streams. NIAO have for some years raised an issued with regards to which stream projects are funded from and whether there is any switching of project funding. We understand that DCMS and DCAL are considering the need for clarification on the guidance for funding. <p>We note that SCNI do not identify the relevant funding stream on the Letter of Offer issued to claimants. NIAO and NAO are of the view that at the Letter of Offer stated (i.e. after business case approval) funding is deemed to be committed and should therefore be clearly stated to avoid confusion and provide transparency on the project funding stream.</p> <p>SCNI should ensure that all LOO issued clearly identify the funding stream from which the project is being funded.</p>	<p>Actioned – moving forward.</p>
<p>Gifts and Hospitality</p> <p><i>Report to those Charged with Governance – Lottery and Exchequer Y/E 2012</i></p>	<ol style="list-style-type: none"> The SCNI's gifts and hospitality register is not in compliance with the current DFP policy contained DAO 10/06. From our view we noted that it does not properly contain items accepted and declined; does not record the value and in once case no approval from could be provided. <p>The current SCNI policy is out of date and should be updated to reflect the current DFP policy contained in DAO10/06 as a matter of urgency. This should be communicated to staff and management should ensure guidance is properly followed. SCNI should consider requiring key staff to provide quarterly hospitality returns including nil returns to assist this. The register should be updated on a regular basis.</p>	<p>In progress</p>

**Grant
Commitments /
Accruals**

*Report to those Charged
with Governance –
Exchequer Y/E 2012*

1. MET/2836 – NUIAO identified a clerical error which resulted in an under accrual for this case. The amount in the interim accounts and working papers was £1m, but the correct amount should in fact have been the total commitment of £2.9m – an additional £1.9m on this case.

NIAO are aware that SCNI have since de-committed £1.98 in respect of this case. As a result no adjustment was required to the financial statements. Management should ensure that Adequate controls are in place to provide accurate and complete information in respect of grant commitments

Actioned –
moving forward

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.
Treated Risk	The risk exposure post implementation of agreed future actions.

MONITORING MEETING - DCAL AND SPORT NI
9.30 AM THURSDAY 25 OCTOBER 2012
VENUE – ROOM 2.3, CAUSEWAY EXCHANGE

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (3 September 2012)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2012/13**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **2012 Olympics/Paralympics**
 - **Boxing Strategy**
 - **50m Pool**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Spend against Budget**
 - 5.5 Financial Profile/Forecasting**
- 6. Any Other Business**
 - 6.1 Economic Appraisal Test Drilling**
 - 6.2 TNOC (added at meeting by CW)**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 25 OCTOBER 2012 AT 9.30 AM
CAUSEWAY EXCHANGE**

Present: Colin Watson (CW) (Chair)
Ciaran Mee (CM)
Robert Heyburn (RH)
Nick Harkness (NH)
Andrew Sloan (AS)
Paul Donnelly (PD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 CW welcomed everyone to the meeting. There were no apologies.

2.0 Minutes from Meeting held on 3 September 2012

2.1 The minutes of the previous meeting held on 3 September 2012 were agreed.

3.0 Matters Arising/Action Points (paragraph numbering in brackets refers to the Action Point within the Minutes of 3 September 2012)

A number of Action Points from the previous meeting were addressed:

3.1 Accountability and Governance – Quarterly Assurance Statement (QAS) (SNI) (3.2.1)

3.1.1 As a result of an incident of fraud in the Active Communities Programme at Castlereagh BC, a Lessons Learned report has been shared with the Department. Action now complete.

3.2 Business Performance Review – Business Plan & KPIs 2011/12 Year End Outturn (SNI) (4.1.3)

3.2.1 This action point related to the number of governing bodies meeting revised recognition standards following a SNI review. CW had asked that the comments section within the Quarter 2 Review referred to the

number of bodies that are up to standard. PD advised that this target had been included in the 2011/12 Business Plan but this particular KPI was not included in the 2012/13 Plan, therefore, it would not be included in the Quarter 2 Review. He did suggest providing an Addendum to the Outturn Report by way of explanation. CW was content for an Addendum to be included.

Action: SNI

3.3 Business Performance Review – Business Plan & KPIs 2011/12 Year End Outturn (DCAL) (4.1.9)

3.3.1 This action related to NH's request for clarification regarding the marketing protocol for sports projects. The Department has provided advice on the matter. Action now complete.

3.4 Accountability and Governance – Quarterly Assurance Statement (QAS) – Risk Management (SNI) (5.1.1)

3.4.1 CW had asked for the QAS to reflect the broader issue of staff shortages as opposed to specific mention of the CEO being 'on leave'. PD confirmed that the reference had been removed from the QAS but was included in the Risk Register as a less specific reference. Action now complete.

3.5 Accountability and Governance – Quarterly Assurance Statement (QAS) – Risk Management (DCAL) (5.1.3)

3.5.1 Dominic Walsh had written to the Department advising that the Report relating to St Colman's would be completed by the end of September. NH had requested the assistance of Steven Trainor in preparing this Report but he was not released to provide this assistance. NH advised the meeting that Joan McClelland, NIAO, was due to meet with him and others, including Steven Trainor and Ciaran McGurk, on 26 October. RH advised SNI of the process for the NIAO representative gaining access to Departmental records relating to St Colman's. Action now complete.

3.5.2 AS advised the meeting that Paul Welsh had again been in communication with SNI. SNI had provided him with an initial report and it would appear this has raised further questions from him. An article had appeared in the Press about the IFA 'pulling out'; this was not the case. AS highlighted that these issues were for the district council to deal with and not SNI.

3.6 Accountability and Governance – Risk Management (SNI) (5.1.6)

3.6.1 AS advised the meeting that he believes DCMS has been informed of the £8,300 written off by SNI with regard to Omagh United FC, however, he will confirm this with Rachael McDowell on her return from leave.

Action: SNI

3.7 Accountability and Governance – Risk Register (DCAL) (5.2.2)

3.7.1 This action related to the ALB Review findings in that Risk Registers were not focused on the Business Plan objectives. CW had agreed to clear the approach to this internally. The Department has since confirmed the detailed position. Action now complete.

3.8 Accountability and Governance – Risk Register (SNI) (5.2.3)

3.8.1 SNI was to consider and amend the Risk Register, as appropriate, following CW's comments that there was nothing included in the Risk Register as to what SNI was doing or going to do to manage the risk in terms of the potential threat to budgets. SNI to consider and amend the Risk Register, as appropriate. 'Potential Threats to Budgets' has been removed from the Risk Register. Action now complete.

3.8.2 On a separate matter, PD referred to the Business Plan for 2012/13 and commented that SNI has not received confirmation of approval as yet. CW confirmed the draft has not yet been approved.

3.9 Any Other Business - Review of All Hours Worked Allowance (AHWA) (DCAL) (6.1.1)

3.9.1 CW had made reference to correspondence issued to the CEO in August 2011 regarding this issue. NH requested a copy of that letter and that has been forwarded by the Department. Action now complete.

3.10 Any Other Business – Sport NI Recruitment (DCAL) (6.4.1)

3.10.1 SNI had written to CW regarding the issue of recruitment. CW has responded. Action now complete.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2012/13 – Quarter 2

4.1.1 Discussion moved to the Quarter 2 Review of the 2012/13 Draft Business Plan. In summary, of the 57 Key Performance Indicators (KPIs), 51 were on target to be achieved (89%) (green); 5 were likely to be achieved but with some uncertainty (9%) (amber); and 1 was unlikely to be achieved (2%) (red). KPIs were discussed by exception.

4.1.2 CW referred to 1.1 (Lifelong Participation) and queried the figures relating to this target. PD explained that, in terms of targets, a number of programmes contribute to the achievement of the targets. SNI was unable to provide figures for all programmes at this time as some information is only captured at year end, for example, Sport Matters. CW referred to calculations that he had carried out indicating that each facility would be awarded £1,000. PD offered to provide excel spreadsheets containing the relevant detail.

Action: SNI

4.1.3 NH referred to a number of capital projects still within their monitoring period and that some projects are dropping off. The figures refer to

projects within this 5-year monitoring period. PD added that SNI does not have real-time recording of projects.

4.1.4 CW asked for confirmation that SNI would achieve the targets. SNI confirmed it would achieve them, however, PD pointed out that the Awards for Sports Programme would not contribute to the achievement of the targets.

4.1.5 Moving to page 13, CW referred to the target of 18-22 in respect of the number of medals won by Sport NI-funded athletes in competition at Commonwealth, European, World and Olympic and Paralympic level (open to athletes aged 16 and over). He queried why this target had been set so low in a major competitive year. NH advised that the Commonwealth, European and World competitions do not relate to the Olympics. PD added that this target and the range of the target was agreed with Shaun Ogle. CW suggested that such targets should be higher during a major competition year otherwise it becomes a very easy target to meet. This would also improve the cost ratio for success. CW added that we do very well in Olympic/Paralympic competition, particularly, paralympic competition.

4.1.6 NH commented that there are a number of sports in which SNI funds athletes but they are not classified as Olympic sports. As such, it is not correct to look at cost per medal using the total cost for this target.

4.1.7 CW referred to page 15, 2.1.6 and queried what the target of 250 actually shows. He added that if 250 athletes were paid for, then 250 would participate and if it was 300 then 300 would go so does the target reflect there being a lot of good athletes or a lot of athletes who will participate? NH was unable to confirm if there were selection standards to be met. CW suggested, for next year, that SNI look at this target and what it actually portrays.

- 4.1.8 Discussion moved to page 17, 3.2.1 and 3.2.2, new KPIs relating to the number of Safety Certificates reviewed that relate to designated sports grounds and regulated stands to ensure compliance with issued guidance; and the number of site visits and specified activities monitored at designated sports grounds and regulated stands, to assess compliance with the Terms and Conditions of the respective Safety Certificates, initiating actions to address any significant deviation, both of which are amber. NH referred to previous discussion on this and advised remedial action is being taken to ensure full achievement of these targets. This includes reviewing the potential to redeploy additional staff resources to these areas of work.
- 4.1.9 CW referred to page 21, 4.1.4, the total number of funded clubs and sporting organisations undergoing an NSPCC Child Protection health check and although he commented that it was nothing to do with the target, he asked what the position was with Boxing and said he was aware that the CAL Committee had written to the IABA, possibly prompted by a Belfast City Council Report. PD advised that the NSPCC would be making a presentation to the CAL Committee on the work of its Child Protection in Sport Unit (CPSU). CM advised that the CPSU had apparently written to the CAL Committee on Child Protection issues in Boxing and that the Department was seeking a copy of this letter, if possible, from SNI. CW advised that we do not have statistics as to whether all coaches have been vetted and never managed to get anything out of the NSPCC. PD confirmed the position as not as negative as you would think.
- 4.1.10 PD agreed to share the correspondence with the Department. The CAL Committee is looking at the NSPCC letter. CM advised the meeting that the Department would prefer to source the letter from SNI as the Agenda for the CAL Committee lists the letter from the NSPCC but the Department is not aware of the content. PD advised that the letter is not specific to boxing.

4.1.11 CW moved to page 22, 4.3.2, the number of clubs attaining accreditation through Clubmark NI-endorsed club development and accreditation schemes. CW referred to the baseline figure of 82 and commented that if we started with 82 and still have 82, we have not made any progress. PD stated this should be up to 130.

4.1.12 Referring to page 26, 5.2.3, the number of people attending/attaining coach development/leadership courses through Sport NI-funded programmes in the last 12 months to enhance the coaching workforce, CW felt 5,000 was a very large number for a single year. NH went on to explain that there is less than 1,000 at present but many of the reports are expected at the end of the year and this KPI is highlighted in amber only in order to show the low figure against target but SNI is confident this target will be achieved. However, SNI is unable to confirm actual figures against the 2012-13 output target until returns are provided at the end of Quarter 4.

4.1.13 CW sought confirmation that the target relating to TNOG (amber), page 27, 5.2.4, would be achieved. PD confirmed this would be achieved, historically figures pick up in the latter quarters of the year.

4.1.14 CW referred to page 28, 6.3.1, the percentage of staff attendance in the last 12 months. CW suggested a reference to 'long-term sick' may be appropriate for inclusion here.

4.1.15 Moving to page 32, 6.2.2, the percentage response to all Freedom of Information and DCAL Information Requests within the required time frame, CW referred to the target and highlighted that if 80% of requests were being met within the time frame, then 20% were not, resulting in the Department providing late advice to the Minister. He understood the difficulties in getting 'final' clearance within Sport NI but the issue was, where there is a lot of information, the Department may have a large amount of work to do with the information. He suggested that, if information was not signed off, then it could be accepted by the

Department with a 'health warning'. CM advised it would be the Departmental officials' call as to whether it should be sent to the Minister.

4.1.16 PD commented that it would be helpful if information already provided a week or so beforehand could be recycled. CM advised the meeting that the Department does try to do this where there is no change. SNI agreed to try to clear information quickly and, where necessary, deliver with a 'health warning'. CW added that the Department will still expect to have the information signed off eventually. NH suggested a Director being available on a particular day to enable sign off, however, PD felt the existing rota is fine in terms of sign off but where input is required from others then this can be problematic. NH was content to deliver information with a health warning followed by final sign off.

4.1.17 PD referred to 6.8.2, page 35 – the value of savings and efficiencies realised through the implementation of SNI's Savings Delivery Plan (SDP) 2012-15, to improve the efficiency and effectiveness in the administration of sport. PD advised that this is a new KPI which relates to revised SDP reported in May and asked if this target should reflect the old SDP. RH confirmed this had to be revised. NH felt concerned that SNI was setting a target which was not consistent with a revised figure. RH commented that it would be preferable to look at this as a living document. CW added that the revised saving was more than what was in the original Plan.

4.1.18 PD added there were 2 key sub-KPIs, that is, consultants and staff savings and sought clarity as this was not consistent with where SNI were reporting elsewhere. CW agreed that the Department would look at this and return to SNI and it may mean reporting against both but he did not understand why DFP was imposing restrictions.

Action: DCAL

4.2 Major Projects and Programmes

4.2.1 **Sports Strategy:** CW advised SNI that we were no longer going to have the monthly Sport Matters monitoring meetings but these would be merged with the regular business monitoring meetings starting from the next meeting.

4.2.2 PD provided a verbal update advising the meeting that good progress is being made on the third progress report and this would be put to SMMG on 21 November 2012. There were 4 key areas at the SMMG meeting. PD advised that the 'advocacy' document was now in final draft and would go to SMMG for comment and approval. The PL23 paper had been worked on since July and was a weighty document on options SNI want to present. He added that the Chair does not want to rush this so an update paper would be presented to SMMG in November. NH commented that SNI was experiencing pressure on completing this due to a member of staff being on jury service. He added it was clear on one hand to simply take targets and things that have developed in the interim, such as, the Centre in Londonderry meaning you could get close to 10 projects. The objective is to have 10 new/upgraded facilities for an Olympic sport.

4.2.2 Discussion followed regarding £53m and targets and £40m, approximately, being taken off the table. There could be arguments as to whether the target has failed or is there another way of delivering. Lengthy discussion followed on where monies were spent instead of on the Elite Facilities Programme. SNI advised that the Chair of SMMG was keen to have a workshop on what achievement of this target is about. RH commented that the target was about providing a facility for people to perform. CW added that we need to major on our achievements but there was still work to do even if we deliver on Sports Strategy.

4.2.3 CW asked for confirmation as to when the Department would receive the papers. PD confirmed they would be with the Department a week in advance of the meeting on 21 November 2012. CM advised that the Agenda had been prepared and was with the Department but would have to issue soon.

4.2.4 PD advised the Progress Report would include an advocacy document and support paper; PA6 (recommendations and steps to take forward); and PL23 paper. CM commented that in bringing the papers forward we would be conscious of the need to have a bit more than a week to consider. CW added the earlier the papers are received the better to allow the Department to comment too. CM/PD/GM to liaise on papers.

Action: DCAL/SNI

4.2.5 **2012 Olympics/Paralympics:** CW referred to the Minister's priorities and, in particular, to the legacy from the Olympics/Paralympics and asked SNI officials if they were liaising with the Games Legacy Unit within DCAL. NH confirmed that John Beggs had completed PPEs and AS advised that a paper was due in on 31 October. AS advised that there was an evaluation exercise on Olympic-related issues relating to the NI-wing of the Co-ordinating Group and what did the Olympics do for us referring to Active8, Active Communities and SINI.

4.2.6 CW referred to the other issue of what we expect to achieve from the Olympics. PD advised that a workshop has been scheduled to source the ingredients for a legacy paper. A paper had been produced to support discussion with the 4 home countries. CM asked if the Olympics had helped us to deliver Sport Matters. NH highlighted it was great we achieved the Inspire Mark in respect of Active8 and it was seen as a significant project across the UK. He added that SNI had been working on the legacy for quite some time. PD commented it was about managing expectations but there was no comprehensive research on measuring the impact of a major event, such as, the Olympics.

4.2.7 CW referred to the disability legacy and a Sinn Fein Motion. CM advised the meeting that representatives from Disability Sport did come in to see the Minister in June and had raised the question of support for a single disability organisation. NH made reference to how Special Olympics Ulster had taken a new approach and now Disability Sport are keen to see if they can achieve the same. Disability Sport is working on a business case. Comment was made that the Department of Health would say they do make significant provision for disability but not in respect of Disability Sports. NH referred to work being done on the Business Plan and that John (Beggs) had had initial conversations with Kevin O'Neill on the Olympic legacy for disability sports. A conversation has started and SNI will wait with interest to see the outcome. CM referred to a data request which would be submitted by the Department in due course.

4.2.8 **Boxing Strategy:** Referring to the Boxing Strategy, CW confirmed we now have a document to go out to consultation. CM has returned comments to SNI. CW added that he would like that document 'on the street' for comments so that the Minister would be in a position to say it was out for consultation. A short discussion followed on priority areas which included boxing. CW asked for the Department to be kept up to speed on issues. Shaun Ogle and Richard McCormick to update CW on 26 October. PD referred to the document going out for consultation and the screening form. The EQIA and the document do not go out together. He added, ideally the document would be out before the CAL Committee meeting and debate. CW stressed again that it would be useful for the Minister to be able to say the document is out and everyone will have every opportunity to have their say.

5. **Accountability and Governance**

5.1 Quarterly Assurance Statement (QAS)

5.1.1 NH made mention that the QAS should have included 'Acting' where position was noted as 'Chief Executive' of SNI.

5.1.2 The QAS was noted and several points were raised under 'Risk Management'. RH referred to page 3 of the QAS and the issue relating to Ballymena Borough Council which, he advised, was something the Department was not aware of, therefore, a surprise to him. NH clarified that albeit this was included in the QAS, it was the responsibility of the Borough Council. RH added it was rightly included in the QAS but the Department should have been made aware of the issue as soon as it had arisen. The issue was not considered fraud-related, however, CW questioned if it was a theft. AS agreed to source a full brief on the matter as there was a query over whether the Council had paid for the artificial mat.

5.1.3 RH then referred to the issues relating to Derriaghly Football Club/Dromore Amateur Club stressing that these had been ongoing for a long time. AS advised that the delay was as a result of securing a date in the Small Claims Court.

5.1.4 Moving on to the issue relating to Castlereagh Borough Council and the Active Communities programme, RH sought assurance that the lessons learned from this would help detect fraud in other projects.

5.1.5 CW raised the issue of the legal Charge which Cliftonville Football Club wish to move from position 2 to position 3. A valuation is awaited, however, this is likely to be less than previous valuations. AS agreed to advise the Department as soon as SNI were in receipt of it. RH commented that the reasons behind the Club's course of action may be interesting.

- 5.1.6 Moving to the St Colman's College Project, CW referred to the internal audit report. RH and AS have been in liaison regarding this issue. The QAS confirmed that the Internal Audit had completed its fieldwork, a draft report had been issued and management responses provided. NIAO had also commenced its own review of the Project.
- 5.1.7 Referring to Triathlon Ireland, CW queried if the whistleblower was content with the outcome of the investigation. SNI had carried out a preliminary review and has been unable to substantiate claims made by the whistleblower, therefore, without anything more concrete to investigate further, this matter is now closed.
- 5.1.8 Moving to Woodvale Cricket Club, RH referred to the repayment schedule and disparity with the Cricket Club. SNI confirmed there was no disparity. SNI has not accepted conditions put forward by the Club and has written to the Club advising that the cheque provided by the Club would be encashed but SNI would not accept the terms proposed by the Club.
- 5.1.9 On 'Governance' issues, CW confirmed he was content with the governance arrangements but would review this with the Department and address any comments with SNI.
- 5.1.10 On 'Business Planning' AS sought assurance that the Department was content that where there was one red KPI that SNI tick 'No' within the traffic light system. PD added that for next year's Plan, SNI would look at reporting against 6 KPIs and at least at one point there would be a 'Yes' ticked. NH commented that it was ridiculous to have a system where it could never be ticked 'Yes'.
- 5.1.11 With regard to the sections on Financial Planning and Monitoring; Economic Appraisal, Post Project Evaluation and Consultancy; Procurement; Policy Implementation; and Fraud, Whistleblowing and Bribery Act no issues were raised.

5.1.12 Turning to 'Internal and External Audit Reports', CW referred to the External Audit Recommendations and particularly Priority 1s (P1s) and the expectation that they are done as a matter of urgency. AS confirmed that SNI has reported on Priority 2 (P2s) and Priority 3 (P3s) recommendations and asked if it would be appropriate to take them out and focus on the Priority 1 recommendations only. CW advised that he was content to have P2s and P3s kept in but priority to be given to the P1s and getting the P2s and P3s off the table. The expectation being that, over the course of a couple of meetings, they should disappear.

5.1.13 CW commented that he had noticed quite a number of the recommendations related to software issues, therefore, if the software issue was resolved, this should result in a lot of recommendations disappearing.

5.1.14 There was no comment made under 'Data Management'.

5.1.15 On 'Other Issues' AS advised the meeting that SNI is trying to resolve technical and configuration issues with the Department for Social Development (DSD) with regard to the Government Funding Database. RH highlighted how this has been ongoing for a few years. AS mentioned Deirdre Lundy of the Department acting as a conduit to DSD and that he had been in contact with Deirdre and is conscious that SNI does not want to fall behind. CW referred to an Audit Recommendation for the Department to check this is up to date. He also mentioned that apparently there is space for funding streams that are open and the Minister is keen to have a funder finder. PD confirmed that SNI do this through the NICVA. CW added this can be done via the Government Funding Database. He also referred to a letter alerting people of the funder finder. NH agreed, where possible, SNI would add this to the 'final' document. There were no further comments on the QAS.

5.2 Risk Register Review

- 5.2.1 AS advised the meeting that the Risk Register had been changed in line with communications from the Department. The risks of SNI not achieving corporate objectives are down to 8 high-level risks. CW queried underspending referring to the comment 'No further action available to SNI at present' under 'Material Underspend by SNI Funded Capital Project' (No 2 on the Risk Register). NH referred to a list of schemes moving forward at risk but they are not referred to within the Risk Register. SNI is bringing forward some schemes should others fall so they could be up to a certain point to step in.
- 5.2.2 RH felt it beneficial to look at the Risk Register and look at the previous document and to go back and look at change and comment on it but that the link to objectives is key.
- 5.2.3 AS added that they tried to articulate problems that could arise and highlight that risk. NH referred to the Stadium Project and periodic risk workshops and asked if there was any logic in having a risk workshop. RH added it was something to think of in respect of all Arms Length Bodies and have consistency across Departments. RH agreed to speak to GSU. NH agreed it would be useful to explore what GSU could help them with and to have a periodic look at the Risk Register may be one.
- 5.2.4 CW advised that the Risk Register is looked at in terms of how we get risks to green status and what can be done to get it to green status. NH added it was impossible to get all to green. AS commented that there was a problem with 3 but these should be moving to green. CW commented if the status was green he would be happy. NH referred to the Value for Money Review and if there was no green light then how can the Risk Register say it is green. CW agrees it remain at amber until the value for money review is implemented then it will move to green.

5.2.5 AS referred to Annex 1 of the Risk Register (at page 14) and how this would not come in to what the Department wants but Council members want it included. CW was content as it highlighted where priorities were and it was very welcome.

5.3 Annual Report and Accounts

5.3.1 All Accounts are up to date. CW congratulated SNI on this achievement and hopefully this can be maintained. AS advised the meeting that the timetable for next year's Accounts is particularly challenging but plans are in place to deal with that. AS added that the NI Audit Office is not under any statutory deadline to produce their Report.

5.4 Spend against Budget

5.4.1 Spend against budget was on track. CW referred to speculation that spend would slip into March and referred to a competition to open in March. NH advised the meeting that in cash terms there was £0.5m in terms of retention.

5.5 Financial Profile/Forecasting

5.5.1 All were content with Financial Profiling/Forecasting.

6. Any Other Business

6.1 Economic Appraisal Test Drilling

6.1.1 CW sought assurances that all that should to be done is being done. AS referred to 2 Business Cases and in retrospect, with regard to Pre-Games Training Camps, they should have been combined as one. PD added, of the 6 reviewed, they were of a very high standard.

6.2 On the finance side, CW referred to the monthly report for the Departmental Board and specifically to the 10-day and 30-day prompt payments. He commended SNI on their performance of 96% and mentioned that this is monitored every month. There are currently no issues with SNI. AS advised the meeting that their payment run is on a weekly basis and, on occasion, there might be 2 per week.

6.3 AS referred to the Ministerial Reception for Sport due to be held in January and how the Belfast Telegraph Awards ceremony is also due to be held in January. He was concerned that the same people would be invited to both and wondered if there was merit in combining the 2 events. CW advised that he did not think we could and both would have very different audiences and also referred to the Departmental policy of hosting receptions throughout the year for exceptional achievements and a reception for everyone else as a wrap up at the end of year to celebrate their success. This had started with the greatest of intentions but then requests for receptions were received throughout the year. January is a 'catch all' so would not be appropriate to have a joint ceremony. He added that there may not be an issue of moving the Department's Reception to February. AS agreed to ask Richard McCormick to drop a line to the Department. CW reiterated that February may suit better.

Action: SNI

6.4 RH referred to circulars regarding Pensions and advised the meeting that he would be writing to SNI on behalf of the Director to seek an assurance that pension activity was in line with NILGOSC.

Action: DCAL

6.5 RH referred to the 2013/14 Business Plan and would expect a draft in December. PD advised it was hoped to have this taken forward at the next Council meeting. CW added that he was coming under pressure as to the impact our spend can have on poverty and deprivation and how we target spend to make a significant difference. CM added that

we would want to know the measurable difference, if any. PD added there was no real change over the years with all investment and all the targets. CW stated he was not convinced there was a lot of targeting of resources. NH commented that statistics show greater participation rates in deprived areas than more affluent areas.

6.6 CW asked the meeting if there was anything we can do on a North/South basis and all-Ireland basis and work better with our counterparts in the South. He referred to justification for, say, elite facilities and also made mention of the all-Ireland Cycling Association.

6.6.1 NH highlighted the issue of running costs and referred to Edenderry and the huge deficit but questioned who takes ownership and revenue cost of running a facility. It was important to find a way to run and fund its operational costs. CW added that if on an all-Ireland basis and if this was jointly funded it may be possible to run something.

6.7 PD asked about the scheduling of the upcoming bilateral meetings. CW advised the meeting that officials are still working on these across the Department.

6.8 RH referred to the issue of budgets and advised the meeting that a paper would be going to the Minister from Michael O'Dowd in Finance Branch on resource over the next few years. NH added that the sooner the information was available, the better. NH also added there were 'needy' schemes left over from the SMCCP.

7. Date of Next Meeting/Time/Venue

7.1 The next Quarterly Assurance Statement is due on 8 January 2013, therefore, it was proposed to have the next Accountability meeting on 10 January 2013 and for the following quarter, the Quarterly Assurance Statement is due on 9 April 2013, therefore, it was proposed to have that Accountability meeting on 11 April 2013.

7.1.1 The next meeting is scheduled for **Thursday 10 January 2013** at **9.30 am** in the **House of Sport**.

7.2 Finally, before the meeting ended, CW reminded officials that we need to come back on October Monitoring. AS advised the meeting that SNI do not expect the easement to come back but bids may come back for small schemes.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V20
AUTHOR:	A Sloan
DATE:	22/10/12
DATE OF REVIEW BY DIRECTORS	22/10/12
DATE OF REVIEW BY AUDIT COMMITTEE	TBC
DATE OF REVIEW BY COUNCIL	TBC
NEXT REVIEW DATE	01/11/12

Version		Summary of Changes	
Ref	Risk		
1	50 m pool update	Risk Removed	FPM undertook their review and has issued their report in which there are no significant issues. This report has been copied to DCAL for their review and comment. An addendum to the business case has been prepared and submitted to DCAL for approval.
2	Potential Threats To Budgets	Risk Removed	The likelihood of budgets being reduced in the future is a risk, however management do not consider this risk to be imminent one and have therefore removed this risk from the register for the present time.
3	Legal Action by Staff	Risk Removed	The likelihood of this risk materialising is significantly low to merit removal of this risk from the risk register
4	Absence of Chief Executive	This risk is now encompassed within the risk 'Non Achievement of Objectives' – Cause – Appropriate Staff	
5	Ineffective Management of Capital Projects	New Risk	
6	Material Underspend by Funded Capital Project	New Risk	
7	Health and Safety Risks	Risk escalated from appendices of risk register. This reflects a recent incident at TNOC and the increased emphasis on H&S by Sport Northern Ireland, which now sees this management area becoming a permanent fixture within the Internal Audit Strategy	
8	Non-Significant Risks – Areas Requiring Special Attention	Section removed as these are addressed within the Chief Executive's Quarterly Assurance Statement.	
9	Non Achievement of Objectives	Updated to reflect risk to Irish League Football Clubs.	

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the system given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and Senior Management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Nick Harkness

Acting Chief Executive

July 2012

Table 1: Risk Scoring Matrix

Likelihood Impact	Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
High 5	5	10	15	20	25
Medium-High 4	4	8	12	16	20
Medium 3	3	6	9	12	15
Low-Medium 2	2	4	6	8	10
Low 1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
1. Ineffective Management of Capital Projects	Community Capital team Manager	8	N/A	✓	<ul style="list-style-type: none"> Active People Successful Athletes Quality Facilities Enabled Partners A Trusted and Effective Leader 	Treat
2. Material Underspend by Sport Northern Ireland Funded Capital Projects	Capital Finance Manager Performance Finance Manager	8	N/A	X	<ul style="list-style-type: none"> Active People Quality Facilities 	Tolerate
3. Ineffective Governance	CEO / Directors	8	8	✓	<ul style="list-style-type: none"> All 	Treat
4. Non Achievement of Objectives >10%	Programme Managers	6	6	X	<ul style="list-style-type: none"> All 	Tolerate
5. Fraud	Programme Managers	5	5	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
6. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	4	4	X	<ul style="list-style-type: none"> All 	Tolerate
7. Inappropriate Disaster Recovery Procedures	HR Manager (HOS) IS Manager	4	4	✓	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
9. Loss / Theft of Data	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

*The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland.

SPORT NORTHERN IRELAND – RISK REGISTER

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Ineffective Management of Capital Projects	<p>Cause:</p> <ul style="list-style-type: none"> Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls <p>Impact:</p> <ul style="list-style-type: none"> Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Project funding and management P&Ps, e.g. Delegated Decisions Policy, Business Cases <p>Preventative Controls</p> <ul style="list-style-type: none"> Formal sign off by project funders for projects over £0.5m Business Case addendums Updated change control training Prince 2 accredited staff <p>Detective Controls</p> <ul style="list-style-type: none"> Project Monitoring Internal Audit Post Project Evaluations <p>Corrective Control</p> <ul style="list-style-type: none"> Funding terms and conditions 	4	2	<p>Treat Risk</p> <ul style="list-style-type: none"> Address recommendations of Internal Audit Review and NIAO review into project management of St Colman's College project Implement revised Anti-fraud and Corruption Policy Revision of SNI investment Policies Revision of Delegated Decisions Policy Implementation of new procedures 	On-going	CEO	4	1
2	Material Underspend by Sport Northern Ireland Funded Capital Project	<p>Cause:</p> <p>Underperformance of projects. Possible drivers include:</p> <ul style="list-style-type: none"> Applicant capacity Site conditions Project management capacity Partnership funding Adverse weather Failure to Secure Planning <p>Impact:</p> <ul style="list-style-type: none"> Risk to project deliverables if underspend is due to payment timing issue. Closure of project. 	3	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring <p>Preventative Controls</p> <ul style="list-style-type: none"> Project Budgets Budget / Project Monitoring Potential to use Lottery funding which is not year end sensitive <p>Detective Controls</p> <ul style="list-style-type: none"> Project Budgets Budget Monitoring Strict application of PMRs 	4	2	<p>Tolerate Risk</p> <p>No further action available to SNI at present.</p>	N/A	N/A	4	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls		Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L	I	L	I	L				I	L
3	Ineffective Governance	<p><u>Cause:</u> The Department is currently undertaking a review of its Arm's Length Bodies. The purpose of this review is to assess the functions and value derived from DCAL's ALBs. The review team has completed stage 1 of its review of Sport Northern Ireland. As part of this review perceived weaknesses in the system of governance within Sport Northern Ireland were highlighted.</p> <p>In light of these emerging findings, DCAL has postponed the review of Sport Northern Ireland for a period of six months to enable the completion of a governance and value for money reviews.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Reputational Damage • Sanctions by DCAL • Funding Restrictions 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ MSFM / Policies and Procedures ▪ Managing Public Money Guidance ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board ▪ Governance Audits of GBs ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Grant Recipient KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Advice ▪ Section 75 Screening ▪ In-House Specialists ▪ Internal Audit Strategy <p>Detective Controls</p> <ul style="list-style-type: none"> • Third Party Reviews • ARMC commissioned Gov Review 	2	4	<p>Treat Risk</p> <ul style="list-style-type: none"> • Value for Money Review – Sport Northern Ireland is to commission an independent Value for Money Review. The nature and scope of the review has necessitated the use of consultants. Sport Northern Ireland has prepared a business case and terms of reference for this review which are currently with DCAL for comments and approval before the exercise can proceed to implementation stage. • Sport Northern Ireland still awaits feedback from the Department on this matter. It is likely that this delay will impact the envisaged 6 month deadline. 	On-going	CEO / Chair	2	4	

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
4	<p>Non Achievement of Objectives</p> <p>>10%</p>	<p><u>Cause:</u> SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance of and relationships with key partners. ▪ Potential change of Government priorities; ▪ Use of private sector contracts ▪ Appropriate budgets; ▪ Appropriate staff; <ul style="list-style-type: none"> ➢ Restriction of recruitment ➢ L/T sickness of key staff ➢ Staff redeployment / reskilling ▪ Strong internal processes ▪ Insolvency of grant recipients of contractors, e.g. Irish League Football clubs <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Non delivery of SNI related objectives within the Strategy for Sport • Non delivery of corporate and business plans • Reputation damage 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists <p>Detective Controls</p> <ul style="list-style-type: none"> • Third Party Reviews ▪ Independent Governance Review • Programme of PPEs and PIRs 	3	2	<p>Treat Risk</p> <ul style="list-style-type: none"> ▪ Replace vacant posts ▪ Acquire additional resources ▪ Desist from/reduce lower priority work ▪ Careful monitoring of investments ▪ 	Dec 2012	SMT SMT	3	1
									Dec 2012	SMT		
									Dec 2012	SMT		
									Dec 2012	On-going		
									Prgmme Mgrs	Dec 2012		

No	Hazard	Risk Descripn	Inherent Risk			Current Controls	Residual Risk			Agreed Actions	Date	Officer	Treated Risk					
			I	L			I	L					I	L				
5	Fraud	<p><u>Cause:</u> Fraud – this is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	100's Lost			100's Lost			<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS – Access to services of 	100's Lost			<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. <i>Treated risk unchanged – no new actions.</i></p>	Ongoing	Int Audit	100's Lost		
			2	5	2	2	2	2										
			1'000's Lost			1'000's Lost				1'000's Lost								
			3	5	3	1	3	1										
			1m's Lost			1m's Lost				1m's Lost								
6	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC/HOS</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence 	5	5	5	5	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> H&S P&Ps/ Risk Assessments Staff Meetings Training Adventure Mark <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> H&S Risk Assessments Office / Centre Inspections Skilled, Trained Qualified Staff Continued Professional Development Equipment Standards Personal Protective Equipment <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Equipment / Premises Checks <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Contingency Procedures e.g. Mountain Rescue. 	5	5	5	<p>Tolerate Risk</p> <p>This will be subject to on-going monitoring</p>	N/A	N/A	5	1	5	1
			4	5	4	1	4		1									

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <p>1. Testing - On-going testing of SNI Business Continuity Plan.</p>	On-going Dec 2012	IS Manager Internal Audit	4	1
8	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <p>1. Testing – On-going testing of SNI Business Continuity Plan.. Treated risk unchanged – no new actions.</p>	On-going	IS Manager	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk (taking on board current controls)	
		I	L
1. Sub Standard Work by Third Parties	SNI engages with a number of third party suppliers to assist it in the delivery of its strategy. Any failings or under performance on their part will adversely impact the quality of outputs and the return on investment.	4	1
2. (Minor) Non Compliance with SNI's Policy and Procedures	Failure by staff and management to comply with governing policies and procedures.	4	1

APPENDIX 2

Weighting Rationale

Risk	Inherent	Residual	Treated
Ineffective Management of Capital Projects	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Failure of some objective(s) Potential minor impact on external customers and stakeholders
Material Underspend by Sport Northern Ireland Funded Project	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism
Non Achievement of Objectives > 10%	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material impact on performance and business deliverables	Some impact on performance and business deliverables
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £100,000s	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £1,000
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services.	Negligible impact on support services.

Risk	Inherent	Residual	Treated
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

ANNEX 1

PRIORITY ONE RECOMMENDATIONS

Summary of Priority 1 Recommendations

Assignment	Summary of Priority 1 Findings	Status
<p>Tollymore National Outdoor Centre – Stores Management</p> <p><i>Internal Audit</i></p>	<ol style="list-style-type: none"> 1. Internal Audit has identified the absence of adequate physical control over stores equipment. While all equipment is securely stored, access to stores is not well controlled - in addition to the Stores Officer, instructors, trainees and the Centre Manager all hold store keys. 2. The review of the system highlighted the absence of any level of duty segregation. 3. Current procedures provide for stock control requiring that an annual stock reconciliation is undertaken which includes equipment condition checks by the Centre Manager or full time Instructor. Internal Audit identified the absence of either of these checks. 	<p>In progress</p> <p>In progress</p> <p>In Progress</p>
<p>Gifts and Hospitality</p> <p><i>Report to those Charged with Governance – Lottery and Exchequer Y/E 2012</i></p>	<ol style="list-style-type: none"> 1. The SCNI's gifts and hospitality register is not in compliance with the current DFP policy contained DAO 10/06. From our view we noted that it does not properly contain items accepted and declined; does not record the value and in once case no approval from could be provided. <p>The current SCNI policy is out of date and should be updated to reflect the current DFP policy contained in DAO10/06 as a matter of urgency. This should be communicated to staff and management should ensure guidance is properly followed. SCNI should consider requiring key staff to provide quarterly hospitality returns including nil returns to assist this. The register should be updated on a regular basis.</p>	<p>Sport Northern Ireland's internal controls governing gifts and hospitality have recently been enhanced. The organisation's Gifts and Hospitality Policy has been updated and now requires that:</p> <ul style="list-style-type: none"> • All staff are to complete a monthly declaration, to confirm whether or not any Gifts and Hospitality have been offered (received or declined). Nil returns are also required. • These declarations will be collected, monitored and key data collated for reporting purposes in line with the policy requirements. .

ANNEX 2**GLOSSARY OF TERMS**

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.

MONITORING MEETING - DCAL AND SPORT NI
9.30 AM THURSDAY 10 JANUARY 2013
VENUE – HOUSE OF SPORT

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (25 October 2012)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2012/13**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **2012 Olympics/Paralympics**
 - **Boxing Strategy**
 - **50m Pool**
 - **Internal Audit Report**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Spend against Budget**
 - 5.5 Financial Profile/Forecasting**
 - 5.6 Draft Business Plan 2013/14**
- 6. Any Other Business**
 - 6.1 In-year Uplifts for Rowing (Bann & Portora)**
 - 6.2 Update on Bids for additional monies**
 - 6.3 SINI Business Case**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 10 JANUARY 2013 AT 9.30 AM
HOUSE OF SPORT**

Present: Colin Watson (CW) (Chair)
Ciaran Mee (CM)
Tim Duff (TD)
Nick Harkness (NH)
Andrew Sloan (AS)
Paul Donnelly (PD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 CW opened the meeting. There were apologies from Robert Heyburn.

2.0 Minutes from Meeting held on 25 October 2012

2.1 The minutes of the previous meeting held on 25 October 2012 were agreed.

3.0 Matters Arising/Action Points (paragraph numbering in brackets refers to the Action Point within the Minutes of 25 October 2012)

A number of Action Points from the previous meeting were addressed:

**3.1 Business Performance Review – Business Plan & KPIs 2011/12
Year End Outturn (SNI) (3.2.1)**

3.1.1 This action point related to the number of governing bodies meeting revised recognition standards following a SNI review. CW had asked for details on the number of bodies that are up to standard, however, since this KPI is not included in the 2012/13 Business Plan and, therefore, not included in the Quarter 2 Review, CW was content for PD to provide an Addendum to the Outturn Report by way of explanation. An Addendum has been provided. Action now complete.

3.2 Accountability and Governance – Risk Management (SNI) (3.6.1)

3.2.1 An amount of £8,300 had been written off by SNI with regard to Omagh United FC. CW had sought confirmation as to whether DCMS had been advised. AS confirmed that DCMS had a £50,000 limit with regard to write offs, therefore, no notification was required. The relevant section of the guidance relating to this has been forwarded to RH. Action now complete.

3.3 Business Performance Review – Business Plan and KPIs 2011/12 – Quarter 2 (SNI) (4.1.2)

3.3.1 At the previous meeting CW queried figures relating to the target on Lifelong Participation. SNI had been unable to provide figures for all programmes as some information is only captured at year end, however, PD offered to provide a spreadsheet detailing the suite of programmes which feed into the overall target. That information has been provided. Action now complete.

3.3.2 A separate action referred to in 4.1.18 of the previous minutes related to SNI's query on which SDP they should be reporting on as they are still reporting against the old approved SDP. CW agreed to check this with RH and return to SNI.

Action: DCAL

3.4 Major Projects and Programmes – Sports Strategy (DCAL/SNI) (4.2.4)

3.4.1 This action related to liaison between SNI and Departmental officials on the papers going forward to SMMG. This action was completed in advance of the SMMG meeting on 21 November 2012.

3.5 Any Other Business – Receptions (SNI) (6.3)

- 3.5.1 This action related to the timing of the Minister's annual reception and the Belfast Telegraph Awards Ceremony, both originally scheduled for January and SNI's suggestion to host a joint event; Richard McCormick was to liaise with the Department. This action has now been overtaken by developments and the Minister's Reception is now likely to be held in February/March and will be a public event hosted in Londonderry/Derry.
- 3.5.2 Discussion followed on the logistics of the forthcoming event with SNI officials adding they would be happy to support it. NH mentioned the BBC being afforded great praise for the work they are doing in relation to the City of Culture and suggested liaising through the City of Culture Office and them bringing the BBC onboard. CW highlighted the problem of securing high numbers up to Londonderry/Derry. NH added that many of the athletes will be out of the country and suggested a 2-centre event. CM advised the meeting that the Department has been in contact with Geoff Ashe, Derry City Council and is keeping him abreast of developments adding that the Council is also happy to support the event. CM continued that it would be beneficial to arrange a meeting and to liaise through Richard McCormick but was of the understanding that Wilma Webster from the Department has had an initial conversation with him.
- 3.5.3 NH asked what the aim was of hosting such an event. CW advised the meeting of the criticism directed at the Minister as there was no large public event to celebrate the success of the Olympians/Paralympians albeit an event was held in Stormont. The criticism stemmed from the Minister originally hoping to host a public event in Belfast and the possibility of an open-top bus tour, however, Belfast City Council had planned an open-top bus tour for the Boxers which prompted the Department to ask the Council about the bus to be advised that the Council might be hosting something themselves. The Council planned for an open-air event during a lunchtime slot but the Department would have planned to host an event around 5-6 pm which would have

resulted in a delay for guests, therefore, the Department opted to go ahead with its own event. There was a certain degree of confusion around this as Belfast City Council then stated the Department had 'scuppered' their event and published this in the Press saying that the Department had cancelled the event.

3.5.4 NH agreed the challenges would be whether the athletes would be in Northern Ireland and getting them to the event in Londonderry/Derry. CM added that the event is for more than the Olympians/Paralympians and will include everyone else. CW welcomed SNI's offer of support.

3.6 Any Other Business – Pensions (DCAL) (6.4)

3.6.1 This action related to an assurance that pension activity was in line with NILGOSC. RH was to write to SNI on behalf of the Director to seek this assurance. TD confirmed this action is complete with AS adding there had been communications back and forth between SNI and the Department. Action now complete.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2012/13 – Quarter 3

4.1.1 Discussion moved to the Quarter 3 Review of the 2012/13 Draft Business Plan. NH highlighted that the timing of the meeting so close to the completion of the Quarter 3 review had resulted in difficulties in compiling the information and did not afford time to assimilate same. PD added there will be additional pressure in advance of the next Accountability meeting, scheduled for 11 April 2013, as end-of-year reports will also be due then. NH commented that it could be a month or more before information for the Quarter 4 reports would be in. CW agreed to look at the date for the next meeting.

Action: DCAL

- 4.1.2 In summary, of the 57 Key Performance Indicators (KPIs), 52 were on target to be achieved (91%) (green); 2 were likely to be achieved but with some uncertainty (4%) (amber); and 3 were unlikely to be achieved (5%) (red). PD covered the KPIs by exception.
- 4.1.3 Referring to page 14, 2.1.3 (amber), the percentage of all SNI-funded athletes achieving at least 50% of their agreed annual performance targets, 51% of the 70 athletes analysed (those who have completed at least 2/3 of their annual targets) have met at least 50% of their agreed performance targets for 2012 to 2013 at the end of Quarter 3. PD explained that injury and sickness can impact on athletes' ability to reach targets. CW commented that he understood why the target was so low.
- 4.1.4 Moving to page 17, 3.2.1 (red), the number of Safety Certificates reviewed that relate to designated sports grounds and regulated stands to ensure compliance with issued guidance, initiating actions to address any significant deviations, is unlikely to be achieved as the target is 30 and the total number of safety certificates reviewed for the year to date is 17. This is a new KPI. NH explained that, due to work undertaken by the team in relation to the 3 stadia development projects, this had impacted upon the ability to achieve this target. He added that the quality of work ongoing at Casemark Park was questionable and the GAA was pressing hard with the Design Team. NH continued that PD had prioritised safety certificates (those certificates not reviewed are at the lower end of the risk scale). In relation to the MCUI Safety Code of Practice, there had only been one applicant to assist with the guide, therefore, this post may have to be readvertised. NH advised that they were doing their best to backfill posts but pending sick leave in respect of a member of staff requiring an operation will also have a negative impact on achieving the target. That member is within PD's team and impossible to replace. Certificates and reviews are being prioritised based on risk. AS advised that targets will follow through to next year.

4.1.5 Moving to 3.2.2 (green) which has a target of 60 and is another new KPI, the total number of site visits for the year to date is 40, however, due to the increasing work being undertaken by the team in relation to the 3 stadia development projects this means that many of the visits will be centred on these 3 sites and this will make up much of the target of 60.

4.1.6 Referring to 3.2.3 (red), a new KPI with a target of 7, the number of guidance documents issued to relevant stakeholder groups regarding safety management arrangements at sporting events, is currently at 5 completed. There are a number of legal issues which need to be addressed with regard to the drafting legislation. CM referred to special safety certificates for indoor events which are also covered by licensing legislation. There is a need for guidance for indoor events and this will be looked at but it is not a priority as it is covered elsewhere. NH advised the meeting that he thinks 6 will be met.

4.1.7 Moving to 6.1.2 (red) the total expenditure on the Lottery budget, this is another new KPI with a target of £8.5-8.7m. The target has been revised to £7.2m as boxing grants, the Awards for Sport Programme and Building Sport Programme have reduced commitments. The Active Communities Programme has also had additional decommitments. AS advised that in respect of Lottery expenditure, there will be a rollover for future years and committed money was considered spent. Mention was made here that an update on Boxing was required.

Action: SNI

4.1.8 Referring to 6.3.2 (amber), the percentage of staff retention within the last 12 months, AS advised that staff retention is hard to control. The target is 94% and at Quarter 3 staff retention was at 92.66% (87.6% including Stadia TUPE transfer).

4.1.9 PD moved to summarise the content of the update at the front of the Review. CW referred to the 50m Pool and its opening. NH advised the meeting that it was anticipated the Pool would open during the first week

in March. AS added that recruitment for the gym had commenced. PD advised the meeting that he would be happy to take comments before finalising the Quarter 3 Review and before it would go to the Board. The Department agreed to go back with any comments.

Action: DCAL

4.2 Major Projects and Programmes

4.2.1 Sports Strategy: PD provided an update paper and advised everyone that 3 meetings had been held in September/October involving 17 different partner organisations. The 3rd Sport Matters Progress Report (covering the period October 2011-September 2012) was prepared for and approved by the Sport Matters Monitoring Group (SMMG) on 21 November 2012. CM suggested linking the minutes of the Monitoring Group meeting to the minutes of the Accountability Meeting. All agreed this would be useful. PD suggested bi-monthly meetings to see that actions are being taken forward.

4.2.2 SMCCP: CW referred to the SMCCP and to SNI saying that all money supposed to be spent will be spent and asked if any 'big' issues are coming out of it. NH commented it would depend on the timescale but would hope to know as soon as possible. He added there are projects at the end of the list, therefore, they are the furthest away. PD has raised this with TD and has been advised that the Department will require the information by January. NH added that the further the distance the projects are from the starting line, the more this proves difficult.

4.2.3 CW commented that the Department has provided a list but it could depend on who is still on it or let us have a different approach; very geared towards poverty, deprivation – he asked if the application process is the best way to do that. Discussion followed on parachuting a project but leaving an organisation to run it which may ultimately fail. NH felt that we need to partner organisations or help them as, the

likelihood is, those organisations will not have the skills to master large projects. CM made reference to the Marrowbone project. NH added this was seen as a 'cash cow'. CW added there was no issue with the organisation taking over the running of the project but without skills this causes concern; Belfast City Council could assist and then hand over.

4.2.4 PD queried if it would be helpful to have a deadline from DFP and asked if January was too late. TD added, if Finance Branch was confirming monies, then the Department would be advising SNI as soon as possible. Further discussion followed on the anticipated number of projects for next year. NH anticipated 750 projects but could not treat this as certain. He added that they have to treat projects as new projects to start and finish within the year. NH highlighted they cannot start a project without knowing we can complete. CW advised SNI to work on the basis of 250-500 and if there are projects which can be picked up very quickly, then get them into the pipeline.

4.2.5 **2012 Olympics/Paralympics:** PD advised the meeting that John Beggs has been asked to undertake the evaluation relating to this and PD understood a document had been sent to the Department in November. Steven Ormsby is currently working on this in the Department. The evaluation gives a sense of the investment made. CW advised the meeting that questions are now being asked about the legacy from the Games and already someone has asked about the Minister's strategy. NH advised that a second workshop to look at participation and what legacy actually means is planned for February/March. CW added that the Board have requested a paper of some sort on this issue.

4.2.6 NH and PD both suggested looking at programme areas which are making a contribution to the legacy. NH added that Lottery-funded projects declined during the period but did well through Exchequer funding. PD commented that legacy needs to be planned for and when looking to evaluate legacy, this needs to start 2-3 years in advance but it would not be measured 6 months after; it takes 10-20 years to measure success and it is about managing expectation referring to Sports

Matters. CW added, the issue to deal with is public perception and how many children are involved in sport pre/post-Olympics. NH referred to the Inspire Mark and Active8 where there were 50,000-60,000 participants through the Olympic Challenge. PD added there needs to be a comprehensive research framework in place across the UK and there is a need for a re-run of the participation survey. NH commented you cannot isolate the Olympic affect. PD added there is a change in participation with numbers going up but research would show this is not the case; there will be a spike in numbers. CW highlighted that he felt with the run up to the Commonwealth Games, questions will be posed. PD added the Board does think there should be more coming from the Games.

4.2.7 **Boxing Strategy:** this has been covered.

4.2.8 **50m Pool:**

Internal Audit Report: Discussion had already taken place regarding the Pool, however, CW referred to the Internal Audit Report which the Department had issued to SNI. He advised there were some recommendations he would wish to write to NH about and the Report should not have gone without a letter detailing what needs to be done.

4.2.9 NH highlighted concern regarding finance. CW referred to the resource consumption profiles and that is what we think the next 6 months will entail, estimates on way forward including actuals. AS added there is a point when it would not be possible to have actual figures. He continued that there would be a need to bring back 'corrected' management accounts which have already been reported on. NH suggested it would be useful for the 2 Finance Branches to speak and seek a solution first. TD to speak to Finance Branch.

Action: DCAL

5. Accountability and Governance

5.1 Quarterly Assurance Statement (QAS)

5.1.1 The QAS was noted and several points were raised under 'Risk Management'. NH advised that he was satisfied both requirements under Risk Management were ticked 'yes'. With regard to risks realised during the reporting period, SNI's Internal Auditor, Leigh Brown will be looking into concerns raised by an individual regarding the governing body. Concerns raised focus on 3 elements, including, perceived governance failures within NIJF; defamatory comments within the minutes of the NIJF meetings about the individual who has raised the concerns; and non-expenditure of monies provided to NIJF for pre-games training camps in line with agreed arrangements. CW referred to the defamatory comments asking if the minutes are published. NH confirmed the minutes are accessible to Judo Federation members. CW then referred to the funding for pre-games training camps and asked if there was a case of fraud. AS confirmed there was no issue of fraud and money was given as an incentive and never given for a specific project. NH confirmed Leigh Brown will be reporting on assertions made.

5.1.2 Referring to Ballymena United FC, CW asked when was a solution likely to be reached on the issue of the artificial mat being taken off site by the supplier. NH advised that his understanding was that solicitors are having an ongoing debate with the contractor on the matter but unfortunately this all takes time. He believes Ballymena United FC will reinstate the mat but it will take a long time to reach a conclusion.

5.1.3 Moving on to the Cliff, CW asked for an update. NH advised that he understands there are several issues which have arisen, including, keys being thrown and a claim of assault but also the Cliff wants to change to a limited company but until the various issues are concluded, SNI will continue to work with them. He added that several proposed representatives had dropped out of a forum which had been set up. NH confirmed the Cliff does not exist as a limited company but the

relationship with the Council is hampering everything, however, bookings were 'great'.

5.1.4 CW referred to the legal Charge in respect of Cliftonville Football Club and referred specifically to reports of the Minister 'finding the money' for this but we have not. NH confirmed he had taken a call from Gerry Kelly which went 'calmly' and had explained to him the impact of the valuations which had been undertaken and it was the bank's call. CW confirmed he had not heard anything more on this issue.

5.1.5 In relation to Newry City FC, SNI has funded the Club under the Soccer Strategy Programme and as at 1 October 2012, estimate that £187,000 of funding may be eligible for recovery. SNI has secured a legal Charge against the limited company but this Charge is second to the Ulster Bank who has a Priority Charge of £250k over the Club. SNI's solicitor has contacted the Ulster Bank but had not received any response. SNI will continue to issue correspondence to the Bank until the requisite information is obtained. SNI is seeking to convene a further meeting with the Club's accountant following his return from leave in the New Year and has also written to the Club's Director but was still awaiting further information pertinent to the matter. NH commented it is like a 'phoenix rising out of the ashes' but there are liabilities/responsibilities for the first investment. He added it is possible they think if there are other grants these would keep them on better standing.

5.1.6 A short discussion took place regarding the North Down Borough Council's (NDBC) solvency test. NIPSA had written to SNI raising a concern about the future solvency of NDBC should they contract out the management of the new leisure centre (including the 50-metre pool). Following a solvency test SNI had submitted a report and corresponding findings to the Department which the Department has responded to with a number of queries/concerns. SNI has provided detailed responses to the Department and confirmed it would be writing to NIPSA week commencing 14 January.

- 5.1.7 CW referred to the St Colman's College Project and advised SNI that the Permanent Secretary had raised concerns on this, however, he felt hopeful the NIAO Report will bring an end to it. A meeting was offered to the journalist who had raised concerns but was asked to bring new evidence to support their claims. The journalist had contacted SNI to say all his points have been made. CW added that, until the Audit Office Report comes out, this issue is still ongoing and we would have to wait on this Report in case any recommendations are made within it but hopefully once the Report is issued, this should close the matter.
- 5.1.8 Moving on to 'Governance', point 4 is ticked 'partly' with regard to the Board and its Committee assessing their effectiveness on an annual basis with appropriate records being kept of attendance, workload, report and performance. As part of the Governance Review, SNI will be undertaking a review of its Committee structures to determine whether they remain fit for purpose. Each Board member is appraised by the Council Chair. In terms of Committee assessment, NH advised the meeting that the Audit Committee does assess its own fitness, however, Committees do not formally assess their own effectiveness but records are retained of attendance and reporting. Until there is a new Committee structure, there is a need to embed a new mechanism.
- 5.1.9 On 'Business Planning' (key targets (including PSAs, business objectives and KPIs) are on schedule to be achieved), this is ticked 'No'. CW mentioned, in terms of the Business Plan, there was information at the front which mentions the Minister's priorities and information at the back but he had difficulty in seeing those in terms of Minister's priorities and could not see how programmes link back. PD advised the meeting that the information on the back page is to help the reader and the information explains what the programme is about. He did suggest including the Minister's priorities here, however, did list 16 different projects but will do whatever is needed to improve the document. NH agreed, they could bolster that information. There was further discussion on how the Plan could be improved and how to make it clear

as to how programmes link, say, with a narrative explaining how it will do it but CW felt there was nothing in it to reflect on how it links to, say, social exclusion. CW highlighted he wants the Plan to show that it is doing what our Minister wants to do. PD agreed he was happy to liaise with RH to make the Plan more 'user friendly'. CW added that the Minister was very supportive of Sport Matters as it is delivering and bringing people together. CW added that the Department will go back to SNI as he did not want to put the Plan to the Minister in its present format. PD agreed to expand the table on what programmes are and how they link. CW was happy that each of the programmes will contribute to each of the Minister's priorities

Action: DCAL/SNI

5.1.10 With regard to 'Financial Planning and Monitoring', all boxes were ticked 'Yes'. AS confirmed there was nothing more to add to the QAS.

5.1.11 Referring to 'Economic Appraisal, Post Project Evaluation and Consultancy', again all boxes were ticked 'Yes'. NH commented that lessons have been learned from the St Colman's project on how approvals are sought and documented.

5.1.12 Referring to 'Procurement', all boxes were ticked 'Yes'. NH confirmed SNI still uses CPD for guidance.

5.1.13 Moving to 'Policy Implementation' the box relating to 'a safeguarding children and vulnerable adults policy' being in place which is operating effectively and is included within the 3-year Internal Audit Plan is ticked 'partly'. NH advised that the policy contains some outdated pieces of legislation which require updating. He added that a new HR Manager, who is the designated safeguarding officer for SNI, requires training and this is in hand. Management has put in place arrangements to address safeguarding issues which include drafting of a new 'Safeguarding' policy expected to be finalised and implemented in March/April 2013. PD advised the meeting that SNI does receive a monitoring report on child protection issues but this is not necessarily reported to the

Department. CW commented that this may become a requirement as the Department is currently unsighted. Discussion followed on whether information should be incident specific. CM advised that Damian Brady in the Department's Equality Unit is trying to gather the position across the Department, therefore, we may need to seek direction from him and be conscious of trying to be consistent in the same way as he is on central safeguarding/protecting children. CW highlighted that the major concern would be if there was a major incident and the Department was unsighted. PD advised it would not pose a problem to provide a report on incidents dealt with.

Action: SNI

5.1.14 On 'Fraud, Whistleblowing and Bribery Act', all boxes were ticked 'yes' and there was no further comment.

5.1.15 On 'Internal and External Audit Reports', one box relating to 'internal and external audit reports/letters relating to the organisation have not revealed any significant weaknesses' has been ticked 'No'. SNI advised that all Priority 1 recommendations have been addressed, however, this box would be ticked 'No' until all recommendations were cleared by the Audit Office the following year. NH commented that this, therefore, is always going to be ticked 'No'. CW suggested it would be useful where it lists 63 recommendations that SNI give an indication of how many have been completed to give the Department an indication of outstanding recommendations as, the detail as it stands, is selling SNI short without it. AS agreed to expand the summary to include the up-to-date status.

Action: SNI

5.1.16 With regard to 'Data Management' NH advised the meeting that a temporary member of staff will be recruited to bring the system up to date. TD referred to correspondence from Deirdre Lundy regarding the Government Funding Database and that the Department was still awaiting a response. AS agreed to return to Deirdre Lundy week commencing 14 January 2013.

5.2 Risk Register Review

5.2.1 AS advised the meeting that the Risk Register had been discussed at the last ARMC. AS referred to page 2 of the document and the Summary of Changes from the previous document and advised there was nothing significant to report.

5.2.2 SNI advised that workshops are being introduced as a control to mitigate risk. NH advised that they are looking at the Risk Register in terms of the governance review and Leigh Brown will be programming periodic risk workshops to fundamentally revise and challenge the Risk Register. It is anticipated these will be introduced in the near future. NH made reference to the AMRC and the Committee only wanting to be advised of red risks, however, he highlighted his concern at not bringing the whole Risk Register to the Board. NH will be discussing this with the Chair as he is uncomfortable that they would be blindly assuming amber/green risks are amber/green. AS commented that ultimately they would not be bringing the Risk Register to the Committee as there are no reds. CW agreed with the concerns.

5.3 Annual Report and Accounts

5.3.1 AS confirmed the Exchequer Annual Report for 2011/12 has been approved. SNI is in the process of having Accounts laid and once they are laid, then all Accounts are up to date. CW commented this was a major achievement. AS added this was the first time in 11 years the Accounts had been up to date.

5.4 Spend Against Budget

5.4.1 AS referred to a £65,000 bid for depreciation and advised this pressure still remains. He added this is an estimate based on what SNI think the amount of depreciation will be. TD commented that Rachael McDowell

had made the point again about depreciation and that it used to be that resource covered depreciation but if money is being given up on resource, then you do not need it. RMcD had asked if the Department would be prepared to accept an overspend and an unavailable cost. TD confirmed he had raised this issue recently with Finance Branch but commented that if we are going to be criticised for an underspend in Resource and an overspend in non-cash costs, then we cannot do it anyway and this cannot be avoided; the bid would not be accepted. CW suggested we look to see if we can avoid the issue and the Department would seek clarification.

Action: DCAL

5.5 Financial Profile/Forecasting

5.5.1 This issue had been covered and an estimate of cash spend had been given. TD advised the figures had been adjusted in respect of additional projects and he had already written to SNI regarding these. CW highlighted the importance of accurate profiling as the information goes to the Department's Finance Committee which he attends. AS commented that all forecasting is within 5% targets.

5.6 Draft Business Plan 2013/14

5.6.1 This issue was discussed earlier in the meeting.

6. Any Other Business

6.1 In-year Uplifts for Rowing (Bann & Portora)

6.1.1 CW advised the meeting that he would return to SNI later in the day on this. NH added that Greg Magee had been informed of the detail relating to Portora. CW confirmed the Branch had not heard any indication of cost in respect of Bann Rowing Club but had received a bid of £100,000 for the 2 projects. NH advised that SNI would need

confirmation that the bid was successful by mid-January. CW advised he would wish to speak to Deborah Brown before giving any commitment or go ahead.

Action: DCAL

6.1.2 On a separate matter, CM referred to a conversation with Trevor Woods relating to Lisburn Racquets Club and that Mr Woods had been advised that money would not be available until 2013/14. AS offered to speak with Mr Woods. CW referred to Minister's 'promise'. NH sought advice as to whether SNI should start work with Lisburn Racquets Club. CW advised SNI to leave the matter with the Department in the meantime. CM added that we would need to check with Deborah Brown/Finance Branch. AS agreed he would speak with Mr Woods advising him that the position is as the Department had already informed him and whilst SNI may begin to look at work which could be done, it would be better to wait until after WPFG.

Action: DCAL

6.1.3 To conclude the matter relating to Bann and Portora, CW advised SNI that the Department would require an indicative cost in respect of both Clubs. SNI agreed to source the pre-tender budget for the 2 projects.

Action: SNI

6.2 Updates on Bids for Additional Monies

6.2.1 PD advised the meeting that he had spoken with Dermot McAuley with regard to the Midnight Soccer tournament which would involve 10 venues. He added that training to providers was scheduled for 15 January, the tournament would commence on 25/26 January and the finals were expected to be held in March. PD advised he will be writing to the Department on this issue and would be keen to have the Minister involved.

6.3 SINI Business Case (and VFM Review)

6.3.1 NH highlighted that the case relating to SINI is becoming critically important and by next March there will be no opportunity to fund it from Lottery monies, therefore, there are time implications. He continued to advise that John Beggs has new resource in the Investment Assurance Team and can do this business case in house. NH stressed the risk is enormous if this is not done. PD commented that there had been talk about UK Sport bringing a level of independence to the case. CW commented that there has been pressure for independence. NH asked, if UK Sport could provide resource for a number of days to provide independence, would this be agreeable. CW agreed to have a look at this option.

Action: DCAL

6.3.2 With regard to the Value for Money Review, NH advised SINI can do this in house too. It is unknown when Stage 2 of the Governance Review would commence and CW was unable to say any more on the ALB Review. NH advised there is a lot of work to do when the new member starts but has discussed this with the Chair who had advised to 'sound it out'. NH agreed to pursue UK Sport assistance.

Action: SINI

6.4 TNOG

6.4.1 CW referred back to RPA and the Councils expressing an interest in Tollymore. NH advised that he thought the Councils were interested in only the Park and had spoken to the CEO at the time. CW commented that since RPA had started again the matter has been raised in respect of the Centre. He added that the 2 Chief Executive Officers wish to go out and see what the Centre is. He felt the best way to handle this was put all options to the Council and one option would be that the Councils take over the management of the Centre and run it. The Councils would have to say they were/were not interested. NH was surprised the issue had re-emerged as initially it was only the Forest Park and amenity side

of the Centre the Councils were interested in. CW advised the meeting that Paul McAllister had been involved in communications. NH asked where the original suggestion had come from. CW confirmed it had come out of discussions with a representative from Banbridge District Council and Paul McAllister had been at one of these meetings. It may have been John McGrillen who asked why SNI was running the Centre and not the Council.

6.4.2 It was agreed to look to where this issue had triggered but CW felt by building in the option of the Council taking over and running the Centre, it may well put the matter to bed if, say, it was suggested the Council run it for the next 20 years but it would have to stay as a training facility.

7. Date/Time/Venue for Next Meeting

7.1 The meeting agreed to liaise on the date of the next meeting bearing in mind the due date for the next Quarterly Assurance Statement is 9 April 2013. The meeting will, however, be held in **Causeway Exchange**.

7.2 Meeting ended at 12.20 pm.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V21
AUTHOR:	A Sloan
DATE:	11/12/12
DATE OF REVIEW BY DIRECTORS	22/10/12
DATE OF REVIEW BY AUDIT COMMITTEE	19/12/12
DATE OF REVIEW BY COUNCIL	TBC
NEXT REVIEW DATE	Jan 2013

Version		Ref	Risk	Summary of Changes
21		1		Anti-Fraud and Corruption Policy – Presented to Audi Committee 19 December 2012
		2	Ineffective Management of Capital Projects	Revision of Sport Northern Ireland Investment and Delegated Decisions Policies and Procedures - This action has been delayed until February pending the completion of the Governance Review which will help inform these policies reviews and revisions. It was initially envisaged that these policies would be revised and implemented by November 2012.
		3	Non Achievement of Objectives >10%	Replacing of vacant posts – This exercise is currently underway. A total of 12 FTE posts and 2 – 0.4FTE are required to achieve the required staff compliment. Currently, 7 FTE posts have been secured and recruiting is underway for the remaining posts.

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and Senior Management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Nick Harkness
Acting Chief Executive

July 2012

Table 1: Risk Scoring Matrix

Likelihood Impact	Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
High 5	5	10	15	20	25
Medium-High 4	4	8	12	16	20
Medium 3	3	6	9	12	15
Low-Medium 2	2	4	6	8	10
Low 1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
1. Ineffective Management of Capital Projects	Community Capital team Manager	8	N/A	✓	<ul style="list-style-type: none"> Active People Successful Athletes Quality Facilities Enabled Partners A Trusted and Effective Leader 	Treat
2. Material Underspend by Sport Northern Ireland Funded Capital Projects	Capital Finance Manager Performance Finance Manager	8	N/A	X	<ul style="list-style-type: none"> Active People Quality Facilities 	Tolerate
3. Ineffective Governance	CEO / Directors	8	8	✓	<ul style="list-style-type: none"> All 	Treat
4. Non Achievement of Objectives >10%	Programme Managers	6	6	X	<ul style="list-style-type: none"> All 	Tolerate
5. Fraud	Programme Managers	5	5	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
6. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC) HR Manager (HOS)	4	4	X	<ul style="list-style-type: none"> All 	Tolerate
7. Inappropriate Disaster Recovery Procedures	IS Manager	4	4	✓	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
9. Loss / Theft of Data	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

**The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland. .*

SPORT NORTHERN IRELAND – RISK REGISTER

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Ineffective Management of Capital Projects	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Project funding and management P&Ps Revised Anti-Fraud Policy <p>Preventative Controls</p> <ul style="list-style-type: none"> Formal sign off by project funders for projects over £0.5m Business Case addendums Updated change control training Prince 2 accredited staff <p>Detective Controls</p> <ul style="list-style-type: none"> Project Monitoring Internal Audit Post Project Evaluations <p>Corrective Control</p> <ul style="list-style-type: none"> Funding terms and conditions 	4	2	<p>Treat Risk</p> <ul style="list-style-type: none"> Address recommendations of Internal Audit Review and NIAO review into project management of St Colman's College project Revision of SNI Investment Policies Revision of Delegated Decisions Policy Implementation of new procedures 	On-going	CEO	4	1
2	Material Underspend by Sport Northern Ireland Funded Capital Project	<p><u>Cause:</u></p> <p>Underperformance of projects. Possible drivers include:</p> <ul style="list-style-type: none"> Applicant capacity Site conditions Project management capacity Partnership funding Adverse weather Failure to Secure Planning <p><u>Impact:</u></p> <ul style="list-style-type: none"> Risk to project deliverables if underspend is due to payment timing issue. Closure of project. 	3	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring <p>Preventative Controls</p> <ul style="list-style-type: none"> Project Budgets Budget / Project Monitoring Potential to use Lottery funding which is not year end sensitive <p>Detective Controls</p> <ul style="list-style-type: none"> Project Budgets Budget Monitoring Strict application of PMRs 	4	2	<p>Tolerate Risk</p> <p>No further action available to SNI at present.</p>	N/A	N/A	4	2

No	Hazard	Risk Descrpn	Inherent Risk		Current Controls	Residual Risk		Date	Officer	Treated Risk	
			I	L		I	L			I	L
3	Ineffective Governance	<p><u>Cause:</u> The Department is currently undertaking a review of its Arm's Length Bodies. The purpose of this review is to assess the functions and value derived from DCAL's ALBs. The review team has completed stage 1 of its review of Sport Northern Ireland. As part of this review perceived weaknesses in the system of governance within Sport Northern Ireland were highlighted.</p> <p>In light of these emerging findings, DCAL has postponed the review of Sport Northern Ireland for a period of six months to enable the completion of a governance and value for money reviews.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Reputational Damage • Sanctions by DCAL • Funding Restrictions 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ MSFM / Policies and Procedures ▪ Managing Public Money Guidance ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & crmt ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & crmt ▪ Review by Senior Mgt / Board ▪ Governance Audits of GBs ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Grant Recipient KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Advice ▪ Section 75 Screening ▪ In-House Specialists ▪ Internal Audit Strategy <p>Detective Controls</p> <ul style="list-style-type: none"> • Third Party Reviews • ARMC commissioned Gov Review 	2	4	<p>On-going</p> <p>Treat Risk</p> <ul style="list-style-type: none"> • Value for Money Review – Sport Northern Ireland is to commission an independent Value for Money Review. The nature and scope of the review has necessitated the use of consultants. Sport Northern Ireland has prepared a business case and terms of reference for this review which are currently with DCAL for comments and approval before the exercise can proceed to implementation stage. • Sport Northern Ireland still awaits feedback from the Department on this matter. It is likely that this delay will impact the envisaged 6 month deadline. 	CEO / Chair	2	4

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
4	<p>Non Achievement of Objectives</p> <p>>10%</p>	<p>Cause:</p> <p>SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance of and relationships with key partners. ▪ Potential change of Government priorities; • Use of private sector contracts ▪ Appropriate budgets; ▪ Appropriate staff; <ul style="list-style-type: none"> ➢ Restriction of recruitment / ➢ LT sickness of key staff ➢ Staff redeployment / reskilling ▪ Strong internal processes ▪ Insolvency of grant recipients of contractors, e.g. Insh League Football clubs <p>Impact:</p> <ul style="list-style-type: none"> • Non delivery of SNI related objectives within the Strategy for Sport • Non delivery of corporate and business plans • Reputation damage 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & crmnt ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & crmnt ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ PiShip working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists <p>Detective Controls</p> <ul style="list-style-type: none"> • Third Party Reviews ▪ Independent Governance Review ▪ Programme of PPEs and PIRs 	3	2	<p>Treat Risk</p> <ul style="list-style-type: none"> ▪ Replace vacant posts ▪ Acquire additional resources ▪ Desist from/reduce lower priority work ▪ Careful monitoring of investments 	Dec 2012	SMT	I	L
									Dec 2012	SMT	I	L
									On-going	SMT	I	L
									Prgrmm Mgrs	Dec 2012	I	L

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk			
			I	L		I	L				I	L		
5	Fraud	<p>Cause: Fraud – this is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p>Impact:</p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	100's Lost	100's Lost	<p>Directive Controls</p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments <p>Preventative Controls</p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training <p>Detective Controls</p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS – Access to services of 	100's Lost	100's Lost	<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. <i>Treated risk unchanged – no new actions.</i></p>	Ongoing	Int Audit	100's Lost	100's Lost		
			2	5		2	2				2	2		
			1'000's Lost	1'000's Lost		1'000's Lost	1'000's Lost				1'000's Lost	1'000's Lost		
			3	5		3	1				3	1		
			1m's Lost	1m's Lost		1m's Lost	1m's Lost				1m's Lost	1m's Lost		
6	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC/HOS</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	<p>Cause:</p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies <p>Impact:</p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> H&S P&Ps / Risk Assessments Staff Meetings Training Adventure Mark <p>Preventative Controls</p> <ul style="list-style-type: none"> H&S Risk Assessments Office / Centre Inspections Skilled, Trained Qualified Staff Continued Professional Development Equipment Standards Personal Protective Equipment <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / Premises Checks Contingency Procedures e.g. Mountain Rescue. 	5	5	<p>Tolerate Risk</p> <p>This will be subject to on-going monitoring</p>	N/A	N/A	5	1	5	1
			4	5		4	1				4	1		
			4	5		4	1				4	1		
			4	5		4	1				4	1		
			4	5		4	1				4	1		

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <p>1. Testing - On-going testing of SNI Business Continuity Plan.</p>	On-going	IS Manager Internal Audit	4	1
8	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <p>1. Testing – On-going testing of SNI Business Continuity Plan.. Treated risk unchanged – no new actions.</p>	On-going	IS Manager	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk (taking on board current controls)	
		I	L
1. Sub Standard Work by Third Parties	SNI engages with a number of third party suppliers to assist it in the delivery of its strategy. Any failings or under performance on their part will adversely impact the quality of outputs and the return on investment.	4	1
2. (Minor) Non Compliance with SNI's Policy and Procedures	Failure by staff and management to comply with governing policies and procedures.	4	1

APPENDIX 2

Weighting Rationale

Risk	Inherent	Residual	Treated
Ineffective Management of Capital Projects	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Failure of some objective(s) Potential minor impact on external customers and stakeholders
Material Underspend by Sport Northern Ireland Funded Project	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism
Non Achievement of Objectives > 10%	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material Impact on performance and business deliverables	Some impact on performance and business deliverables
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £100,000s	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £1,000
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services.	Negligible impact on support services.
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

PRIORITY ONE RECOMMENDATIONS

Summary of Priority 1 Recommendations

Assignment	Summary of Priority 1 Findings	Status
<p>Tollymore National Outdoor Centre – Stores Management</p> <p><i>Internal Audit</i></p>	<ol style="list-style-type: none"> 1. Internal Audit has identified the absence of adequate physical control over stores equipment. While all equipment is securely stored, access to stores is not well controlled - in addition to the Stores Officer, instructors, trainees and the Centre Manager all hold store keys. 2. The review of the system highlighted the absence of any level of duty segregation. 3. Current procedures provide for stock control requiring that an annual stock reconciliation is undertaken which includes equipment condition checks by the Centre Manager or full time Instructor. Internal Audit identified the absence of either of these checks. 	<p>In progress</p> <p>In progress</p> <p>In Progress</p>

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.

MONITORING MEETING - DCAL AND SPORT NI
9.30 AM THURSDAY 18 APRIL 2013
VENUE – CAUSEWAY EXCHANGE

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (10 January 2013)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2012/13 Year End Outturn**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **2012 Olympics/Paralympics**
 - **Boxing Strategy**
 - **50m Pool**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Spend against Budget**
 - 5.5 Financial Profile/Forecasting**
 - 5.6 Draft Business Plan 2013/14**
- 6. Any Other Business**
 - 6.1 Safeguarding/Child Protection**
 - 6.2 Annual Board Assurance Statement**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 18 APRIL 2013 AT 9.30 AM
CAUSEWAY EXCHANGE**

Present: Colin Watson (CW) (Chair)
Ciaran Mee (CM)
Robert Heyburn (RH)
Tim Duff (TD)
Nick Harkness (NH)
Andrew Sloan (AS)
Paul Donnelly (PD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 CW opened the meeting. There were no apologies.

2.0 Minutes from Meeting held on 10 January 2013

2.1 The minutes of the previous meeting held on 10 January 2013 were agreed.

2.2 It was agreed that future minutes should be more concise and produced in draft form at an earlier date following the meeting.

Action: DCAL

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the action relating to Lisburn Racquets Club remains outstanding. All other actions are complete, however, there was discussion regarding the action on a safeguarding children and vulnerable adults' policy. It was agreed that a quarterly overall statistical report, provided in advance of each Accountability meeting, may suffice. PD shared a 'draft' statistical report which DCAL will put to its Equality Unit for comment. PD agreed to e'mail the report to CW. This issue will be added as a standing item to the Agenda for Accountability meetings.

Action: DCAL/SNI

4.0 Business Performance Review

4.1 Business Plan & KPIs 2012/13 – Quarter 4 Year End Outturn

4.1.1 Discussion moved to the Quarter 4 Review of the 2012/13 Draft Business Plan and Year End Outturn figures. PD highlighted that the document was still in draft as some information remained outstanding, however, he advised that, from the information currently available, 91% of targets were achieved and 9% were not achieved. PD reported on KPIs by exception. The key points discussed are noted in the following paragraphs.

4.1.2 Referring to pages 6, 7, 8, 9, 10 and 11 and specifically to the Awards for Sports Programme, which was not run in 2012/13; this did not impact on the achievement of overall targets.

4.1.3 Moving to KPIs 3.2.1, 3.2.2 and 3.2.3 re safety at sports grounds, NH explained that failure to meet targets was due to staff being used for other priority areas of work, combined with staff sick leave. NH advised that a recovery plan was in place. CW stressed the importance of work around safety at sports grounds.

4.1.4 Referring to KPI 6.1.2, the total expenditure on the Lottery Budget, CW stated that the target should be green instead of red, as it has been exceeded.

4.1.5 Discussion followed on page 3 of the Plan, the Progress Update on Ministerial Priorities. Referring to the 50m Pool, CW highlighted that the text was incorrect in stating there had been a 'successful *opening* of the facility by the Minister' as the Minister did not open the facility but rather "previewed" it.

Action: SNI

4.1.6 Continuing on the subject of the Pool, NH referred to concerns raised by the SNI Board regarding the lack of Sport NI branding at the Pool. CW

agreed to speak to the Department's Communications Unit and advise Sport NI.

Action: DCAL

4.1.7 PD advised the meeting that a further copy of the Quarter 4 Review would be forwarded with 'final' figures.

Action: SNI

4.2 Major Projects and Programmes

4.2.1 **Sports Strategy:** PD provided an update paper on the Sport Matters Monitoring Group and actions from the meeting held on 21 November 2012. This was discussed in detail.

4.2.2 **SMCCP:** NH referred to a bid of £5m for SMCCP in 2014/15 and SNI's need to have confirmation at a very early stage if the bid has been successful to allow for spend to be achieved in 2014/15. CW agreed to advise SNI as soon as possible. With reference to the £750m indicative SMCCP budget for 2014/15, CW agreed the Department would clarify how much of this SNI can plan on using and advise Sport NI as soon as possible.

Action: DCAL

4.2.3 NH indicated the need for 3 additional staff to deliver new areas of work. CW confirmed that the Department would advise on the process and inform Sport NI as soon as possible.

Action: DCAL

4.2.4 **2012 Olympics/Paralympics:** CW referred to the need to think about delivery of Legacy. PD advised that the SNI Board is very much engaged on this topic.

4.2.5 **Boxing Strategy:** An update on progress was discussed. It was agreed that DCAL would provide clarification on its expectations of Sport NI with regard to CPD guidance.

Action: DCAL

4.2.6 **50m Pool:** There were no further issues relating to the Pool.

5. Accountability and Governance

5.1 Quarterly Assurance Statement (QAS)

5.1.1 The QAS was noted as unsigned. CW referred to the Chair's request to have a form of wording drafted to enable him to sign the cover sheet of the QAS and advised this would be drawn up in agreement with the Department's Governance Support Unit and shared with SNI. Once this issue is resolved, the QAS will be signed by SNI as appropriate.

Action: DCAL

5.1.2 CW challenged SNI on a number of items within the QAS. The significant items discussed are noted in the following paragraphs.

5.1.3 Under Section 1 (Risk Management) CW referred to the issue with Crusaders FC and allegations made by the Club against SNI. CW advised that it would be incumbent upon the Department to write to Crusaders asking for evidence to back-up its allegations against SNI. NH confirmed Sport NI has already completed this and had no further detail to report.

Action: DCAL

5.1.4 CW referred to Section 2 (Governance) and to the Annual Assurance Statement to be completed by ALB Chairs. CW agreed to forward another copy of the letter and template which had issued from GSU in July 2012 and advised that the SNI Chair would need to complete this and return it to the Department as a matter of urgency.

Action: DCAL/SNI

5.1.5 Moving to Section 6 (Procurement) and the input at Box 1, NH advised of issues highlighted within a recent Internal Audit Report that are still

outstanding. CW commented that these issues would not seem to justify the "partly" marking provided in this box and that the marking should be "Yes". Sport NI to consider amending the response.

Action: SNI

5.1.6 Still with Section 6 but moving to the list of Single Tender Actions, it was agreed that in future SNI would provide more detail on justifications within the QAS.

Action: SNI

5.1.7 Moving to Section 11 (Other Issues), AS advised that, as of 8 April 2013, the database is now up to date in relation to SNI grants and payments. However, a validation check has been carried out dating back to 2003 and 200 payments have not been found to be on the database. SNI is discussing solutions to this issue with DSD.

5.2 Risk Register Review

5.2.1 The Risk register was discussed and it was noted that there was very little change from the previous Risk Register. AS confirmed that all risks are in a state of control.

5.2.2 NH referred to recent correspondence from the Permanent Secretary regarding the SNI Governance Review evidence file and one particular comment about the Risk Register and its linkage with progress on business plan KPIs, which he felt needed some clarification. RH agreed to look at this and clarify for SNI.

Action: DCAL

5.3 Annual Report and Accounts

5.3.1 AS confirmed the Accounts for 2011/12 were fully complete and Accounts for 2012/13 were proceeding on schedule. He anticipated the Accounts being lodged by the summer recess.

5.4 Spend Against Budget

5.4.1 A small overspend on SNI's resource budget at the end of the year was noted as due to approved spend on the Minister's sporting celebration event. TD advised that further cost for this event in 2013/14 should be bid for by SNI in the June monitoring round.

5.5 Financial Profile/Forecasting

5.5.1 There were no issues regarding financial profiling/forecasting.

5.6 Draft Business Plan 2013/14

5.6.1 Reference was made by NH to awaited business case approvals and specifically to the Athlete Investment Programme and Events Programme. TD advised that this business case is currently being considered by the Department. NH expressed concern that, in the absence of approval by the Minister, SNI will not be able to deliver the Programme.

6. Any Other Business

6.1 Safeguarding/Child Protection

6.1.1 CW referred to guidance issued by DCAL to its ALBs on Safeguarding Children and specifically Appendix B of that guidance, which is a checklist of required action with regard to safeguarding. He stated that this should be completed annually by Sport NI and will be discussed at accountability meetings. DCAL to forward a copy to Sport NI.

Action: DCAL

6.2 Annual Board Assurance Statement

6.2.1 This was discussed earlier in the meeting at 5.1.4.

6.3 MSFM

6.3.1 AS asked if there was any update on the MSFM. CW confirmed the review of the MSFM is still being considered by the Department.

6.4 Vice-Chair of SNI Board

6.4.1 CW confirmed that a competition for SNI Vice-Chair will be progressing in due course.

7. Date/Time/Venue for Next Meeting

7.1 Dates proposed for the 2013/14 series of Accountability meetings are:

22 August 2013 at 9.30 am at the House of Sport;

7 November 2013 at 9.30 am at Causeway Exchange;

6 February 2014 at 9.30 am at the House of Sport; and

17 April 2014 at 9.30 am at Causeway Exchange.

7.2 SNI officials expressed some concern that the proposed dates did not afford them sufficient time to assimilate information for the respective quarter end returns. CW stated, however, that the dates are in line with QAS submission dates.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V22
AUTHOR:	A Sloan
DATE:	05/03/13
DATE OF REVIEW BY DIRECTORS	11/03/13
DATE OF REVIEW BY AUDIT COMMITTEE	26/03/13
DATE OF REVIEW BY COUNCIL	TBC
NEXT REVIEW DATE	May 2013

Version		Ref	Risk	Summary of Changes
22	1			Delegated Decision Policy – this has been updated and is now encompassed within the Scheme of Delegation. This will be presented at the next Board meeting (April 2013) for approval.
	2		Ineffective Management of Capital Projects	Revision of SNI Investment Polices – It was anticipated that this review would be completed by February 2013. Due to other work pressures in particular the governance review, this action has been delayed – anticipated implementation date April 2013. This action has been delayed until April/May 2013 pending sign off by the Board of the key documents emanating from the Governance Review. These documents will help inform the review and updating of SNI's investment policies. It was initially envisaged that these policies would be revised and implemented by November 2012.
	3			Preventative Control – Lesson Learned Training
	4		Ineffective Governance	Lessons learned training was provided by Sport Northern Ireland's Acting Chief Executive and Internal Auditor on 16 January 2013 to the Capital Team addressing lessons learned from the 50m Pool, CRDA and St Colman's projects. Risk reference Phase 2 of the ALB review due to commence early in the 2014 financial year.
	5		Non Achievement of Objectives >10%	Recruitment - 1.5 FTE posts still to be replaced.

Risk Management Statement

The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers Sport Northern Ireland's commitment to manage the risks that could impact on its ability to deliver its services.

"Sport Northern Ireland recognises that risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

Sport Northern Ireland believes that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholder expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such, it will offer more than compliance; instead it will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the system given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and senior management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff and Members who will in turn provide the driving force to deliver our Vision."

Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

Nick Harkness

Acting Chief Executive

Table 1: Risk Scoring Matrix

Likelihood	High 5	Medium-High 4	Medium 3	Low-Medium 2	Low 1
Impact	High 5	Medium-High 4	Medium 3	Low-Medium 2	Low 1
High 5	25	20	15	10	5
Medium-High 4	20	16	12	8	4
Medium 3	15	12	9	6	3
Low-Medium 2	10	8	6	4	2
Low 1	5	4	3	2	1

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
Medium Level Risks						
1. Ineffective Management of Capital Projects	Community Capital team Manager	8	N/A	✓	<ul style="list-style-type: none"> Active People Successful Athletes Quality Facilities Enabled Partners A Trusted and Effective Leader 	Treat
2. Material Underspend by Sport Northern Ireland Funded Capital Projects	Capital Finance Manager Performance Finance Manager	8	N/A	X	<ul style="list-style-type: none"> Active People Quality Facilities 	Tolerate
3. Ineffective Governance	CEO / Directors	8	8	✓	<ul style="list-style-type: none"> All 	Treat
4. Non Achievement of Objectives >10%	Programme Managers	6	6	X	<ul style="list-style-type: none"> All 	Tolerate
5. Fraud	Programme Managers	5	5	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
Low Level Risks						
6. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	4	4	X	<ul style="list-style-type: none"> All 	Tolerate
7. Inappropriate Disaster Recovery Procedures	HR Manager (HOS) IS Manager	4	4	✓	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

*The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland. .

Medium Level Risks

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Ineffective Management of Capital Projects	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Project funding and management P&Ps Revised Anti-Fraud Policy Revised Delegated Decisions Policy Procedure enhancements made <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Formal sign off by project funders for projects over £0.5m Business Case addendums Updated change control training Prince 2 accredited staff Lessons Learned Training <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Project Monitoring Internal Audit Post Project Evaluations <p><u>Corrective Control</u></p> <ul style="list-style-type: none"> Funding terms and conditions 	4	2	<p>Treat Risk</p> <ul style="list-style-type: none"> Address recommendations of Internal Audit Review and NIAO review into project management of St Colman's College project. (Report pending) Revision of SNI Investment Policies 	On-going	CEO	4	1
2	Material Underspend by Sport Northern Ireland Funded Capital Project	<p><u>Cause:</u></p> <p>Underperformance of projects. Possible drivers include:</p> <ul style="list-style-type: none"> Applicant capacity Site conditions Project management capacity Partnership funding Adverse weather Failure to Secure Planning <p><u>Impact:</u></p> <ul style="list-style-type: none"> Risk to project deliverables Closure of project. period 	3	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Project Budgets Budget / Project Monitoring Potential to use Lottery funding Project management reqmts to be fulfilled prior to project start <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Project Budgets Budget Monitoring 	4	2	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored.</p>	N/A	N/A	4	2

No	Hazard	Risk Descripn	Current Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk		
			I	L		I	L				I	L	
		<ul style="list-style-type: none"> Financial Pressures in next accounting 			<ul style="list-style-type: none"> Strict application of PMRs <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget slippage in year <p><u>Directive Controls</u></p> <ul style="list-style-type: none"> SNI Business Plan / Budgets MSFM / Policies and Procedures Managing Public Money Guidance Business Appraisal Processes Delegated Authority Policy Board and Sub Committees QAS to Council for review & cmmt Review by Senior Mgt / Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Risk Management Framework QAS to Council for review & cmmt Review by Senior Mgt / Board Governance Audits of GBs Pre-Apprt Checks Contractors Finance / Compliance Checks Capacity Building Grant Recipient KPI's Implementation of Best Practice P/Ship working and monitoring e.g. SMIG and other fora Approval Processes Legal Advice Section 75 Screening In-House Specialists Internal Audit Strategy <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Third Party Reviews ARMC commissioned Gov Review 								
3	Ineffective Governance	<p><u>Cause:</u></p> <p>The Department is due to commence Phase 2 of its Arm's Length Bodies Review. The purpose of this review is to assess the functions and value derived from DCAL's ALBs. The review team has completed stage 1 of its review of Sport Northern Ireland. As part of this review perceived weaknesses in the system of governance within Sport Northern Ireland were highlighted.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Reduction in scope of business by SNI Reputational Damage Sanctions by DCAL Funding Restrictions Closer monitoring by DCAL as a result of risk rating 	3	5		2	4	<p>Treat Risk</p> <ul style="list-style-type: none"> Value for Money Review – Sport Northern Ireland is to commission an independent Value for Money Review. The nature and scope of the review has necessitated the use of consultants. Sport Northern Ireland has prepared a business case and terms of reference for this review which are currently with DCAL for comments and approval before the exercise can proceed to implementation stage. Sport Northern Ireland still awaits feedback from the Department on this matter. It is likely that this delay will impact the envisaged 6 month deadline. 	On-going	CEO / Chair	2	4	

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
4	<p>Non Achievement of Objectives</p> <p>>10%</p>	<p>Cause:</p> <p>SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance of and relationships with key partners. ▪ Potential change of Government priorities ▪ Use of private sector contracts ▪ Appropriate budgets; ▪ Availability of appropriate staff; ▪ Strong internal processes ▪ Insolvency of grant recipients or contractors <p>Impact:</p> <ul style="list-style-type: none"> • Non delivery of SNI /DCAL objectives within the Strategy for Sport • Non delivery of corporate and business plans • Reputation damage 	3	5	<p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> ▪ Implementation of an action plan for Governance Improvement including new policies and procedures <p><u>Directive Controls</u></p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & crmnt ▪ Review by Senior Mgt / Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & crmnt ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists ▪ Vacant Posts Replaced ▪ Desist low priority work <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> • Third Party Reviews • Independent Governance Review • Programme of PPEs and PIRs • Quarterly Business Plan Reports 	3	2	<p>Treat Risk</p> <ul style="list-style-type: none"> ▪ Careful monitoring of investments 	On-going	SMT	3	1

Low Level Risks

No	Hazard	Risk Descrpn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
5	Fraud	<p><u>Cause:</u> Fraud – this is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	100's Lost	100's Lost	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training Grant Mgt Team Procedures <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD C/IS – Access to services of 	100's Lost	100's Lost	<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. Treated risk unchanged – no new actions.</p>	Ongoing	Int Audit	2	2
			2	5		2	2					
			1'000's Lost	1'000's Lost		1'000's Lost	1'000's Lost					
			3	5		3	1					
			1m's Lost	1m's Lost		1m's Lost	1m's Lost					
6	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC/HOS</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence 	5	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> H&S P&Ps/ Risk Assessments Staff Meetings Training Adventure Mark <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> H&S Risk Assessments Skilled, Trained Qualified Staff Continued Professional Devlpt Equipment Standards Personal Protective Equipment <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Equipment / Premises Checks <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Contingency Procedures e.g. Mountain Rescue. 	5	5	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored.</p>	N/A	N/A	5	1
			4	5		4	1					

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <p>1. Testing - On-going testing of SNI Business Continuity Plan.</p>	On-going	IS Manager	4	1
8	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <p>1. Testing – On-going testing of SNI Business Continuity Plan.. <i>Treated risk unchanged – no new actions.</i></p>	On-going	IS Manager	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk (taking on board current controls)	
		I	L
1. Sub Standard Work by Third Parties	SNI engages with a number of third party suppliers to assist it in the delivery of its strategy. Any failings or under performance on their part will adversely impact the quality of outputs and the return on investment.	4	1
2. (Minor) Non Compliance with SNI's Policy and Procedures	Failure by staff and management to comply with governing policies and procedures.	4	1

APPENDIX 2 Weighting Rationale

Risk	Inherent	Residual	Treated
Ineffective Management of Capital Projects	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Failure of some objective(s) Potential minor impact on external customers and stakeholders
Material Underspend by Sport Northern Ireland Funded Project	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism
Non Achievement of Objectives >10%	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material impact on performance and business deliverables	Some impact on performance and business deliverables
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £100,000	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £1,000
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services.	Negligible impact on support services.
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

PRIORITY ONE RECOMMENDATIONS

Summary of Priority 1 Recommendations

Current no Priority 1 recommendation remain outstanding.

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.

MONITORING MEETING - DCAL AND SPORT NI
10.30 AM THURSDAY 22 AUGUST 2013
VENUE – HOUSE OF SPORT

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (18 April 2013)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2013/14**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **Boxing Strategy**
 - **Together Building a United Community**
 - **Zero Based Budgeting**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Audit Recommendations**
 - 5.5 Spend against Budget**
 - 5.6 Financial Profile/Forecasting**
- 6. Any Other Business**
 - 6.1 Safeguarding/Child Protection**
 - 6.2 Prompt Payments**
- 7. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 22 AUGUST 2013 AT 10.30 AM
HOUSE OF SPORT**

Present: Colin Watson (CW) (Chair)
Tim Duff (TD)
Nick Harkness (NH)
Rachael McDowell (RMcD)
Paul Donnelly (PD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 CW opened the meeting. Apologies were received on behalf of Sinead McCartan and Andrew Sloan.

2.0 Minutes from Meeting held on 18 April 2013

2.1 The minutes of the previous meeting held on 18 April 2013 were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

2.2 Completed – Minutes made more concise and produced earlier.

3.1 Completed - SNI to provide a statistical report to DCAL on a quarterly basis in advance of each Accountability meeting.

3.1 Completed - DCAL has advised SNI to proceed 'at risk' with regard to Lisburn Racquets Club.

4.1.5 Completed – Business Plan amended appropriately.

4.1.6 Completed. Department's Communications Branch has spoken with SNI on the issue of branding.

- 4.1.7 Completed – SNI has provided final Q4 review.
- 4.2.2 Completed. £5m bid no longer required. £750k confirmed for SMCCP in 2014/15.
- 4.2.3 In progress - DCAL to respond to SNI request for derogation from its Savings Delivery Plan with regard to its inactive headcount.

Action: DCAL

- 4.2.5 In progress. CW agreed that the Department would provide clarification to SNI on procurement guidance with specific regard to whether CPD guidance has to be followed in all circumstances.

Action: DCAL

- 5.1.1 Completed – Form of words for Assurance Statement agreed.
- 5.1.3 Completed. CW provided an update on the issue of allegations made by Crusaders FC against SNI. The Department's Director of Finance and Corporate Services had written to the Club asking for evidence to substantiate the allegations, however, the Club has yet to reply. CW advised SNI that a further letter will issue to the Club advising them that as evidence has not been provided, the case will be closed.

Action: DCAL

- 5.1.4 Completed – Template issued to SNI and returned completed.
- 5.1.5 Completed – QAS amended as appropriate.
- 5.1.6 In progress - SNI will provide more detail on Single Tender Action justifications in the QAS for future Accountability meetings.

5.2.2 Completed – Requested clarification provided.

6.1.1 Completed – Relevant document issued to SNI.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2013/14

4.1.1 Discussion moved to the Quarter 1 Review of the 2013/14 Business Plan. PD confirmed that SNI is well on its way to achieving targets in the first quarter, with 60 out of 66 targets at Green status. He reported by exception on the 6 Amber KPIs.

4.1.2 Referring to page 3 through to page 10 and Awards for Sport, PD advised that relevant KPIs may not be achieved due to the length of time taken to secure approval of the SNI Business Plan. Relevant spend and outcomes will be achieved but this may not be in-year.

4.1.3 CW referred to page 9 and the KPI relating to the number of people with a disability participating in sport and physical activity in the last 12 months. He queried why the 2013/14 target was significantly reduced from the 2012/13 baseline. PD explained that this target specifically related to participation in facilities provided with SNI funding. Facilities used for this target are those provided over a 5-year period. The number of facilities counted for 2013/14 are less than those for 2012/13, hence the reduced target.

4.1.4 PD moved to the other amber KPIs on pages 12 and 13 and explained these again were caused by delay in approving the SNI Business Plan. CW asked if there were any financial consequences because of this. NH advised that the delay had resulted in a shorter delivery time and that SNI would be in a better position to gauge whether full spend can be made in-year for Active Schools by October.

- 4.1.5 Moving to 2.1.3, the percentage score of the NI Governance and Culture system, PD advised that the team is down one member of staff but the aspiration is to have this KPI at green by the end of the year.
- 4.1.6 Referring to 2.1.4, the percentage score of the NI High Performance Operations System, the data relating to this will be collected in Quarter 4, therefore, SNI will be in a better position by then to know if this KPI has been achieved.
- 4.1.7 Referring to 2.1.8 and 2.2.1, the number of volunteer days undertaken by SNI-funded World-class athletes to inspire aspiring athletes across NI, particularly in areas of greatest need and the number of sporting events supported by a new (pilot) SNI International Sports Events Programme, CW asked if there was likely to be any potential of underspend. NH confirmed there would be no underspend. CW queried why then this KPI was at amber status. NH advised that, at the time of writing the Q1 update, this KPI would have been amber due to the early stage in the new initiative, but it is hoped to be green by the next review.
- 4.1.8 Referring to 3.1.4, the number of sub-regional sports facilities strategies developed to provide an evidence base for the development of sports facilities across NI, SNI advised the meeting that this KPI was amber due to the delay in approval of the SNI Business Plan.

4.2 Major Projects and Programmes

- 4.2.1 **Sports Strategy:** In advance of the meeting, PD had provided the Department with an update paper on the Sport Matters Implementation Groups (SMIG) and the Sport Matters Monitoring Group (SMMG). PD highlighted the next meeting of the SMIG on 15 October 2013 would be key and added that he felt the SMMG meeting on 5 June had been fairly positive.

4.2.2 CW mentioned the CAL Committee approaching the Department regarding women/girls in sport. He added that the CAL Committee has been taking a lot of evidence and recommendations will be produced from this. PD commented that SNI already has specific targets for women/girls. PD stated that Sport NI has undertaken to prepare a short update paper for presentation to the SMMG, at its next meeting in November 2013.

4.2.3 **SMCCP:** NH advised there are no major concerns and all projects are on target. There followed a short discussion on Invest to Save. TD referred to a query from the Audit Office in relation to whether there has been any assessment of outcomes. PD stated that outcomes, eg, health benefits will be assessed using PPEs.

4.2.4 **Boxing Strategy:** NH advised that provision of equipment is progressing. The work of consultants is showing up physical needs of clubs in terms of premises and SNI is working with local councils to move forward on this issue. NH raised the possibility of BRO funding. CW advised that this was worth investigating. CW confirmed an Exchequer bid of £2m has been submitted for 2014/15 and that if this was secured a separate programme would have to be designed to ensure that there was no duplication of funding with the Lottery Boxing Programme. CW suggested resolving these issues when the result of the bid and the full list of work required to boxing clubs is known.

4.2.5 **Together: Building a United Community:** PD highlighted SNI Board's queries on the status of this Strategy and the implementation plan. CW advised that DCAL is leading on sport and on an interface-based youth programme which is ongoing. SNI should consider what sport can contribute and reflect this in its Zero-Based Budget Proposal which is due for submission on 30 August 2013.

4.2.6 **Zero-Based Budgeting:** NH commented that the timescale for completion of returns on this detailed exercise was challenging. A discussion followed on various issues regarding inputs to this exercise.

5. **Accountability and Governance**

5.1 **Quarterly Assurance Statement (QAS)**

5.1.1 NH talked through the QAS and referring specifically to the Cliff project under 'Risk Management', advised that a Court date has now been scheduled. Referring to the NI Judo Federation issue, NH stated that the concerned individual continues to raise issues on an ongoing basis. He also raised the findings of an internal audit report into SNI's Olympic related events programme.

5.1.2 CW referred to Real Triathlon and asked if there was any way this issue could be closed down as the concerned individual has failed to provide relevant evidence. NH confirmed that the individual had just recently been in touch with SNI's internal auditor.

5.1.3 Moving to Section 4, 'Financial Planning and Monitoring', TD referred to the budget to cover the Minister's Celebration of Sport and temporary seating at Cliftonville FC. He stated that the relevant amounts would be transferred to the SNI budget in the October monitoring round.

5.1.4 Referring to Section 5, 'Economic Appraisal, Post Project Evaluation and Consultancy', all were content, with SNI adding that the Business Case for Tollymore NOC will be with the Department soon.

5.1.5 Commenting on Section 6, 'Procurement', NH agreed to have a template prepared in future in order to share more detail with the Department regarding Single Tender Actions (STAs). CW queried the de-minimis limits stated. This was confirmed as a typo and should read £5,000 rather than £500.

Action SNI

- 5.1.6 Moving to Section 8, 'Fraud, Whistleblowing and Bribery Act', NH confirmed training for SNI staff had taken place in July.
- 5.1.7 Referring to Section 9, 'Internal and External Audit Reports', NH stated that there were 3 Priority 1 recommendations outstanding from audits of 2012/13 accounts. He confirmed that recommendations on Pensions and the All Hours Working Allowance (AHWA) are being taken forward through seeking legal advice. However, he stated that SNI would dispute the NIAO recommendation relating to Payments in Advance. He also stated that this was noted as a recommendation for the Lottery accounts, which was incorrect. RMcD stated that this should be raised with NIAO at the SNI Audit Committee which is also attended by an NIAO representative. CW congratulated SNI on the low number of outstanding audit recommendations.
- 5.1.8 CW stated he was content with the QAS and albeit he did raise the issue of mention of delays in the Business Plan, he was mindful that the large majority of KPIs will be achieved and very few elements have actually stalled.

5.2 Risk Register Review

- 5.2.1 The Risk Register was discussed. NH raised concern over the SINI Business Case which has been submitted and added that pressure was on to have this progressed. TD advised the meeting that the Business Case has been forwarded to the Department's Economists. NH added that if this is not cleared by December, employees will have to be put on protective notice.
- 5.2.2 Referring to Risk No 4, the 'Material Underspend by SNI-Funded Capital Projects', CW asked why the impact, after the risk is treated, increases from that of the inherent risk. NH agreed that this seemed wrong and that SNI would amend.

Action: SNI

5.3 Annual Report and Accounts

5.3.1 All Accounts are up to date. RMcD confirmed that both Exchequer and Lottery Accounts have been printed and published.

5.4 Audit Recommendations

5.4.1 Audit Recommendations were discussed earlier in the meeting. NH reiterated that SNI now has a tracking system from which they will share reports with the Department prior to Accountability Meetings.

Action: SNI

5.5 Spend Against Budget

5.5.1 RMcD stated that there had been some slippage on spend, largely due to delay in the approval of the SNI Business Plan but that full spend was anticipated.

5.6 Financial Profile/Forecasting

5.6.1 There were no issues regarding financial profiling/forecasting. TD mentioned there were no problems and SNI was within the 10% variance in April and June for actual cash drawdown against estimated cash requirement.

6. Any Other Business

6.1 50 Metre Pool

6.1.1 Some discussion ensued regarding the 50 m Pool and that touch pads may need to be replaced to ensure that the Pool was the required length. The FINA Certificate for the Pool had not yet been received but the matter was in hand. SNI has retained £215k funding from North

Down BC until the issue is resolved. CW advised NH that he would require lines to take should there be any Media interest in this matter.

Action SNI

6.2 Safeguarding/Child Protection

6.2.1 TD referred to the guidance issued by DCAL to its ALBs on Safeguarding Children and specifically referred to Appendix C, which is a checklist of required action with regard to safeguarding. This is for discussion at Accountability Meetings and is required once per year. PD thought this had already been sent to DCAL but agreed to check and resend.

Action: SNI

6.3 Prompt Payments

6.3.1 CW drew attention to the Prompt Payment targets and that in April and May SNI had failed to meet the 90% target. He asked SNI to keep an eye on these targets as they are given a high importance throughout Government.

6.4 SINI Business Case

6.4.1 The issue of the SINI Business Case was discussed earlier in the meeting.

6.5 Stadiums – Write-off of Investment in Previous Works

6.5.1 NH referred to SNI having written to the Department requesting approval for write off of previous investment in the three regional stadiums. TD advised that a case for write-off would need to be made to GSU and then to DFP. The Department will respond to SNI in due course regarding the write-off request.

Action: DCAL

6.6 Issues Meetings

6.6.1 NH advised the meeting that he would be keen to have the Issues Meetings reinstated. CW agreed to speak to Mick Cory about this as Sports and Stadium will be returning to Mick's Directorate following CW's retirement but asked NH to be mindful that Mick does have a number of ALBs under his remit.

7. Date/Time/Venue for Next Meeting

7.1 The next meeting is scheduled for **7 November 2013 at 9.30 am** at **Causeway Exchange**. Dates for the remainder of the 2013/14 series of Accountability meetings are:

6 February 2014 at 9.30 am at the House of Sport; and
17 April 2014 at 9.30 am at Causeway Exchange.

CONFIDENTIAL PAPER

SPORT NORTHERN IRELAND – RISK REGISTER

For Approval

1.0 Purpose

- 1.1 The attached paper provides a summary of the key corporate risks, their ratings, agreed mitigation activities and progress against these activities.
- 1.2 This register has been issued to the Board as per best practice guidance as outlined within HM Treasury Orange Board. The purpose of this paper is to provide the Board with assurance as to the management of risk within Sport Northern Ireland and to draw to their attention to any high priority risks.

2.0 Introduction

- 2.1. The current risk register records 10 key corporate risks, 7 are considered medium and 3 low.
- 2.2 All agreed actions are progressing as planned.
- 2.3 This risk register was presented to the Audit and Risk Management Committee on 23 July where it was recommended that subject to a number of amendments, it be issued to the Board of Sport Northern Ireland for approval.

3.1 Recommendation

- 3.1 It is recommended that Members review the attached risk register and satisfy themselves as to the arrangements in place for managing the identified risks and approve the document.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V23
AUTHOR:	A Sloan
DATE:	01/07/13
DATE OF REVIEW BY DIRECTORS	10/07/13
DATE OF REVIEW BY AUDIT COMMITTEE	23/07/13
DATE OF REVIEW BY COUNCIL	06/08/13
NEXT REVIEW DATE	August 2013

Summary of Changes

Version	Ref	Risk	Risk
	1	Poor Athlete Performance due to Non Approval of SINI Business	New risk
	2	Failure to achieve SNI Strategic Objectives (Business Plan Approval)	New risk
	3	Ineffective Management of Capital Projects	Agreed Action Revision of SNI Investment Policies – This work has been completed. The Investment Assurance Manager has updated both the Business Case procedures and the Risk Policy which govern investment into Sport Northern Ireland projects. This is now reflected within the control section under 'Directive Controls'.
23	4	Ineffective Governance	Agreed Action Value for Money Review - McClure Watters successfully secured this assignment and formally commenced their work on 4 June 2013 with a meeting with the Steering group. The core emphasis of this review is to assess the efficiency of Sport Northern Ireland compared to its peer organisations. In addition, the review will also consider the organisational performance across Corporate Services, Participation and Performance in terms of economy, efficiency and effectiveness in order to draw conclusions on overall value for money. It is envisaged that the draft report will be available sometime in August 2013 with the final report being issued late September 2013.
	5	Inappropriate Disaster Recovery Systems	Agreed Action Updated to include a further training session on DPA and Information Management to be delivered to TNOC staff.

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and Senior Management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Nick Harkness

Acting Chief Executive

July 2012

Table 1: Risk Scoring Matrix

Likelihood	Low	Low-Medium	Medium	Medium-High	High
High 5	1	2	3	4	5
Medium-High 4	5	10	15	20	25
Medium 3	4	8	12	16	20
Low-Medium 2	3	6	9	12	15
Low 1	2	4	6	8	10
	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
Medium Level Risks						
1. Poor Athlete Performance due to Non Approval of SINI Business	Board / Acting Chief Executive	9	N/A	X	<ul style="list-style-type: none"> All 	Tolerate
2. Failure to achieve SINI Strategic Objectives (Business Plan Approval)	Board / Acting Chief Executive	9	N/A	✓	<ul style="list-style-type: none"> All 	Treat
3. Ineffective Management of Capital Projects	Community Capital team Manager	8	N/A	✓	<ul style="list-style-type: none"> Active People Successful Athletes Quality Facilities Enabled Partners A Trusted and Effective Leader 	Treat
4. Material Underspend by Sport Northern Ireland Funded Capital Projects	Capital Finance Manager Performance Finance Manager	8	N/A	X	<ul style="list-style-type: none"> Active People Quality Facilities 	Tolerate
5. Ineffective Governance	CEO / Directors	8	8	✓	<ul style="list-style-type: none"> All 	Treat
6. Non Achievement of Objectives > 10%	Programme Managers	6	6	X	<ul style="list-style-type: none"> All 	Treat
7. Fraud	Programme Managers	5	5	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

Low Level Risks						
8. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	4	4	X	• All	Treat
9. Inappropriate Disaster Recovery Procedures	HR Manager (HOS) IS Manager	4	4	✓	• All	Treat
10. Poor Information Management	IS Manager	4	4	✓	• A Trusted and Effective Leader	Treat

*The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland. .

Medium Level Risks

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Poor Athlete Performance due to Non Approval of SINI Business	<p><u>Cause</u></p> <ul style="list-style-type: none"> Recent history of delays in time taken to approve business cases. <p><u>Impact</u></p> <ul style="list-style-type: none"> Disruption to athlete programme impacting preparations for major games including the 2014 Commonwealth Games and Olympics in 2016. Key staff leave due to uncertainty Inability to pay staff and suppliers post 1 April 2014. 	5	3	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Agreed approach in place for developing, reviewing and submitting Business Plans Regular reporting to SNI Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Consultation with staff and Board Timetable established Internal Working Group to review business case Review of Business Case by UK Sport prior submission to DCAL 	3	3	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored by SNI and SINI Board</p>	N/A	N/A	3	3
2	Non Approval of Business Plan Impacting Business Delivery	<p><u>Cause</u></p> <ul style="list-style-type: none"> Non approval by DCAL of SNI Business Plan Aspects of business plan on hold pending approval <p><u>Impact</u></p> <ul style="list-style-type: none"> Strategic Objectives not met Potential misalignment of SNI activities with DCAL priorities Resources not deployed efficiently or effectively. Budgets not spend Lost opportunities 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Agreed approach in place for developing, reviewing business plans and submission of these to DCAL Regular reporting to SNI Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Business plans completed and approved by Board and submitted to DCAL within agreed timescale. Consultation with Board Matter raised by Chair with DCAL 	3	3	<p>Treat Risk</p> <ul style="list-style-type: none"> Regular Reporting and Part Approvals - Trigger points have been set and approval may be provided by DCAL on specific aspects of the business case which have reached a time critical point. 	CEO	Ongoing	3	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
3	Ineffective Management of Capital Projects	<p><u>Cause:</u></p> <ul style="list-style-type: none"> • Non adherence with governing policies and procedures • Poor project management throughout project life cycle • Over reliance on other project parties • Changes to external environment, i.e. variables influencing outcome subject to change • Ineffective change controls <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Loss of resources • Reputational damage • PAC hearing • Punitive action / sanctions 	4	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> • Funding and management P&Ps • Revised Anti-Fraud Policy • Revised Delegated Decisions Policy • Procedure enhancements made • Updated Investment Policies <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> • Formal sign off by project funders for projects over £0.5m • Business Case addendums • Updated change control training • Prince 2 accredited staff • Lessons Learned Training <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> • Project Monitoring / PPE • Internal Audit <p><u>Corrective Control</u></p> <ul style="list-style-type: none"> • Funding terms and conditions 	4	2	<p>Treat Risk</p> <ul style="list-style-type: none"> • Address recommendations of Internal Audit Review and NIAO review into project management of St Colman's College project. (Report pending) 	On-going	CEO	4	1
4	Material Underspend by Sport Northern Ireland Funded Capital Project	<p><u>Cause:</u></p> <p>Underperformance of projects. Possible drivers include:</p> <ul style="list-style-type: none"> • Applicant capacity • Site conditions • Project management capacity • Partnership funding • Adverse weather • Failure to Secure Planning <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Risk to project deliverables • Closure of project. 	3	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> • Project budgets • Funding Terms and Conditions • Project Officer Project Monitoring <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> • Project Budgets • Budget / Project Monitoring • Potential to use Lottery funding • Project management reqmts to be fulfilled prior to project start <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> • Project Budgets • Budget Monitoring 	4	2	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored.</p>	N/A	N/A	4	2

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
		<ul style="list-style-type: none"> Financial Pressures in next accounting period 			<ul style="list-style-type: none"> Strict application of PMRs <u>Corrective Controls</u> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget slippage in year <u>Directive Controls</u> <ul style="list-style-type: none"> SNI Business Plan / Budgets MSFM / Policies and Procedures Managing Public Money Guidance Business Appraisal Processes Delegated Authority Policy Board and Sub Committees QAS to Council for review & cmmt Review by Senior Mgt / Board <u>Preventative Controls</u> <ul style="list-style-type: none"> Risk Management Framework QAS to Council for review & cmmt Review by Senior Mgt / Board Governance Audits of GBs Pre-Appt Checks Contractors Finance / Compliance Checks Capacity Building Grant Recipient KPI's Implementation of Best Practice P/Ship working and monitoring e.g. SMIG and other fora Approval Processes Legal Advice Section 75 Screening In-House Specialists Internal Audit Strategy <u>Detective Controls</u> <ul style="list-style-type: none"> Third Party Reviews ARMC commissioned Gov Review 							
5	Ineffective Governance	<p><u>Cause:</u> The Department is due to commence Phase 2 of its Arm's Length Bodies Review. The purpose of this review is to assess the functions and value derived from DCAL's ALBs. The review team has completed stage 1 of its review of Sport Northern Ireland. As part of this review perceived weaknesses in the system of governance within Sport Northern Ireland were highlighted.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Reduction in scope of business by SNI Reputational Damage Sanctions by DCAL Funding Restrictions Closer monitoring by DCAL as a result of risk rating Non achievement of all corporate objectives Loss of monies 	3	5			<ul style="list-style-type: none"> Treat Risk Value for Money Review – Sport Northern Ireland has commissioned an independent Value for Money Review. The core emphasis of this review is to assess the efficiency of Sport Northern Ireland compared to its peer organisations. In addition, the review will also consider the organisational performance across Corporate Services, Participation and Performance in terms of economy, efficiency and effectiveness in order to draw conclusions on overall value for money. 	Sep 2013	CEO / Chair	2	4	

No	Hazard	Risk Descripn	Inherent Risk			Current Controls	Residual Risk			Agreed Actions	Date	Officer	Treated Risk			
			I	L			I	L					I	L		
		<ul style="list-style-type: none"> Financial Pressures in next accounting 				<ul style="list-style-type: none"> Strict application of PMRs <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget slippage in year <p><u>Directive Controls</u></p> <ul style="list-style-type: none"> SNI Business Plan / Budgets Business Appraisal Processes Delegated Authority Policy Board and Sub Committees QAS to Council for review & cmmt Review by Senior Mgt / Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Risk Management Framework QAS to Council for review & cmmt Review by Senior Mgt / Board Governance Audits Pre-Appr Checks Contractors Finance / Compliance Checks Capacity Building Governing Body KPI's Implementation of Best Practice P/Ship working and monitoring e.g. SMIG and other fora Approval Processes Legal Assistance Section 75 Screening In-House Specialists Vacant Posts Replaced Desist low priority work <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Third Party Reviews Independent Governance Review Programme of PPEs and PIJs Quarterly Business Plan Reports 										
6	<p>Non Achievement of Business Objectives</p> <p>>10%</p>	<p><u>Cause:</u></p> <ul style="list-style-type: none"> SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans. <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> Performance of and relationships with key partners. Potential change of Government priorities Use of private sector contracts Appropriate budgets; Availability of appropriate staff; Strong internal processes Insolvency of grant recipients or contractors <p><u>Impact:</u></p> <ul style="list-style-type: none"> Non delivery of SNI /DCAL objectives within the Strategy for Sport Non delivery of corporate and business plans Reputation damage 	3	5					<p>Treat Risk</p> <ul style="list-style-type: none"> Careful monitoring of investments 	On-going	SMT			3	1	

Low Level Risks

No	Hazard	Risk Descripn	Inherent Risk		Current Controls		Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L	I	L	I	L				I	L
7	Fraud	<p><u>Cause:</u> Fraud – this is an inherent risk to any system. The control mix within SNJ requires a balance between all control types without recourse to a fully preventative control system.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	100's Lost	100's Lost	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training Grant Mgt Team Procedures <p><u>Defective Controls</u></p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS – Access to services of 	100's Lost	100's Lost	<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. <i>Treated risk unchanged – no new actions.</i></p>	Ongoing	Int Audit	100's Lost	100's Lost	
			2	2	2	2							
			1'000's Lost	1'000's Lost	1'000's Lost	1'000's Lost							
			3	3	3	3							
			1m's Lost	1m's Lost	1m's Lost	1m's Lost							
8	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC/HOS</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence 	5	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> H&S P&Ps / Risk Assessments Staff Meetings Training Adventure Mark <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> H&S Risk Assessments Skilled, Trained Qualified Staff Continued Professional Devlpt Equipment Standards Personal Protective Equipment <p><u>Defective Controls</u></p> <ul style="list-style-type: none"> Equipment / Premises Checks <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Contingency Procedures e.g. Mountain Rescue. 	5	5	<p>Treat Risk</p> <p>1. Policies and Procedures – review and updating off, including clearer definition of roles and responsibilities between staff at HoS and TNOC</p> <p>2. Work Programmes – Work programmes to be updated to formally acknowledge H&S responsibilities</p> <p>3. Risk Assessments – Completion of risk assessment for outstanding areas/activities within TNOC</p> <p>4. Records Management - Transfer of all training records held at TNOC to HoS. Records to be subject to periodic review.</p>	Oct	Centre Manager	5	5	
			4	4	4	4							
			4	4	4	4							
			4	4	4	4							
			1	1	1	1							

No	Hazard	Risk Descripn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
9	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Testing - On-going testing of elements of SNI Business Continuity Plan. Disaster testing – full testing of the plan in a planned scenario 	On-going Dec	IS Manager Dir Corp Services	4	1
10	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Testing – On-going testing of SNI Business Continuity Plan. <i>Treated risk unchanged – no new actions.</i> policies and procedures – review and updating of Data Disposal – Formal disposal of identified redundant data Manual Records – to be encompassed within the BCP Training - further training session of DPA and Information mgt to TNOC staff. 	On-going Aug Aug Sept Sept	IS Manager IS Manager IS Manager IS Manager IS Manager	4	1

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk (taking on board current controls)	
		I	L
1. Sub Standard Work by Third Parties	SNI engages with a number of third party suppliers to assist it in the delivery of its strategy. Any failings or under performance on their part will adversely impact the quality of outputs and the return on investment.	4	1
2. (Minor) Non Compliance with SNI's Policy and Procedures	Failure by staff and management to comply with governing policies and procedures.	4	1

APPENDIX 2

Weighting Rationale

Risk	Inherent	Residual	Treated
Poor Athlete Performance due to Non Approval of SNI Business	Failure of key objective(s) Significant impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Failure to achieve SNI Strategic Objectives (Business Plan Approval)	Failure of key objective(s) Significant impact on external customers and stakeholders NIAO criticism Corrective Costs	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism Potential abandonment of some 'non key' activities	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism Potential abandonment of some 'non key' activities
Ineffective Management of Capital Projects	Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Failure of some objective(s) Potential minor impact on external customers and stakeholders
Material Underspend by Sport Northern Ireland Funded Project	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential media attention.
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions Failure of key objective(s)	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Material Impact on performance and business deliverables	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Some impact on performance and business deliverables
Non Achievement of Objectives > 10%	Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material Impact on performance and business deliverables	Some impact on performance and business deliverables

Risk	Inherent	Residual	Treated
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £1,000,000	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £1,000
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services.	Negligible impact on support services.
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.

**MONITORING MEETING - DCAL AND SPORT NI
1 PM THURSDAY 21 NOVEMBER 2013
VENUE – CAUSEWAY EXCHANGE**

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (22 August 2013)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2013/14**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **Boxing Strategy**
 - **Together Building a United Community**
 - **Zero Based Budgeting**
 - **SINI and Tollymore Business Cases**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Annual Report and Accounts**
 - 5.4 Audit Recommendations**
 - 5.5 Spend against Budget**
 - 5.6 Financial Profile/Forecasting**
- 6. Safeguarding/Child Protection**
- 7. Any Other Business**
 - 7.1 Prompt Payments**
 - 7.2 Data Requests**
 - 7.3 Appointment of Board Members**
- 8. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 21 NOVEMBER 2013 AT 1.30 PM
CAUSEWAY EXCHANGE**

Present: Mick Cory (MC) (Chair)
Sinead McCartan (SMcC)
Tim Duff (TD)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 MC opened the meeting by welcoming AMcK to her first Accountability Meeting. There were no apologies.

1.2 MC asked what the position was with the MSFM. TD confirmed this is still under review. AMcK stated SNI's concern with one paragraph within the MSFM whereby the Chair is stated as being responsible for "reporting to the Minister and Permanent Secretary at pre-arranged Accountability Review Meetings". MC explained this was not to be taken as referring to Accountability Meetings (held on a quarterly basis) but rather yearly or ad hoc meetings arranged with the Minister or Permanent Secretary.

1.3 AMcK asked if a form of words could be drafted to avoid confusion.

Action: DCAL

2.0 Minutes from Meeting held on 22 August 2013

2.1 The minutes of the previous meeting held on 22 August 2013 were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

4.2.3 Ongoing - It was agreed a separate discussion would take place after the Accountability meeting on SNI's request for derogation from its Savings Delivery Plan with regard to recruitment of additional staff.

4.2.5 Completed – The Department has provided clarification to SNI on procurement guidance. AMcK thanked the Department for sharing the CPD Guidance but advised that an issue had arisen around the Boxing Investment Programme. AMcK advised that she had proposed a procurement framework to CPD and was awaiting their view.

3.2 AMcK then referred to the Quarterly Assurance Statement (QAS) and the level of detail contained in it. She stated that the current QAS tends to list risks rather than concentrating on elements that compromise governance. It was agreed that rather than listing risks the document should report against risk to QAS requirements.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2013/14

4.1.1 Discussion moved to the Quarter 2 Review of the 2013/14 Business Plan. AS advised that out of the 66 KPIs, 61 (92%) were on track to be achieved, 4 (6%) were amber and are likely to be achieved and 1 (2%) is unlikely to be achieved. In respect of those amber KPIs, these relate to 2 specific areas of work – the Awards for Sport programme which is on hold pending review; and the Active Schools programme which has been delayed, however, it is anticipated they will be green by the end of the year.

4.1.2 Referring to the one red KPI, AS added this related to spend on the Lottery budget for this year. He advised there is a tolerance level but will be outside this and this related to delays in the Boxing Programme,

Awards for Sport and Active Schools programmes. MC asked if SNI's Board is aware of impacts and delays. AMcK confirmed the Board was advised of this in her last report which relayed the risks.

4.1.3 MC referred to the issue of Sport NI changing business plan targets, mentioned in the draft of the ALB Stage 1 Review of Sport NI. SMcC commented there had been a breakdown in communication in this regard. AMcK advised that SNI was concerned how to respond should the CAL Committee raise the issue. It was agreed that a jointly acceptable form of words should be agreed between DCAL and SNI should the CAL Committee raise the issue. On the general point of changing business plan targets, MC stated that the Department should be consulted first before any such changes would be made.

4.2 Major Projects and Programmes

4.2.1 **Sports Strategy/Sport Matters:** AMcK referred to the last meeting of the Sport Matters Monitoring Group and commented that the review of Sport Matters was coming along at a good time. MC stated that he was very pleased at the progress which had been achieved against Sport Matters targets. He added, however, that some tweaking was needed, through the review of Sport Matters, to ensure the Minister's priorities were fully reflected in targets.

4.2.2 SMcC advised that the Minister wants a clear and focussed review exercise to be completed by April 2014. The main aim of the review is to future proof Sport Matters. There will be key areas to look at: has the Strategy worked to date; is it still fit for purpose; does it reflect the Minister's priorities of promoting equality and tackling poverty and social exclusion; does it align with Together Building a United Community; and does it reflect priorities such as women and disability. SMcC added that Sports Branch will manage the Review but will be seeking a lot of input from SNI and consulting widely.

- 4.2.3 MC stated that Physical Recreation may need to be brought more to the fore as compared to Performance Sport.
- 4.2.4 AMcK commented on participation and talked of 'human stories' as opportunities for good news.
- 4.2.5 **SMCCP:** AMcK gave a breakdown of capital projects including 47 approved projects; 26 completed; 21 live (13 under construction and 8 in development). AMcK added that, overall, the programme is progressing well.
- 4.2.6 **Boxing Strategy:** MC emphasised to the meeting how important this is to the Minister. AMcK stated that 82 clubs premises have been surveyed. This shows that £8.5m is needed and could be spent usefully. AMcK added that the capacity of clubs to take forward projects has to be addressed before funding is issued. AMcK advised the meeting that SNI will seek a way forward through a stocktake exercise and review of the Boxing Investment Programme. MC agreed that this was appropriate.
- 4.2.7 **Together: Building a United Community:** SMcC advised that various options for a cross-community sports programme, delivered by DCAL, are currently with the Special Advisor for consideration.
- 4.2.8 AMcK referred to a contingency proposal developed by Sport NI for delivery under TBUC. MC asked if the Minister and/or Special Advisor were aware of this programme. AMcK confirmed she had attempted to contact the Special Advisor but had not spoken with him to date. SMcC added if TBUC is not the right channel for this programme then it could possibly be included under tackling poverty and social exclusion.
- 4.2.9 **Zero-Based Budgeting:** MC referred to Zero-Based Budgeting (ZBB) and to a meeting with the Minister around this issue. He advised that the Minister was content that she now had transparency on ALB

spending plans for 2014/15. MC advised that SNI should move to develop its 2014/15 Business Plan, based on its ZBB proposal. A formal request along these lines will be issued by the Department shortly in the next few weeks. AMcK commented that she would be keen to reduce the number of targets within the SNI Business Plan. It was agreed that 66 targets are too many and that the Business Plan should ideally only report against key targets.

4.2.10 SINI Business Case: Discussion followed on the SINI business case recently received by the Department. AMcK stated that SNI are convinced of the need for High Performance Sport as it provides inspiration and example to grassroots sport. It was noted that the business case had not been formally submitted from the SNI CEO. AMcK stated that the business case will be formally submitted to the Department following receipt of DCAL comments on the draft document and them being addressed.

Action: SNI & DCAL

4.2.11 AMcK highlighted the issue of staff at SINI and the potential need to issue protective notices to them in absence of an approved business case for SINI. MC advised that this should be avoided and that SNI should consider requesting approval from the Department to continue funding SINI for a limited further period of time.

4.2.12 Tollymore NOC Business Case: AMcK stated that the business case is currently under development. She is minded to share the draft business case with private sector adventure activity providers in the Mourne area, to allow for an open and transparent dialogue. AMcK further stated that the business case is being developed along the lines of TNOC delivering against promoting equality and tackling poverty and social exclusion priorities, this will include engaging with those at risk in deprived communities.

5. Accountability and Governance

5.1 Quarterly Assurance Statement (QAS)

- 5.1.1 MC referred to previous discussions relating to the QAS and how best to approach its completion. He was content to have SNI come up with a revised approach which SNI and the Department can have a conversation about.
- 5.1.2 Referring to the section in the QAS under 'Risk Management', MC commented that this should not be confused with fraud/irregularity reporting, which is already provided to the Department in another form.
- 5.1.3 MC mentioned the Value for Money Review of SNI and asked for an update. AMcK stated that the report is in draft and SNI are currently discussing it with the consultants.
- 5.1.4 Referring to the St Colman's project, SMcC advised the meeting that the Department was awaiting publication of the final NIAO report. Following its publication, the next step will be for SNI to move to address the Report's recommendations.
- 5.1.5 Moving to 'Governance', no issues were raised.
- 5.1.6 Referring to 'Business Planning' and particularly the 'key targets (including PSAs, business objectives and KPIs) are on schedule to be achieved', which was ticked 'partly', MC commented there were some targets at red and amber. AS added that the target at red pushes this to 'partly'.
- 5.1.7 On 'Financial Planning and Monitoring' everything was ticked 'yes'. MC asked if SNI was clear what the budget is and if spend was on target. AS confirmed that this was the case.
- 5.1.8 On 'Economic Appraisal, Post Project Evaluation and Consultancy', there were no issues raised.

5.1.9 Moving to 'Procurement' there were no issues raised. SNI had provided a table of Single Tender Actions within the QAS but agreed to provide a table separately.

5.1.10 Moving on to 'Policy Implementation', MC referred to safeguarding children and vulnerable adults and asked SNI if they were aware of the CAL Committee Report. AMcK confirmed they were aware and had a copy of the Report. MC commented there were a lot of recommendations and they will have to be looked at very carefully. TD referred to information the Department needs SNI to provide re safeguarding. He will clarify requirements in due course.

Action DCAL

5.1.11 There were no issues relating to 'Fraud, Whistleblowing and Bribery Act'.

5.1.12 Referring to 'Internal and External Audit Reports', MC queried why the box relating to 'internal and external audit reports/letters relating to the organisation have not revealed any significant weaknesses', was ticked 'No'. AS stated that this is due to Priority 1 recommendations being outstanding. AS referred to the Priority 1 recommendations (re payment of pension provision and All Hours Worked Allowance from external audit reports. He stated that SNI is currently seeking legal advice with regard to these. MC asked about the timescale for dealing with these recommendations. AS advised that these should be completed by the end of December.

Action: SNI

5.1.13 There were no issues relating to 'Data Management'.

5.1.14 Moving to 'Other Issues', SNI advised there is an issue about grant information which cannot be uploaded to the Government Funding Database, due to technical issues with the Database. AS commented that SNI is liaising with DHSSPS IT on this issue and will act immediately once a solution is developed.

5.2 Risk Register Review

5.2.1 The Risk Register was discussed. MC referred to the inclusion of 'Tolerate Risk' under 'Agreed Actions' for risk No.1 'Delivery of Capital Projects on Time, within Budget and to specified Quality' and asked whether there was nothing else which could be done. AS advised that all available actions to reduce the risk have been taken and SNI now has to tolerate the residual risk.

5.2.2 MC then referred to Risk No 3, 'Poor Athlete Performance due to Non-approval of SINI Business Case'. He stated that as a business case for SINI has not been formally submitted to the Department there clearly are other actions which SNI could take, including submission of the business case and making proposals for interim measures until it is approved.

5.3 Annual Report and Accounts

5.3.1 These are up to date; nothing to discuss.

5.4 Audit Recommendations

5.4.1 Audit Recommendations were discussed earlier in the meeting.

5.5 Spend Against Budget

5.5.1 This had been dealt with earlier in the meeting.

5.6 Financial Profile/Forecasting

5.6.1 This had been dealt with earlier in the meeting.

6. Safeguarding/Child Protection

6.1 This was discussed earlier in the meeting.

7. Any Other Business

7.1 Prompt Payments

7.1.1 MC referred to the importance attached to prompt payments and the need to ensure that targets in these areas are met at all times.

7.2 Data Requests

7.2.1 It was agreed to discuss this at a separate meeting to follow on from the Accountability meeting.

7.3 Appointment of Board Members

7.3.1 MC advised the meeting that a submission has been provided to the Minister asking her to select a Vice-Chair and 4 members. Minister's decision is awaited. AMcK highlighted concerns about forthcoming work for the Sport NI Board in January/February. MC asked if there was a serious risk that the SNI Board could not perform its duties. AMcK advised that the burden on Board members has been reduced somewhat by the reduction in the number of sub-committees.

7.4 Outdoor Recreational Plan

7.4.1 This item was added to the Agenda at the meeting. AMcK advised that SNI had been asked by the CAL Committee to give a report on the Outdoor Recreational Plan but she was concerned that the approval from the Minister of the Plan was still pending. SMcC stated that DCAL will clarify the position.

Action Point: DCAL

8. Date/Time/Venue for Next Meeting

8.1 The next meeting is scheduled for **6 February 2014 at 9.30 am** at **the House of Sport**. The final date for the remainder of the 2013/14 series of Accountability meetings is:

17 April 2014 at 9.30 am at Causeway Exchange.

SPORT NORTHERN IRELAND

CONFIDENTIAL PAPER

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL BY THE BOARD

1.0 Purpose

1.1 The purpose of this paper is for Members to consider and approve the attached risk register.

2.0 Introduction

2.1. The current risk register records 8 key corporate risks, none of these are considered high, 4 are considered medium and 4 low.

2.2 These are summarised below:

Risk	Current level	Level Previously
1. Delivery of capital projects on time, on budget and to the specified quality.	8	8
2. Inadequate Health and Safety Arrangements	8	8
3. Poor Athlete Performance due to Non Approval of SINI Business	6	9
4. Non Achievement of Objectives >10%	6	6
5. Ineffective Governance	4	8
6. Fraud	4	4
7. Inappropriate Disaster Recovery Procedures	4	4
8. Poor Information Management	4	4

- 2.3 All agreed actions are being progressed by management.
- 2.4 As part of the Governance Improvement Plan, a new Risk Management Strategy has been developed. This Strategy was supplemented with a risk workshop with managers in advance of commencing an organisation wide approach to risk management whereby all managers will be required to complete a risk register which feeds into and informs the corporate risk register.
- 2.5 This risk register was reviewed by the Audit and Risk Management Committee on 17 October 2013 and no issues were raised for the attention of the Board. The Audit and Risk Management Committee have recommended this register for approval by the Board.

3.0 Recommendation

- 3.1 It is recommended that Members consider and approve the attached risk register and the arrangements in place for managing identified risks.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V24
AUTHOR:	A Sloan
DATE:	05/10/13
DATE OF REVIEW BY DIRECTORS	08/10/13
DATE OF REVIEW BY AUDIT COMMITTEE	17/10/13
DATE OF REVIEW BY BOARD	29/10/13
NEXT REVIEW DATE	November 2013

Version		Risk		Summary of Changes	
24	Ref				
	1	Failure to achieve SNI Strategic Objectives (Business Plan Approval)	Risk Removed	Business Plan approved by DCAL in August 2013.	
	2	Ineffective Governance	Agreed Action	Value for Money Review - McClure Watters successfully secured this assignment and formally commenced their work on 4 June 2013. The core emphasis of this review is to assess the efficiency of Sport Northern Ireland compared to its peer organisations. In addition, the review will also consider the organisational performance across Corporate Services, Participation and Performance in terms of economy, efficiency and effectiveness in order to draw conclusions on overall value for money.	
	3	Inappropriate Disaster Recovery Systems	Agreed Action	Procedure Update - The BCP is currently being revised. Risk assessments have recently been completed which will inform the BCP which will be communicated to staff once complete. A number of exercises will be planned over the next 12 months. Current Controls updated to reflect training to TNOC staff.	
	4	Inadequate Health and Safety Arrgts TNOC	Agreed Action	This section has been updated to reflect actions agreed subsequent to the review of TNOC health and safety arrangements by Internal Audit.	
	5	Poor Information Management	Agreed Action	This section has been updated to reflect actions agreed subsequent to the review of Sport Northern Ireland's Information Management arrangements by Internal Audit. Training has now been provided to TNOC staff. Treated Risk Impact downgraded from 4-3 due to manual records now being encompassed within BCP. Residual Risk Downgraded to low from amber	
	6	Ineffective Governance			

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and Senior Management will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Antoinette McKeown

Chief Executive

August 2013

Table 1: Risk Scoring Matrix

Likelihood	Impact	Low	Low-Medium	Medium	Medium-High	High
High	5	1	2	3	4	5
Medium-High	4	5	10	15	20	25
Medium	3	4	8	12	16	20
Low-Medium	2	3	6	9	12	15
Low	1	2	4	6	8	10
		1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
Medium Level Risks						
1. Delivery of Capital projects on time, within budget and to the specified quality	Capital Finance Manager Performance Finance Manager Community Capital team Manager	8	8	X	<ul style="list-style-type: none"> Active People Quality Facilities Successful Athletes Enabled Partners A Trusted and Effective Leader 	Tolerate
2. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	8	8	✓	<ul style="list-style-type: none"> All 	Treat
3. Poor Athlete Performance due to Non Approval of SINI Business Case	Board / Chief Executive	6	9	X	<ul style="list-style-type: none"> All 	Tolerate
4. Non Achievement of Objectives >10%	Programme Managers	6	6	✓	<ul style="list-style-type: none"> All 	Treat
Low Level Risks						
5. Ineffective Governance	CEO / Directors	4	8	✓	<ul style="list-style-type: none"> All 	Treat
6. Fraud	Programme Managers	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
7. Inappropriate Disaster Recovery Procedures	IS Manager	4	4	✓	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

*The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland. .

Medium Level Risks

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Delivery of Capital Projects on Time, within Budget and to specified Quality	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Underperformance of projects. Possible drivers include: <ul style="list-style-type: none"> Applicant capacity Site conditions Project management capacity Partnership funding Adverse weather Failure to Secure Planning Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls <p><u>Impact:</u></p> <ul style="list-style-type: none"> Risk to project deliverables Closure of project Financial pressures in next accounting period Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring Funding and management P&Ps Revised Anti-Fraud Policy Revised Delegated Decisions Policy Procedure enhancements made Updated Investment Policies <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Budget / Project Monitoring Potential to use Lottery funding Project management reqmts Formal sign off by project funders for projects over £0.5m Business case addendums PRINCE2 Accredited Staff Lessons learned training <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Project Budgets Budget Monitoring Strict application of PMRs Project monitoring/ PPE Internal Audit <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding terms and conditions 	4	2	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored.</p>	N/A	N/A	4	2

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
2	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources -- staff absence 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> H&S P&Ps/ Risk Assessments Staff Meetings Training Adventure Mark <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> H&S Risk Assessments Skilled, Trained Qualified Staff Continued Professional Devlpt Equipment Standards Personal Protective Equipment <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Equipment / Premises Checks <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Contingency Procedures e.g. Mountain Rescue. 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedures – review and updating off, including clearer definition of roles and responsibilities between staff at HoS and TNOC Work Programmes – Work programmes to be updated to formally acknowledge H&S responsibilities Risk Assessments – Completion of risk assessment for outstanding areas/activities within TNOC Records Management - Transfer of all training records held at TNOC to HoS. Records to be subject to periodic review. 	Oct	Centre Manager	4	2
3	<p>Poor Athlete Performance due to Non Approval of SINI Business Case</p>	<p><u>Cause</u></p> <ul style="list-style-type: none"> Recent history of delays in time taken to approve business cases. <p><u>Impact</u></p> <ul style="list-style-type: none"> Disruption to athlete programme impacting preparations for major games including the 2014 Commonwealth Games and Olympics in 2016. Key staff leave due to uncertainty Inability to pay staff and suppliers post 1 April 2014. 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Agreed approach in place for developing, reviewing and submitting Business Plans Regular reporting to SNI Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Consultation with staff and Board Timetable established Internal Working Group to review business case Review of Business Case by UK Sport prior submission to DCAL 	3	2	<p>Tolerate Risk</p> <p>No further cost effective action available to SNI at present. Risk will be monitored by SNI and SNI Board</p>	N/A	N/A	3	2

No	Hazard	Risk Description	Inherent Risk	Current Controls	Residual Risk	Agreed Actions	Date	Officer	Treated Risk
4	Non Achievement of Business Objectives >10%	<p>Cause: SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance of and relationships with key partners ▪ Potential change of Government priorities ▪ Use of private sector contracts ▪ Appropriate budgets ▪ Availability of appropriate staff ▪ Strong internal processes ▪ Insolvency of grant recipients or contractors <p>Impact:</p> <ul style="list-style-type: none"> • Non delivery of SNI /DCAL objectives within the Strategy for Sport • Non delivery of corporate and business plans • Reputation damage 	I L	<p>Directive Controls</p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Council for review & cmmt ▪ Review by Senior Mgt / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists ▪ Vacant Posts Replaced ▪ Desist low priority work <p>Detective Controls</p> <ul style="list-style-type: none"> • Third Party Reviews • Independent Governance Review • Programme of PPEs and PIRs • Quarterly Business Plan Reports 	I L	<p>Treat Risk</p> <p>Business Plan reviewed on a quarterly basis and appropriate corrective action taken if necessary. (sustaining risk control)</p>	On-going	SMT	I L

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency, Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' Training to TNOC Staff <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Testing - On-going testing of SNI Business Continuity Plan. Procedure Update – Review and update of BCP procedures 	On-going Nov	IS Manager Director of Sport Management Services	4	1
8	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedures – review and updating of. Data Disposal – Formal disposal of identified redundant data. Manual Records – to be encompassed within the BCP. 	Dec Dec Dec	IS Manager IS Manager IS Manager	3	1

Weighting Rationale

Risk	Inherent	Residual	Treated
Delivery of capital projects on time, within budget and to the specified quality	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>Significant public embarrassment / National media coverage</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders (Ministers etc)</p> <p>Potential media attention</p> <p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders</p> <p>Potential public embarrassment / National media coverage</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders (Ministers etc)</p> <p>Potential media attention</p> <p>Failure of some objective(s)</p> <p>Potential minor impact on external customers and stakeholders</p>
Inadequate Health and Safety Arrangements	<p>Significant public embarrassment</p> <p>Business Disruption</p> <p>Personal damages</p> <p>Litigation - £100,000</p>	<p>Public embarrassment</p> <p>Litigation - £10,000</p>	<p>Public embarrassment</p> <p>Litigation - £1,000</p>
Poor Athlete Performance due to Non Approval of SINI Business	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders</p> <p>NIAO criticism</p>
Non Achievement of Objectives >10%	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p>	<p>Material Impact on performance and business deliverables</p>	<p>Some impact on performance and business deliverables</p>
Ineffective Governance	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism</p> <p>Sanctions</p>	<p>Failure of key objective(s)</p> <p>Material impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Material impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism</p>
Fraud	<p>Financial Loss £100,000s</p> <p>Negative media coverage</p>	<p>Financial Loss £1,000s</p> <p>Negative media coverage</p>	<p>Financial Loss £1,000s</p> <p>Negative media coverage</p>
Inappropriate Disaster Recovery Procedures	<p>Failure of key support services</p> <p>Media coverage</p>	<p>Negligible impact on support services.</p>	<p>Negligible impact on support services.</p>

Risk	Inherent	Residual	Treated
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect SNI and the achievement of its objectives.

**MONITORING MEETING - DCAL AND SPORT NI
9.30 AM at 7 FEBRUARY 2014
VENUE – HOUSE OF SPORT**

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (21 November 2013)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2013/14**
 - 4.2 Major Projects and Programmes**
 - **Sports Strategy**
 - **SMCCP**
 - **Boxing Strategy**
 - **Together Building a United Community**
 - **Zero Based Budgeting**
 - **SINI and Tollymore Business Cases**
- 5. Accountability and Governance**
 - 5.1 Quarterly Assurance Statement**
 - 5.2 Risk Register Review**
 - 5.3 Audit Recommendations**
 - 5.4 Spend against Budget**
 - 5.5 Financial Profile/Forecasting**
- 6. Safeguarding/Child Protection**
- 7. Any Other Business**
 - 7.1 Data Liaison**
 - 7.2 Adventure Activity Licensing**
- 8. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
FRIDAY 7 FEBRUARY 2014 AT 9.30 AM
HOUSE OF SPORT**

Present: Mick Cory (MC) (Chair)
Cynthia Smith (CS) (joined meeting at 10.20 am)
Sinead McCartan (SMcC)
Tim Duff (TD)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 MC opened the meeting. There were no apologies.

2.0 Minutes from Meeting held on 21 November 2013

2.1 The minutes of the previous meeting held on 21 November 2013 were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

1.3 Complete – The relevant sentence has been removed from the draft MSFM.

4.2.10 Ongoing – The SINI Business Case has not yet been formally submitted to the Department. MC expressed concern about the timescale for approval of the business case, given it has to go to the DCAL Casework Committee, the Minister and DFP for approval. AMcK thanked the Department for advice thus far but advised the meeting that there remain some areas which SNI is unsure about, notably the issue of TUPE and she felt a meeting between SNI and relevant officials from the Department could potentially provide a way forward on these. It was agreed that

Sport NI will liaise with DCAL to arrange a meeting. MC advised that DCAL provide SNI with an outline timeline for the approval process for the business case.

Action: DCAL & SNI

5.1.10 Complete - The Department has provided clarification to SNI on the reporting requirements with regard to safeguarding.

5.1.12 Ongoing – MC highlighted that the Priority 1 Audit Recommendations regarding the All Hours Worked Allowance (AHWA) and Pension Provision are still outstanding. AMcK advised the meeting that SNI has sought legal advice on these issues and is taking senior counsel opinion.

Action: SNI

7.4.1 Complete – the Department has clarified the position in relation to the Outdoor Recreational Plan.

4.0 Business Performance Review

4.1 Business Plan & KPIs 2013/14

4.1.1 Discussion moved to the Quarter 3 Review of the 2013/14 Business Plan. AS advised that out of the 66 KPIs, 60 (91%) were green and on track to be achieved; 2 (3%) were amber and are likely to be achieved; and 4 (6%) were red and are unlikely to be achieved.

4.1.2 AS referred to the red KPIs. Firstly, referring to page 21 and KPIs 3.1.2 and 3.1.3, AS referred to delay in the launch of a high performance capital programme and the adverse affects of staff absence and additional pressures in the SNI capital team.

4.1.3 Referring to KPI 3.1.4, the number of sub-regional sports facilities strategies developed to provide an evidence base for the development

of sports facilities across NI, AS advised the meeting that work is progressing with councils on area-based planning.

- 4.1.4 Moving to KPI 6.1.2, the total consumption by SNI on the Lottery budget, AS discussed the factors leading to a forecasted underspend. It was agreed that these factors are outside the control of SNI. SMcC asked if this would affect spend on the new SNI capital lottery programme. AMcK replied that this is to be considered.
- 4.1.5 The meeting moved on to discuss the amber KPIs. AS referred to KPI 4.1.4, relating to the number of funded clubs and sporting organisations undergoing a Safeguarding in Sport health check. AS advised that there is some threat to achieving this target because the Awards for Sport and Active Clubs programmes have not yet been launched, however, it is hoped that all health checks will be completed by 31 March 2014.
- 4.1.6 Referring KPI 6.6.2, the percentage response to all Freedom of Information and DCAL Information Requests within the required time frame, AS advised that the percentage response for Quarter 3 was 65% but SNI is trying hard to bring this back up again to the KPI of 75%. MC stressed the importance of working to turn around these requests quickly.
- 4.1.7 MC referred back to KPI 1.1.1, the total number of participants participating in sport and physical activity in the last 12 months, where the Awards for Sport Programme element of the KPI is at amber. AS confirmed there had been delays in this area but does not expect this to impact upon the overall target. AMcK added that she wanted to take this Programme to the Board for consideration as a 'rolling programme' over the next 18 months.
- 4.1.8 Having reviewed the red and amber KPIs, MC asked if there was any 'good news' which SNI wanted to highlight in respect of the KPIs which were at green. AMcK referred to the Active Communities programme

and the increase in participation, particularly, of women and that there are 116 Active Community coaches working with district councils which is enabling the capture of information and this is establishing a strong evidence base. AMcK added that SNI is working on 17 additional projects which has been a challenge and worth noting.

4.2 Major Projects and Programmes

- 4.2.1 **Sports Strategy/Sport Matters:** MC referred to the review of the Sports Strategy deskwork for which is underway prior to the Minister signing off on the Terms of Reference. He added that the review will consider 3 key questions: how has the Strategy performed; does it remain fit for purpose; and what do we need going forward, considering the changed environment in terms of PETPSE and TBUC? MC stated that the Department's view has been that the Strategy is a strategy not just for Sport NI but for Northern Ireland as a whole and that this is where the focus should remain, with buy-in from other Departments and relevant organisations essential to ensure delivery. MC added the review provided an opportunity to look at some of the targets but no fundamental changes are expected.
- 4.2.2 MC referred to research requirements in terms of Sport Matters. He stated that the resources may not be available to rerun SAPAS as DHSSPS and DE do not see it as cost effective. Other options will, therefore, need to be explored.
- 4.2.3 AMcK stated that SNI has started thinking about its Corporate Plan going forward. It is likely that the next Corporate Plan will be up to 2019, to align with the end of Sport Matters.
- 4.2.4 **SMCCP:** TD referred to the Sport Matters Capital Programme and the regular updates the Department receives from SNI on spend profile. It was noted that there is likely to be some budget pressure for 2014/15.

4.2.5 **Boxing Strategy:** AMcK updated the meeting on the number of boxing clubs in receipt of equipment: 94 clubs have had equipment delivered. The impact of this will not be able to be measured until the capital element of the programme has been delivered. There have been 40 indicative capital awards made, 6 of which are for major refurbishment/new-build. AMcK pointed to the evident low capacity of clubs. SNI has assisted clubs through the process and in this context she advised that workshops are scheduled with clubs for March. AMcK added that SNI would want to replicate this support for other capital programmes. She also added that to make the procurement process for the programme more efficient, SNI is discussing with CPD with regard to bundling projects on a geographical basis. SMcC asked if the Department could be invited to any meetings with CPD.

Action: SNI

4.2.6 SMcC stated that the Minister has received some positive and negative feedback from clubs with regard to the Boxing Programme in relation to those receiving funding and those not. AMcK stated that forthcoming workshops would be for all clubs irrespective of whether they were successful applicants or not. There would be an emphasis on capacity building for clubs.

4.2.7 **Together: Building a United Community:** MC advised SNI that the Minister has approved a high-level proposal for DCAL. This has been submitted to OFMdFM and there is now pressure to put some structure around it. There are 3 broad elements to the proposal: cross-community youth sports programme for 11-16 year olds; active zone in the Village and Lower Falls areas; and community facilities similar to the model in Magherafelt. SMcC also advised redevelopment of the Girdwood site would be a major element of TBUC delivery. MC added that there will be work needed to create a structure/plan for the TBUC proposal and to establish delivery partners.

4.2.8 MC added that Cynthia Smith is the Senior Responsible Owner (SRO) for this programme. He also highlighted that there is caution around budget as there is no new money available for TBUC at present.

4.2.9 CS, having joined the meeting, commented that delivery of TBUC is a challenge but that it is core to the Programme for Government and provides real potential to deliver something concrete on the ground at community level.

4.2.10 **Zero-Based Budgeting:** It was agreed that issues around ZBB had been largely dealt with.

4.2.11 **SINI Business Case:** It was agreed that this had been dealt with earlier in the meeting.

4.2.12 **Tollymore NOC Business Case:** AMcK advised the meeting that the review of TNOC places a strong focus going forward on leadership skills and participation in terms of PETPSE. She added that a consultation meeting with private sector providers in the Mourne area is planned and that she is in favour of as much consultation as possible on the future direction of TNOC. A consultation report will inform the Business Case.

5. **Accountability and Governance**

5.1 **Quarterly Assurance Statement (QAS)**

5.1.1 MC asked why the SNI QAS had not been signed by the Chair. AMcK referred to confusion around the need for Chair sign-off. She added that the Board had felt strongly that they should review and endorse the QAS but that it is owned by the Accounting Officer. SMcC advised that the Department is seeking reasonable assurance from Chairs of ALBs.

5.1.2 TD advised the meeting that the Department is undertaking a review of the QAS template. The revised document is still likely to require sign-off

by the Chair but the statement will be separate from the Accounting Officer sign-off. AMcK said that she would communicate the position to the Board and rectify any impression she had given that Chair sign-off, of the QAS, is not required.

Action: SNI

- 5.1.3 MC thanked SNI for revisiting the level of detail within the QAS and stated that he felt it was more concise.
- 5.1.4 Referring to the section in the QAS under 'Risk Management', AS commented that SNI recognises the need to cover risk appetite. This led on to discussion on the Risk Register at this point. AS advised the meeting that no new risks had been added, however, integration of lessons learned from the St Colman's NIAO Report has been incorporated. MC asked if there was anything within the SNI Risk Register to be escalated to the Department's Risk Register. AS advised there is nothing requiring this escalation. AS went on to give an outline of 2 recent potential fraud reports. SMcC took the opportunity to remind SNI to engage with DARD CIS in cases where fraud is suspected.
- 5.1.5 Returning to the QAS and 'Governance', MC referred to Board appointments. The position is that the Minister has selected candidates. Appointments should be made in the near future, once formalities have been completed. Some discussion then took place regarding induction of Board members, both by SNI and the Department.
- 5.1.6 Referring to 'Business Planning', it was agreed that this had been discussed earlier.
- 5.1.7 On 'Financial Planning and Monitoring', MC commented that he did not see any issues and was content that SNI are aware of their budget and spend position. AS commented that, aside from some areas already reported to the Department, SNI will spend its allocation.

5.1.8 On 'Economic Appraisal, Post Project Evaluation and Consultancy', there were no issues raised.

5.1.9 Moving to 'Procurement', AS provided details of Single Tender Actions. The box relating to 'All procurement activity undertaken by my organisation has been done so in accordance with appropriate procurement rules and by officers with the necessary delegated purchasing authority' was ticked 'Partly'. AS advised that SNI is working with CPD on this. MC suggested it might be worth inserting a note within the QAS to explain the 'partly' rating.

Action: SNI

5.1.10 Referring to 'Policy Implementation', there were no issues.

5.1.11 Issues relating to 'Fraud, Whistleblowing and Bribery Act' were raised earlier in the meeting.

5.1.12 Moving to 'Internal and External Audit Reports', Priority 1 recommendations were discussed earlier. However, with regard to 'internal and external audit reports/letters relating to the organisation have not revealed any significant weaknesses', MC queried why this was ticked 'No'. AS advised that this was due to outstanding Priority 1 recommendations.

5.1.13 Under 'Data Management' and specifically 'Appropriate arrangements are in place within the organisation to ensure that all data, including personal/sensitive data is held and used securely with appropriate protection for confidentiality, integrity and availability of corporate information and whistleblowers are protected' was ticked 'Partly'. CS reiterated the earlier suggestion that where 'No' or 'Partly' is ticked, a footnote in the QAS would be helpful. AS advised the meeting that this related to the length of time SNI keeps personal data and specifically related to personal payment details in respect of TNOC. Following on from this, CS referred to the use of protective markings used for official documents. The Department will be writing out to ALBs about this.

5.1.14 Moving to 'Other Issues', there was nothing raised.

5.2 Risk Register Review

5.2.1 The Risk Register was discussed earlier.

5.3 Audit Recommendations

5.3.1 Audit Recommendations were discussed earlier in the meeting.

5.4 Spend Against Budget

5.4.1 This had been dealt with earlier in the meeting.

5.5 Financial Profile/Forecasting

5.5.1 MC thanked SNI for their efforts in remaining within cash forecasts.

6. Safeguarding/Child Protection

6.1 SNI has provided a list of incidents to the Department. The Department is content for the information to be provided in this format.

7. Any Other Business

7.1 Data Liaison

7.1.1 MC highlighted that this remains an issue SNI and the Department have to work on. SMcC and AS have had a conversation regarding this and the accuracy and timely provision of information was emphasised. Discussion followed specifically on the issue of the high volume of requests from the Department and the turnaround time. TD highlighted that there had recently been a large number of Oral Questions and a

number of issues to clarify for the CAL Committee. Deadlines for response to the Assembly are out of the Department's control. AMcK added that she was sympathetic to the pressures but SNI is working to achieving a quicker turnaround and better understanding of the requests suggested. AS and SMcC will continue to discuss the best way forward in dealing effectively with data liaison issues.

7.2 Adventure Activity Licensing

7.2.1 AMcK asked that this be discussed to allow SNI to brief the Department on the Outdoor Adventure Activities Accreditation Scheme. She stated that Northern Ireland will soon be the only jurisdiction in the UK not operating a statutory scheme. AMcK went on to state SNI's view that a statutory scheme should operate in Northern Ireland. MC asked if this would involve primary or secondary legislation as this would be something that the Department would need to take forward and would be a lengthy, resource-intensive process. MC commented that there might be other cheaper and timely measures which could be taken, as legislation may take a few years to process and this would tie up a team for some time, so, he suggested looking at alternatives as an option. He also asked AMcK to provide the Department with an options paper.

Action: SNI

7.3 Business Plan 2014/15

7.3.1 AMcK was hopeful that the layout of the SNI draft Business Plan shows exactly what SNI is going to deliver and highlights those targets in respect of tackling poverty and social exclusion. MC commented that the SNI draft Business Plan is currently being reviewed by the Department and that comments will follow in due course.

8. Date/Time/Venue for Next Meeting

8.1 The next meeting is scheduled for 17 April 2014 at 9.30 am and will be back at the House of Sport.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V25
AUTHOR:	A Sloan
DATE:	06/01/14
DATE OF REVIEW BY EXECUTIVE TEAM	10/01/14
DATE OF REVIEW BY AUDIT COMMITTEE	14/01/14
DATE OF REVIEW BY BOARD	28/01/14
NEXT REVIEW DATE	February 2014

Version	Ref	Risk	Summary of Changes
25		Delivery of Capital Projects on Time, within Budget and to specified Quality	<p>Agreed Actions</p> <p>Updated to include:</p> <ul style="list-style-type: none"> The establishment of Terms of Reference for service delivery by both the Investment Assurance and Policy, Planning and Research teams. The integration of 'lessons learned' from St Colman's College project into SNI project management arrangements. Some of these lessons have already been integrated. Enhancement of SNI capital project management skills. Recognising the changing nature of capital project management, this up skilling will be supplemented by on-going development. <p>The Executive Team believe that the impact of these additional controls will reduce the likelihood of the risk downwards.</p>
	1	Poor Athlete Performance due to Non Approval of SINI business case.	<p>Agreed Actions</p> <p>Update to include the addressing by SNI of DCAL queries and requests in order to achieve approval of the business case.</p>
	2	Poor Information Management	<p>Agreed Actions</p> <p>Updated to include an IS risk Assessment and installation of access safeguards on portable devices.</p> <p>The Executive Team believe that the impact of these additional controls will reduce the impact of the risk downwards, in particular that associated with the level of data potentially at risk and therefore the sanctions that may be imposed by the ICO and distress to data subjects.</p>
	3	Ineffective Governance	<p>Agreed Actions</p> <p>Implementation date for completion of the Value for Money Review has been pushed back to Feb/Mar 2014. This delay is due to difficulties by the consultants in obtaining the necessary benchmarking data from third parties.</p> <p>Updated to include:</p> <ul style="list-style-type: none"> The integration of lessons learned from St Colman's College project into SNI project management arrangements. The provision of greater clarity of respective roles and lines of authority for additional ring fenced projects requested by DCAL. <p>The Executive Team believe that the impact of these additional controls will reduce the likelihood of the risk downwards.</p>

	5	<p>Inappropriate Disaster Recovery Systems</p>	<p>Agreed Actions</p> <p>A revised Business Continuity Plan has been developed and will be supplemented by appropriate testing during 2014.</p>
	6	<p>Inadequate H&S Arrangements TNOC</p>	<p>Agreed Actions</p> <p>Implementation date amended to April 2014. HR Manager has agreed to fully address all outstanding Health and Safety recommendations by April 2014; this will include implementation of a revised Health and Safety Policy and accompanying procedures and communication of agreed protocols for offsite operations.</p>

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and the Executive Team will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Antoinette McKeown

Chief Executive

August 2013

Table 1: Risk Scoring Matrix

Likelihood	Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
High 5	5	10	15	20	25
Medium-High 4	4	8	12	16	20
Medium 3	3	6	9	12	15
Low-Medium 2	2	4	6	8	10
Low 1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Corp Objectives Impacted	Risk Response
Medium Level Risks						
1. Delivery of Capital projects on time, within budget and to the specified quality	Capital Finance Manager Performance Finance Manager Community Capital Team Manager	8	8	✓	<ul style="list-style-type: none"> Active People Quality Facilities Successful Athletes Enabled Partners A Trusted and Effective Leader 	Treat
2. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	8	8	✓	<ul style="list-style-type: none"> All 	Treat
3. Poor Athlete Performance due to Non Approval of SINI Business Case	Board / Chief Executive	6	9	✓	<ul style="list-style-type: none"> All 	Treat
4. Non Achievement of Objectives > 10%	Programme Managers	6	6	✓	<ul style="list-style-type: none"> All 	Treat
Low Level Risks						
5. Ineffective Governance	Executive Team	4	8	✓	<ul style="list-style-type: none"> All 	Treat
6. Fraud	Programme Managers	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
7. Inappropriate Disaster Recovery Procedures	IS Manager	4	4	✓	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	IS Manager	4	4	✓	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

*The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland.

Medium Level Risks

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	Delivery of Capital Projects on Time, within Budget and to specified Quality	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Underperformance of projects. Possible drivers include: <ul style="list-style-type: none"> Applicant capacity Site conditions Project management capacity Partnership funding Adverse weather Failure to Secure Planning Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls <p><u>Impact:</u></p> <ul style="list-style-type: none"> Risk to project deliverables Closure of project Financial pressures in next accounting period Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring Funding and management P&Ps Revised Anti-Fraud Policy Revised Delegated Decisions Policy Procedure enhancements made Updated Investment Policies <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Budget / Project Monitoring Potential to use Lottery funding Project management reqmts Formal sign off by project funders for projects over £0.5m Business case addendums PRINCE2 accredited staff Lessons learned training <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Project Budgets Budget Monitoring Strict application of PMRs Project monitoring/ PPE Internal Audit <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding terms and conditions 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Support Service Definition and Accountability - Establishment of Terms of Reference for Investment Assurance Team and Policy, Planning and Research Team in which information requirements, time-lines, roles and responsibilities are clearly defined. Lesson Learned – NIAO Report The integration of lessons learned from St Colman's College project into SNI project management arrangements. Project Management Enhancement of SNI capital project management skills. 	Mar 2014	Director of Sport Mgt Services	4	1

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
2	<p>Inadequate Health and Safety Arrgts</p> <p>TNOC</p> <p>Affected Parties:</p> <ul style="list-style-type: none"> • Staff • Visitors • Customers (adventure activities) 	<p><u>Cause:</u></p> <ul style="list-style-type: none"> • Poor H&S procedures • Non Adherence with H&S procedures by staff and participants • Adverse weather / conditions • Unforeseen / unplanned contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> • Injury / Fatality • Reputational damage • Temporary cessation of activities due to investigations • Litigation • Loss of resources – staff absence 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> • H&S P&Ps/ Risk Assessments • Staff Meetings • Training • Adventure Mark • Work Programmes stipulate H&S responsibilities <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> • H&S Risk Assessments • Skilled, Trained Qualified Staff • Continued Professional Devlpt • Equipment Standards • Personal Protective Equipment <p><u>Defective Controls</u></p> <ul style="list-style-type: none"> • Equipment / Premises Checks <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> • Contingency Procedures e.g. Mountain Rescue. 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> 1. Policies and Procedures – review and updating of, including clearer definition of roles and responsibilities between staff at HoS and TNOC 2. Records Management - Transfer of all training records held at TNOC to HoS. Records to be subject to periodic review. 	<p>Apr 2014</p> <p>Apr 2014</p>	<p>HR Manager</p> <p>HR Manager</p>	3	2
3	<p>Poor Athlete Performance due to Non Approval of SINI Business Case</p>	<p><u>Cause</u></p> <ul style="list-style-type: none"> • Delays in time taken to approve business case. <p><u>Impact</u></p> <ul style="list-style-type: none"> • Disruption to athlete programme impacting preparations for major games including the 2014 Commonwealth Games and Olympics in 2016. • Key staff leave due to uncertainty • Inability to pay staff and suppliers post 1 April 2014. 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> • Agreed approach in place for developing, reviewing and submitting Business Plans • Regular reporting to SINI Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> • Consultation with staff and Board • Timetable established • Internal Working Group to review business case • Review of Business Case by UK Sport prior submission to DCAL 	3	2	<p>Treat Risk</p> <p>On 20 November 2013, SINI responded to queries on the initial business case from DCAL.</p> <p>DCAL has advised that in principle it is content with the proposed switch of funding source for SINI from Lottery to Exchequer however, this can only be formalised once the business case has been approved.</p> <ol style="list-style-type: none"> 1. DCAL Response - Address DCAL queries and requests in order to achieve approval of the business case. 	<p>Mar 2013</p>	<p>Exec Team</p>	3	2

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
4	<p>Non Achievement of Business Objectives >10%</p> <p>Cause: SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans. Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> ▪ Performance of and relationships with key partners ▪ Potential change of Government priorities ▪ Use of private sector contracts ▪ Appropriate budgets ▪ Availability of appropriate staff ▪ Strong internal processes ▪ Insolvency of grant recipients or contractors <p>Impact:</p> <ul style="list-style-type: none"> • Non delivery of SNI /DCAL objectives within the Strategy for Sport • Non delivery of corporate and business plans • Reputation damage 	I	L	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> ▪ SNI Business Plan / Budgets ▪ Business Appraisal Processes ▪ Delegated Authority Policy ▪ Board and Sub Committees ▪ QAS to Board for review & cmmt ▪ Review by Exec Team / Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> ▪ Risk Management Framework ▪ QAS to Board for review & cmmt ▪ Review by Exec Team / Board ▪ Governance Audits ▪ Pre-Appt Checks Contractors ▪ Finance / Compliance Checks ▪ Capacity Building ▪ Governing Body KPI's ▪ Implementation of Best Practice ▪ P/Ship working and monitoring e.g. SMIG and other fora ▪ Approval Processes ▪ Legal Assistance ▪ Section 75 Screening ▪ In-House Specialists ▪ Vacant Posts Replaced ▪ Desist low priority work <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> • Third Party Reviews • Independent Governance Review • Programme of PPEs and PIRs • Quarterly Business Plan Reports 	I	L	<p>Treat Risk</p> <p>Business Plan reviewed on a quarterly basis and appropriate corrective action taken where necessary. (sustaining risk control)</p>	On-going	Director of Sport Mgt Services	I	L	

Low Level Risks

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk				
			I	L		I	L				I	L			
5	Ineffective Governance	<p><u>Cause:</u> The Department is due to commence Phase 2 of its Arm's Length Bodies Review. The purpose of this review is to assess the functions and value derived from DCAL's ALBs. The review team has completed stage 1 of its review of Sport Northern Ireland. As part of this review perceived weaknesses in the system of governance within Sport Northern Ireland were highlighted.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Reduction in scope of business by SNI Reputational Damage Sanctions by DCAL Funding Restrictions Closer monitoring by DCAL as a result of risk rating 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> SNI Business Plan / Budgets MSFM / Policies and Procedures Managing Public Money Guidance Business Appraisal Processes Delegated Authority Policy Board and Sub Committees QAS to Board for review & cmmt Review by Exec Team / Board Procurement Strat / Contract Reg <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Risk Management Framework QAS to Board for review & cmmt Review by Exec Team / Board Governance Audits of GBs Pre-Appt Checks Contractors 	2	2	<p>Treat Risk</p> <p>1. Value for Money Review –The core emphasis of this review is to assess the efficiency of Sport Northern Ireland compared to its peer organisations. In addition, the review will also consider the organisational performance across Corporate Services, Participation and Performance in terms of economy, efficiency and effectiveness in order to draw conclusions on overall value for money.</p> <p>2. Lesson Learned – NIAO Report The integration of lessons learned from St Colman's College project into SNI project management arrangements.</p> <p>3. Ring-fenced Projects - Greater clarity of respective roles and lines of authority for additional ring fenced projects requested by DCAL.</p>	Mar 2014	Director of Sport Mgt Services	2	1			
													100's Lost	2	2
													1'000's Lost	3	1
6	Fraud	<p><u>Cause:</u> Fraud – this is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	5	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training Grant Mgt Team Procedures <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS – Access to services of 	5	5	<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. Treated risk unchanged – no new actions.</p>	Ongoing	Director of Sport Mgt Services	5	1			
													100's Lost	2	2
													1'000's Lost	3	1
												1m's Lost			

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
7	Inappropriate Disaster Recovery Systems	<p>Cause:</p> <ul style="list-style-type: none"> Business contingency, Unforeseen and /or unplanned event(s) may arise within and external to SNI. <p>Impact:</p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' Training to TNOC Staff Procedures updated <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Testing - On-going testing of SNI Business Continuity Plan. 	On-going	Director of Sport Mgt Services	4	1
8	Poor Information Management	<p>Cause:</p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols <p>Impact:</p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedures – review and updating of. Data Disposal – Formal disposal of identified redundant data. Manual Records – to be encompassed within the BCP. Risk and Control Assessment - Undertake IS Risk Assessment. Access Control - Install appropriate safeguards (BitLocker) on portable devices. 	<p>Mar 2014</p> <p>Mar 2014</p> <p>Jan 2014</p> <p>Apr 2014</p> <p>Apr 2014</p>	<p>IS Manager</p> <p>IS Manager</p> <p>IS Manager</p> <p>IS Manager</p> <p>IS Manager</p>	3	1

Weighting Rationale

Risk	Inherent	Residual	Treated
Delivery of capital projects on time, within budget and to the specified quality	Significant impact on external customers and stakeholders (Ministers etc) Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Potential impact on external customers and stakeholders (Ministers etc) Potential media attention Failure of some objective(s) Potential / minor impact on external customers and stakeholders
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £100,000	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £1,000
Poor Athlete Performance due to Non Approval of SINI Business	Failure of key objective(s) Significant impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Non Achievement of Objectives > 10%	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material Impact on performance and business deliverables	Some impact on performance and business deliverables
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services	Negligible impact on support services
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

MONITORING MEETING - DCAL AND SPORT NI
9.30 AM on 8 MAY 2014
VENUE – HOUSE OF SPORT

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (7 February 2014)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2013/14 Year End Outturn**
 - 4.2 Business Plan & KPIs 2014/15**
 - 4.3 Major Projects and Programmes**
 - **Sports Strategy**
 - **Boxing Strategy**
 - **Together Building a United Community**
 - **SINI and Tollymore Business Cases**
- 5. Accountability and Governance**
 - 5.1 Governance Review of SNI**
 - 5.2 Quarterly Assurance Statement**
 - 5.3 Risk Register Review**
 - 5.4 Audit Recommendations**
 - **Update on outstanding P1 Audit Recommendations**
 - **St Colman's Report**
 - 5.5 SNI's Internal Audit Plan**
 - 5.6 Spend against Budget**
 - 5.7 Financial Profile/Forecasting**
 - 5.8 2015/16 Budget Exercise**
- 6. Safeguarding/Child Protection**
- 7. Any Other Business**
- 8. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
THURSDAY 8 MAY 2014 AT 9.30 AM
HOUSE OF SPORT**

Present: Mick Cory (MC) (Chair)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)
Tim Duff (TD)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 MC opened the meeting. There were apologies from Sinead McCartan.

2.0 Minutes from Meeting held on 7 February 2014

2.1 The minutes of the previous meeting held on 7 February 2014 were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

4.2.10 Complete – The SINI Business Case was submitted to the Department on 8 March 2014.

5.1.12 Ongoing – AMcK advised the meeting that Sport NI is still awaiting legal advice from Senior Counsel on the 2 outstanding Priority 1 Audit Recommendations regarding the All Hours Worked Allowance (AHWA) and Pension Provision. AMcK added that, bearing in mind that the issues relate to the contractual Terms and Conditions for staff, the organisation would be at risk taking action without first seeking legal advice. AMcK confirmed that she had updated the Board accordingly at the meeting on

29 April 2014. AMcK advised that Sport NI hoped to have an update, week commencing 14 May 2014.

Action: SNI

4.2.5 Removed – AMcK advised the meeting that Sport NI have had a one-off meeting with CPD and is currently working through a bundle of projects, with progress slower than expected. AMcK advised that she hopes that a workshop can be arranged with CPD with the aim of expediting issues. All agreed this is no longer an action point.

5.1.2 Ongoing – MC queried the absence of the Chair's signature on the Quarterly Assurance Statement (QAS) as it was his understanding that any confusion about the Chair sign-off had been resolved at the previous Accountability meeting. MC explained that in the absence of the Chair's sign-off, he could not give an assurance to the Departmental Board that Sport NI's Board is carrying out its duties effectively. MC suggested a meeting with Brian Henning and AMcK to address the issue. AMcK highlighted the Sport NI Board's concern that the requirement for the Chair's signature in the QAS goes beyond what is required in the QAS process. The Board feels that compliance with the MSFM is being shoe-horned into the QAS. MC asked that a letter be submitted to the Department from Brian Henning setting out his concerns about the revised QAS template.

Action: SNI

5.1.9 Complete - explanation of 'Partly' rating regarding Procurement now included in QAS.

7.2.1 SNI provided a paper at the meeting on Adventure Activity Licensing. DCAL will review and comment on this paper.

Action: DCAL

4.0 Business Performance Review

4.1 Business Plan & KPIs 2013/14 Year End Outturn

- 4.1.1 MC referred to the Quarter 4 Review of the 2013/14 Business Plan and to those targets not achieved. AMcK advised that these were mostly due to delays in launching certain programmes. Targets are expected to still be achieved but achievement has been delayed into 2014/15.
- 4.1.2 Referring to KPI 1.1.8 AMcK stated that the launch of Active Clubs (previously 'Pathfinder') had been delayed slightly to ensure that the issues around sustainability had been addressed. It was confirmed at the meeting that this was launched on 30 April 2014.
- 4.1.3 Regarding KPIs 3.1.2 & 3.1.3, AMcK advised that extended sickness absence of key staff had contributed to the delay in developing and launching the Lottery capital facilities programmes. With key staff now having returned to work, the programme should be launched in the summer of 2014.
- 4.1.4 Referring to KPI 3.1.4, AMcK stated that the Facilities Strategy had been delayed due to issues around RPA, engagement with SOLACE and NILGA and staff absence in the Sport NI capital team. Work is ongoing to progress the development of the Strategy.
- 4.1.5 Referring to KPI 4.1.4, AMcK stated that failure to meet this target was linked to the delay in launching the Awards for Sport and Active Clubs programmes. The target of having 10 funded clubs undergoing a Safeguarding in Sport health check has been delayed but it is anticipated it will be achieved in the first quarter of 2014/15.
- 4.1.6 Referring to KPI 6.1.2, the total consumption by SNI on the Lottery budget, AMcK stated that the £1.4m under consumption in Lottery was

mainly due to the following: Lottery income from the NLDF for the year was down by £1.2m on the projected figure; the Award for Sport programme did not happen in 2013/14 resulting in a grant underspend of £400k; the Boxing programme was delayed as a result of applicants requiring further capacity building resulting in a grant underspend of £1.3m; and the Pathfinder programme did not happen in 2013/14 resulting in a grant underspend of £1m. AS advised the meeting that there had been less income from Lottery than expected due to the negative impact of the increased cost of Lottery tickets. MC asked if the Board had discussed this. AMcK confirmed that the Board was fully aware of the issues.

- 4.1.7 Referring to KPI 6.6.2, AMcK advised the meeting that SNI had received a very high volume of FOI and DCAL information requests. MC commented that given the volume, requests must be prioritised.

4.2 Business Plan & KPIs 2014/15

- 4.2.1 MC advised the meeting that we were still awaiting Ministerial approval of the draft Sport Business Plan. TD added that SNI will be asked to insert a Ministerial Foreword. MC referred to the section within the draft Business Plan on programmes that could be delivered with additional funding. He stated that it was good practice to have such contingency plans but that Sport NI will need to manage expectations regarding these. AMcK asked whether, in the absence of approval of the Business Plan, Sport NI can proceed to take forward initiatives such as the Athlete Investment Programme. MC advised that Sport NI should proceed with 'business as usual'.

4.3 Major Projects and Programmes

- 4.3.1 **Sport Matters:** MC referred to the review of the Sport Matters and advised the meeting that the Terms of Reference have now been signed

off and the Review is broadly underway. MC agreed to a request from AS for a copy of the Terms of Reference.

Action: DCAL

4.3.2 **Boxing Strategy:** AMcK updated the meeting on the fact that 94 boxing clubs have received equipment. SNI is now following up on indicative grant awards to clubs in the capital programme. The lack of capacity of some clubs is making this a slow process, together with dealing with issues raised by clubs who are not going to be funded. Workshops have been facilitated to guide clubs through the process and this has also been extended to clubs who were not successful. AMcK pointed to the £6.66m shortfall in available funding against need in boxing clubs. AMcK referred to a meeting on boxing which the Minister had held. MC agreed that the readout from this meeting would be provided to Sport NI.

Action: DCAL

4.3.3 **Together: Building a United Community:** MC updated the meeting on TBUC and referred to a meeting which Jonny Davis has had with Sport NI.

4.3.4 **SINI Business Case:** MC referred to the Business Case having been through the Casework Committee and a number of clarifications/actions have gone back to Sport NI, although none of these indicated a major concern about the proposal. AMcK and AS both commented on how useful it had been to attend the Casework Committee. AMcK advised that she was keen to have the Minister visit SINI and a letter was with the Department inviting her to go and see the Institute. MC asked TD for an indication as to how long the approval process would take. TD advised that the Department has to discuss the case with DFP to ascertain whether they thought it to be novel or contentious. The Department is of the opinion that it should not be classed as novel or contentious. If DFP agrees, the next step, following Casework Committee approval of the business case, will be for it to be put to the

Minister for consideration of approval. The first step, however, is for SNI to address the Casework Committee queries.

Action SNI

4.3.5 Tollymore NOC Business Case: AMcK advised the meeting that the Business Case was now with the Department. TD confirmed that the Branch and ESU were considering it. TD added that it will eventually have to go to the Minister for consideration of approval. However, DCAL Casework Committee approval is not required as proposed investment is not over £3m. AMcK commented that one of the key issues was displacement caused by TNOC with private sector adventure activity providers. She advised that she has met with a local private sector provider who had raised particular concerns and that she was satisfied with the 'direction of travel' on this issue. MC asked if this was addressed in the Business Case. AMcK confirmed it was.

5. Accountability and Governance

5.1 Governance Review of SNI

5.1.1 MC referred to the CIPFA Review of Sport NI Governance and asked Sport NI to provide the current position on implementation of the CIPFA Report recommendations. AS provided the meeting with an update against CIPFA Recommendations as at March 2014. He advised there were 34 recommendations and the vast majority were implemented and on an ongoing basis. He referred to Recommendation 12, 'review the resource requirements of the Board (and if necessary) discuss with DCAL filling of all vacant Board positions as early as possible' and advised that the appointments have now been made. Therefore, this Recommendation was complete. He referred to Recommendation 30, 'the review of risk management by Internal Audit should include the extent to which managing risk is embedded in the culture of Sport NI as well as its effectiveness 'on the ground'' and advised this was still outstanding, awaiting the new Sport NI Internal Audit provision bedding

in. Once this has happened, this recommendation will be taken forward within the Sport NI Internal Audit Plan.

5.1.2 MC asked if the Sport NI Board reviewed the recommendations and how often. AS stated that the Sport NI ARMC had discussed the recommendations and the Board is aware of this.

5.2 Quarterly Assurance Statement (QAS)

5.2.1 MC referred to the Value for Money Review of Sport NI. AMcK advised that Sport NI has received a draft report subsequent to discussions with the consultants to make agreed changes. The draft report should be put to the Sport NI Board at the end of June. AMcK commented that the findings of the report were generally positive. It was agreed that the Report will be shared with the Department once it has been approved by the Board.

Action: SNI

5.2.2 TD highlighted an error relating to the Sports Institute whereby it was noted it has been 'agreed' that Sport NI will assume full control over the Sports Institute. This should be amended to 'proposed' until the business case has been approved.

5.2.3 MC moved to the Risk Register and asked if there was anything to highlight. AS confirmed the Risk Register had just been updated and there were no new risks. He confirmed it had gone to the ARMC and to the Board. He commented on one thing the Board raised regarding procurement timelines in the public sector. The Board was concerned that delays could be caused by CPD being extremely busy. SNI will consider adding to the Risk Register. AS confirmed that there is nothing to be escalated to the Departmental Risk Register.

- 5.2.4 Moving to 'Governance', MC referred back to the discussion on the CIPFA Sport NI Governance Review and suggested it worth noting the outstanding recommendation in the QAS. AMcK agreed.
- 5.2.5 Commenting on 'Business Planning', MC suggested adding another sentence to explain the 11% of targets not achieved.
- 5.2.6 On 'Financial Planning and Monitoring', TD referred to areas of Exchequer overspend or underspend within Sport NI and stated that these unavoidable variances had been informed to the Department in a timely manner.
- 5.2.7 On 'Economic Appraisal, Post Project Evaluation and Consultancy', TD commented that there have been some delays with PPEs being received from Sport NI. AS added that Sport NI has kept the Department informed when this was the case. MC suggested this should be noted in the QAS.
- 5.2.8 Moving to 'Procurement', MC noted details of Single Tender Actions which were all small scale, however, he noted the box relating to 'All procurement activity undertaken by my organisation has been done so in accordance with appropriate procurement rules and by officers with the necessary delegated purchasing authority' was ticked 'Partly'. AS advised that, as per the previous Accountability meeting, Sport NI is working with CPD on this and is currently waiting on a meeting with them to discuss the issues.
- 5.2.9 Referring to 'Policy Implementation', there was nothing to note.
- 5.2.10 Moving to 'Fraud, Whistleblowing and Bribery Act', there was discussion around notifying the Department immediately where there is any concern/claim of fraud. TD commented that Sport NI has been informing the Department but the relevant forms have only been submitted weeks down the line. It was impressed upon Sport NI to send the forms to the Department as soon as they become aware of a

concern/claim. AS confirmed that Sport NI has adopted this approach and will complete the forms immediately.

5.2.11 MC referred to the allegation of fraud relating to St Paul's ABC. AMcK commented that as Sport NI is working through the Boxing Programme, more of these allegations may be received.

5.2.12 Moving to 'Internal and External Audit Reports', AS advised that the box ticked 'No' with regard to 'internal and external audit reports/letters relating to the organisation have not revealed any significant weaknesses' refers to the 2 Priority 1 recommendations on pension contributions and the All Hours Worked Allowance. AS confirmed these have not yet been implemented which is why the rating is ticked 'No'. Referring to the 42 Internal Audit recommendations, he advised that 31 have been cleared. MC asked for confirmation that there were no Priority 1 recommendations within the 11 outstanding recommendations. AS confirmed that there were none. He also advised that the Sport NI ARMC had reviewed outstanding recommendations and was content there had been progress.

5.2.13 MC referred to the St Colman's Report and asked for an update on the position on implementation of recommendations. AS confirmed that all recommendations had been implemented but that this will be an ongoing process. MC asked, at what point the NIAO would accept the Recommendations as cleared. AS advised that the NIAO will look to the Department to confirm it is content.

5.2.14 With reference to Recommendation 1 in the Report, MC emphasised the importance of quality assurance and appropriate levels for business cases. AS advised that all business cases are now produced in-house by Sport NI rather than using consultants. He also outlined the approval delegations within Sport NI for business cases. MC suggested that Sport NI may wish to look at these to ensure they are appropriate.

5.2.15 Discussion moved to Recommendation 2 of the St Colman's Report (Business Case Approval by Other Funders). AS elaborated on actions Sport NI will take in these circumstances.

5.2.16 Moving on to Recommendation 3 (Changes to Project Specification), AS confirmed that any significant proposed changes to project specifications will be referred to Sport NI's Economics Team. The Department will also be informed immediately if the project is above Sport NI's delegated limit.

5.2.17 Moving on to Recommendation 4 (Consultation and Notification), AS stated the need to keep relevant parties aware of all significant changes.

5.2.18 MC asked for confirmation that the Board was fully apprised of the position regarding the St Colman's Report recommendations. AMcK advised that the ARMC has been fully involved in scrutinising the recommendations.

5.2.19 MC suggested leaving the St Colman's Project off the Agenda in future as all recommendations were implemented.

5.2.20 Under 'Data Management', no issues were raised.

5.2.21 Moving to 'Other Issues', TD stated that Sport NI has been asked to include a specific review of inputs to the Government Funding Database in its Internal Audit Workplan. This has been agreed by Sport NI.

5.3 Risk Register Review

5.3.1 The Risk Register was discussed earlier.

5.4 Audit Recommendations

5.4.1 Audit Recommendations were discussed earlier in the meeting.

5.5 SNI's Internal Audit Plan

5.5.1 MC referred to the Sport NI Business Plan KPIs and asked if the Internal Audit Plan validates achievement against KPIs targets. AS confirmed that there is nothing included at present but that Sport NI will ensure that this area is included in its Internal Audit Plan for 2014/15, which will be produced once an internal auditor is appointed.

5.6 Spend Against Budget

5.6.1 Outturn from last year was covered earlier in the meeting. TD confirmed that Sport NI had informed him of all issues as they had arisen.

5.7 Financial Profile/Forecasting

5.7.1 MC commented on one significant variance in 2013/14 with regard to drawdown against estimate. TD stated that Sport NI had informed him of the reasons for this variance as relating to payments for SINI. MC thanked Sport NI for their continued efforts in conforming to targets.

5.8 2015/16 Budget Exercise

5.8.1 MC advised the meeting that the Department had still not received Sport NI input for the 2015/16 budget planning/cuts exercise. He stated, therefore, that he did not have the evidence to defend the Sport NI budget. It is important that the implications of proposed cuts are stated and robustly evidenced. AMcK advised that Sport NI is taking this exercise very seriously and going through their budget spend in a methodical manner to identify where cuts could come from and the implications of these. AMcK agreed to progress the Budget exercise submission.

Action: SNI

6. Safeguarding/Child Protection

- 6.1 Sport NI provided a log of safeguarding incidents reported to the Department and confirmed that all incidents are being logged and there was nothing further to raise.

7. Any Other Business

7.1 Adventure Activity Licensing

- 7.2.1 A paper on Adventure Activity Licensing was passed to Departmental officials at the meeting. This was discussed earlier in the meeting under Actions.

8. Date/Time/Venue for Next Meeting

- 8.1 AMcK and AS advised that the next Sport NI Board meeting was scheduled for 24 June 2014. MC advised that we would want to align the Accountability meetings with the Board meetings. It was, therefore, agreed that the next Accountability meeting would be held on **3 July 2014 at 9.30 am in Causeway Exchange.**

SPORT NORTHERN IRELAND**CONFIDENTIAL PAPER****SPORT NORTHERN IRELAND – RISK REGISTER****FOR RECOMMENDATION TO THE BOARD****1.0 Introduction**

- 1.1. The current risk register records 8 key corporate risks, none of these are considered high, 4 are considered medium and 4 low.
- 1.2 These are summarised below:

Risk	Current level	Level Previously
Non Achievement of Objectives >10%	8	6
Delivery of Capital projects on time, within budget and to the specified quality	8	8
Inadequate Health and Safety Arrangements	8	8
Poor Athlete Performance due to Non Approval of SINI Business Case	6	9
Ineffective Governance	4	8
Fraud	4	4
Inappropriate Disaster Recovery Procedures	4	4
Poor Information Management	4	4

- 1.3 All agreed actions are being progressed by management.

2.0 Purpose

- 2.1 The purpose of this paper is for members to consider the attached risk register and recommend for approval by the Board.

3.0 Recommendation

- 3.1 It is recommended that Members consider the attached risk register and the arrangements in place for managing identified risks, with a view to recommending the document for approval by the Board.

2.3 All agreed actions are being progressed by management.

3.0 Recommendation

3.1 It is recommended that Members consider the attached risk register and the arrangements in place for managing identified risks, with a view to recommending the document for approval by the Board.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V26
AUTHOR:	A Sloan
DATE:	21/03/14
DATE OF REVIEW BY EXECUTIVE TEAM	25/03/14
DATE OF REVIEW BY AUDIT COMMITTEE	15/04/14
DATE OF REVIEW BY BOARD	29/04/14
NEXT REVIEW DATE	May 2014

Version	Ref	Risk	Risk
26	1	<p>Non Achievement of Business Objectives >10%</p>	<p>Risk</p> <p>Residual risk impact increased from 3 to 4.</p> <p><u>Cause</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Lack of Leadership and tone at top • Ability to attract and retain requisite staff with necessary skills and competencies • Late / delayed approvals by DCAL <p><u>Controls</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Recruitment, selection and retention policies and procedures • Training and development <p><u>Agreed Actions</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • SINI Merger Risk Analysis • Enhancement of technical skills • Training and Development
	2	<p>Delivery of Capital Projects on Time, within Budget and to specified Quality</p>	<p><u>Cause</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Project management capacity (external) • VAT uncertainty <p><u>Controls</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Memorandum of Understanding • Recruitment, selection and retention policies and procedures

		<ul style="list-style-type: none"> • Training and development <p><u>Agreed Actions</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Support service definition and accountability • Enhancement of technical skills
3	Inadequate H&S Arrangement TNOC	<p><u>Cause</u></p> <p>Updates to include:</p> <ul style="list-style-type: none"> • Staff absence • Non communication of policies and procedures <p><u>Controls</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • External assessment by Down DC
4	Poor Athlete Performance due to Non Approval of SINI business case.	<p><u>Controls</u></p> <ul style="list-style-type: none"> • Update to include Dialogue between stakeholders and legal advice sought. • Updated to include strategy for SINI merger.
5	Ineffective Governance	<p><u>Causes</u></p> <p>Updated to included poor management of SINI merger.</p> <p><u>Agreed Actions</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Finalisation of VFM Review

6	<p>Inappropriate Disaster Recovery Systems</p>	<p><u>Agreed Actions</u></p> <p>Updated to include:</p> <ul style="list-style-type: none"> • Revisions to BCP to accommodate SINI which will be fully controlled by SNI by from the first quarter of 2014/15.
7	<p>Poor Information Management</p>	<p><u>Cause</u></p> <ul style="list-style-type: none"> • Updated to reflect migration of SINI data. <p><u>Agreed Actions</u></p> <p>Updated:</p> <ul style="list-style-type: none"> • <i>New Action</i> – Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. • <i>Now current control as agreed action implemented</i> - IS Policy and Procedures to be updated. • <i>Now current control as agreed action implemented</i> - Manual records to be encompassed within BCP. • <i>Now current control as agreed action implemented</i> - IS risk Assessment to be undertaken. • <i>Now current control as agreed action implemented</i> - Access controls to be implemented over all portable devices. • <i>Action Delayed</i> – disposal of redundant data it had been intended that this would be delivered on by March 2014. This has been delayed and a new date of May 2014, scheduled for disposal of data.

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and the Executive Team will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Antoinette McKeown

Chief Executive

September 2013

Table 1: Risk Scoring Matrix

Likelihood	Low	Low-Medium	Medium	Medium-High	High
High 5	1	2	3	4	5
Medium-High 4	5	10	15	20	25
Medium 3	4	8	12	16	20
Low-Medium 2	3	6	9	12	15
Low 1	2	4	6	8	10
	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Officer(s) Responsible for Business Area	Current/Residual level	Risk Level Previously	Further Actions	Action Owner(s)	Corp Objectives Impacted	Risk Response
Medium Level Risks							
1. Non Achievement of Objectives >10%	Programme Managers	8	6	✓	Executive Team	<ul style="list-style-type: none"> All 	Treat
2. Delivery of Capital projects on time, within budget and to the specified quality	Participation and Places Finance Manager	8	8	✓	HR Manager PPR / IAT Managers	<ul style="list-style-type: none"> Active People Quality Facilities Successful Athletes Enabled Partners A Trusted and Effective Leader 	Treat
3. Inadequate Health and Safety Arrangements	TNOC Centre Manager (TNOC)	8	8	✓	HR Manager	<ul style="list-style-type: none"> All 	Treat
4. Poor Athlete Performance due to Non Approval of SINI Business Case	Board / Chief Executive	6	9	✓	Executive Team	<ul style="list-style-type: none"> All 	Treat
Low Level Risks							
5. Ineffective Governance	Executive Team	4	8	✓	Director of Sport Management Services Executive Team	<ul style="list-style-type: none"> All 	Treat
6. Fraud	Executive Team	4	4	✓	Director of Sport Management Services	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat
7. Inappropriate Disaster Recovery Procedures	Executive Team	4	4	✓	IS Manager	<ul style="list-style-type: none"> All 	Treat
8. Poor Information Management	Executive Team	4	4	✓	IS Manager	<ul style="list-style-type: none"> A Trusted and Effective Leader 	Treat

**The hazards presented are those which if they occurred or were present within a system would or could adversely affect Sport Northern Ireland.*

Medium Risk

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
1	<p>Non Achievement of Business Objectives</p> <p>>10%</p>	<p>Cause:</p> <p>SNI is committed to deliver on a number of objectives and KPI's as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> Lack of leadership and tone at top Performance of and relationships with key partners Ability to attract and retain requisite staff with necessary skills and competencies Absence of necessary financial resources Late / delayed approvals by DCAL Poor management of SNI merger Potential change of Government priorities Use of private sector contracts Appropriate budgets Availability of appropriate staff Strong internal processes Insolvency of grant recipients or contractors <p>Impact:</p> <ul style="list-style-type: none"> Non delivery of SNI /DCAL objectives within the Strategy for Sport Non delivery of corporate and business plans Reputation damage 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> SNI Business Plan / Budgets Business Appraisal Processes Delegated Authority Policy Board and Sub Committees QAS to Board for review & cmmt Review by Exec Team / Board <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Risk Management Framework QAS to Board for review & cmmt Review by Exec Team / Board Governance Audits Pre-Appt Checks Contractors Finance / Compliance Checks Capacity Building Governing Body KPI's Implementation of Best Practice P/Ship working and monitoring e.g. SMIG and other fora Approval Processes Legal Assistance Section 75 Screening In-House Specialists Desist low priority work Training and development (technical updates) Recruitment, selection and retention policies and procedures 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> SINI Merger Risk Analysis The migration of SINI to SNI will provide for enhanced flexibility and control over the contribution made by the Institute to the wider Government objectives in relation sporting performance. Central to making this happen will be effective management of the migration process and subsequent changes. The Executive Team will be undertaking an analysis of the risks to objectives that may occur as a result of this merger. Enhancement of Technical Skills Ongoing training of key technical staff. 	Apr 2014	Executive Team	3	2

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
2	Delivery of Capital Projects on Time, within Budget and to specified Quality	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Underperformance of projects. Possible drivers include: <ul style="list-style-type: none"> Applicant capacity Late approval by DCAL Technical knowledge surpassed by market / field developments Site conditions Project management capacity (external) Partnership funding Adverse weather Failure to Secure Planning Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls VAT uncertainty <p><u>Impact:</u></p> <ul style="list-style-type: none"> Risk to project deliverables Closure of project Financial pressures in next accounting period Loss of resources Reputational damage PAC hearing Punitive action / sanctions 	4	4	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Project budgets Funding Terms and Conditions Project Officer Project Monitoring Funding and management P&Ps Revised Anti-Fraud Policy Revised Delegated Decisions Policy Procedure enhancements made Updated Investment Policies Memorandum of Understanding for large multi-funded projects Project execution plans for larger projects <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Budget / Project Monitoring Potential to use Lottery funding Project management reqmts Formal sign off by project funders for projects over £0.5m Business case addendums PRINCE2 accredited staff Lessons learned training Training and Development (technical updates) Recruitment, selection and retention policies and procedures 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Support Service Definition and Accountability - Establishment of Terms of Reference for Investment Assurance Team and Policy, Planning and Research Team in which information requirements, time-lines, roles and responsibilities are clearly defined. Enhancement of Technical Skills Ongoing training of key technical staff. 	May 2014	PPR / IAT Managers	4	1

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
					<u>Detective Controls</u> <ul style="list-style-type: none"> Technical Inspections Project Budgets Budget Monitoring Strict application of PMRs Project monitoring/ PPE Internal Audit Lessons Learned <u>Corrective Controls</u> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding terms and conditions 							
3	Inadequate Health and Safety Arrgts TNOC Affected Parties: <ul style="list-style-type: none"> Staff Visitors Customers (adventure activities) 	Cause: <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies Staff Absence Non communication of key policies and procedures by staff Impact: <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence Staff Absence 	4	5	<u>Directive Controls</u> <ul style="list-style-type: none"> H&S P&Ps/ Risk Assessments Staff Meetings Training (recently as March 2014) Adventure Mark Work Programmes stipulate H&S responsibilities <u>Preventative Controls</u> <ul style="list-style-type: none"> H&S Risk Assessments Skilled, Trained Qualified Staff Continued Professional Devlpt Equipment Standards Personal Protective Equipment <u>Detective Controls</u> <ul style="list-style-type: none"> Equipment / Premises Checks External assessment by Down DC <u>Corrective Controls</u> <ul style="list-style-type: none"> Contingency Procedures e.g. Mountain Rescue. 	4	2	Treat Risk 1. Policies and Procedures – review and updating off, including clearer definition of roles and responsibilities between staff at HoS and TNOC 2. Records Management - Transfer of all training records held at TNOC to HoS. Records to be subject to periodic review.	May 2014	HR Manager	3	2

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
4	Poor Athlete Performance due to Non Approval of SINI Business Case	<p><u>Cause</u></p> <ul style="list-style-type: none"> Delays in time taken to approve business case. Poorly management change process <p><u>Impact</u></p> <ul style="list-style-type: none"> Disruption to athlete programme impacting preparations for major games including the 2014 Commonwealth Games and Olympics in 2016. Key staff leave due to uncertainty. Inability to pay staff and suppliers post 1 April 2014. Non achievement of some objectives 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Agreed approach in place for developing, reviewing and submitting Business Plans Regular reporting to SNI Board Legal advice Strategy for SINI Merger <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Consultation with staff and Board Dialogue between stakeholders Timetable established Internal Working Group reviewed business case Review of Business Case by UK Sport prior submission to DCAL 	3	2	<p>Treat Risk</p> <p>1. Change Management Process – plan development to direct changes and management the risks associated with the transition.</p>	On-going	Exec Team	3	1
5	Ineffective Governance	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Inadequate controls Poor culture / tone at the top Non-compliance / Legislative breaches Poor management of risk Lack of strategic oversight by Board Contingencies <p><u>Impact:</u></p> <ul style="list-style-type: none"> Reduction in scope of business by SNI Reputational Damage Sanctions by DCAL Funding Restrictions Closer monitoring by DCAL as a result of risk rating 	3	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> SNI Business Plan / Budgets MSFM / Policies and Procedures Managing Public Money Guidance Business Appraisal Processes Board and Sub Committees QAS to Board for review & cmmt Procurement Strat / Contract Reg Lessons learned report <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Risk Management Framework QAS to Board for review & cmmt Review by Exec Team / Board Governance Audits of GBs Pre-Appt Checks Contractors 	2	2	<p>Treat Risk</p> <p>1. Value for Money Review – Address recommendations from review once report has been finalised and approved by Board.</p> <p>2. Ring-fenced Projects - Greater clarity of respective roles and lines of authority for additional ring fenced projects requested by DCAL.</p>	May 2014 May 2014	Director of Sport Mgt Services Exec Team	2	1

Low Level Risks

No	Hazard	Risk Description	Inherent Risk			Current Controls			Residual Risk			Agreed Actions			Date			Officer			Treated Risk		
			I	L	L	I	L	L	I	L	L	I	L	I	L	I	L	I	L	I	L		
6	Fraud	<p><u>Cause:</u> Fraud – this is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	100's Lost	2	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training Fraud Risk Assessments Lessons learned report <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training Grant Mgt Team Procedures <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS /GFD 	100's Lost	2	2	<p>Treat Risk</p> <p>1. Training – On-going fraud training to staff. Treated risk unchanged – no new actions.</p>	Ongoing	PPR / IAT Mgrs	100's Lost	2	2	100's Lost	2	2	100's Lost	2	2		
7	Inappropriate Disaster Recovery Systems	<p><u>Cause:</u> Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI.</p> <p><u>Impact:</u></p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	5	5	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan / Testing TNOC – 'warm site' Training to TNOC Staff Procedures updated <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative / Detective Controls</u></p> <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S Risk Assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – Ups 	5	5	<p>Treat Risk</p> <ul style="list-style-type: none"> Update BCP BCP to be revised to accommodate SINI. Testing On-going testing of SNI Business Continuity Plan. 	Jun 2014 On-going	IS Manager IS Manager	5	5	5	5	5	5	5	5	5	5		

No	Hazard	Risk Description	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
			I	L		I	L				I	L
8	Poor Information Management	<p><u>Cause:</u></p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols Poor management over migration of SINI Data and data systems <p><u>Impact:</u></p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> IS Policy and Strategy (updated) Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures IS Risk Assessment <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of data extraction Portable device access controls <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data Audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Data Disposal – Formal disposal of identified redundant data. SINI Data Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. 	<p>Jun2014</p> <p>May 2014</p>	<p>IS Manager</p> <p>IS Manager</p>	3	1

Weighting Rationale

Risk	Inherent	Residual	Treated
Non Achievement of Objectives >10%	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention	Material Impact on performance and business deliverables	Some impact on performance and business deliverables
Delivery of capital projects on time, within budget and to the specified quality	Significant impact on external customers and stakeholders (Ministers etc) Failure of key objective(s) Significant impact on external customers and stakeholders Significant public embarrassment / National media coverage NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders (Ministers etc) Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Potential impact on external customers and stakeholders (Ministers etc) Potential media attention Failure of some objective(s) Potential minor impact on external customers and stakeholders
Inadequate Health and Safety Arrangements	Significant public embarrassment Business Disruption Personal damages Litigation - £100,0000	Public embarrassment Litigation - £10,0000	Public embarrassment Litigation - £1,000
Poor Athlete Performance due to Non Approval of SINJ Business	Failure of key objective(s) Significant impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Ineffective Governance	Failure of key objective(s) Significant impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism Sanctions	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism	Failure of key objective(s) Material impact on external customers and stakeholders (Ministers etc) Media attention NIAO criticism
Fraud	Financial Loss £100,000s Negative media coverage	Financial Loss £1,000s Negative media coverage	Financial Loss £1,000s Negative media coverage
Inappropriate Disaster Recovery Procedures	Failure of key support services Media coverage	Negligible impact on support services	Negligible impact on support services
Poor Information Management	Significant public embarrassment Business Disruption	Public embarrassment Business Disruption	Public embarrassment Business Disruption

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

**MONITORING MEETING - DCAL AND SPORT NI
9.30 AM ON 15 AUGUST 2014
VENUE – CAUSEWAY EXCHANGE**

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (8 May 2014)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2014/15**
 - 4.2 Major Projects and Programmes**
 - **Sports Matters**
 - **Boxing Strategy**
 - **Together Building a United Community (TBUC)**
 - **SINI and Tollymore Business Cases**
- 5. Accountability and Governance**
 - 5.1 ALB Review Recommendations**
 - 5.2 Risk Register Review**
 - 5.3 Audit Recommendations**
 - 5.4 Budget Exercises 2014/15 and 2015/16**
 - 5.5 Spend against Budget**
 - 5.6 Financial Profile/Forecasting**
- 6. Safeguarding/Child Protection**
- 7. Any Other Business**
 - 7.1 Parliamentary Question: UK Sports Major Events Co-ordination Group**
- 8. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI MONITORING MEETING
FRIDAY 15 AUGUST 2014 AT 10.30 AM
CAUSEWAY EXCHANGE**

Present: Mick Cory (MC) (Chair)
Clare Doyle (CD)
Tim Duff (TD)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 MC opened the meeting. There were no apologies.

2.0 Minutes from Meeting held on 8 May 2014

2.1 The minutes of the previous meeting held on 8 May 2014 were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

5.1.12 Ongoing – MC referred to the 2 outstanding Priority 1 Audit Recommendations regarding the All Hours Worked Allowance (AHWA) and Pension Provision. SNI had advised the Department, in advance of the meeting, that SNI now has Senior Counsel's opinion and is considering the options. SNI will inform when it has reached a conclusion following consideration of legal advice.

Action: SNI

5.1.2 Complete – Reference was made to a letter issued by Cynthia Smith on 31 July 2014 regarding the introduction of a Biannual Assurance Statement. AMcK advised the meeting that

she is of the understanding that SNI's Chair is content to sign off the new Statement.

7.2.1 AMcK referred to a draft paper on Adventure Activity Licensing, which SNI provided at the previous Accountability meeting. She went on to advise that she has since met with John Treacy, Chief Executive of the Irish Sports Council, on this matter with the view to possible all-island regulation. AMcK added that she is SNI's representative on a working group and that John Treacy had raised consideration of licensing/regulation on an all-Ireland basis. MC stated that DCAL would need to discuss with counterparts in DAST if this route is being considered. MC stressed the difficulties of introducing new legislation before the end of the current Assembly.

5.2.1 Ongoing. SNI was to share a copy of the Value for Money (VFM) Report with the Department, however, MC advised the meeting that the Department is still waiting for this. AMcK and MC agreed to discuss this, after the meeting. (The Report was provided after the meeting.)

Action: SNI

5.8.1 Ongoing. A submission from SNI regarding the 2015/16 Budget Exercise is still outstanding. It was agreed to discuss the exercise later in the meeting.

Action: SNI

4.0 Business Performance Review

4.1 Business Plan & KPIs 2014/15

4.1.1 AS referred to the Quarter 1 Review of the 2014/15 Business Plan and to the 19 KPIs, of which 6 are strategic and 13 are corporate. AS advised the meeting that the only KPI to flag up, which is red at the

moment, was that relating to the number of primary schools hosting the '5-Star Challenge' in partnership with Disability Sport NI (DSNI). This KPI was subject to the outcome of a bid in the June Monitoring. MC advised the meeting that this bid is likely to be met, but that confirmation is subject to the Minister's approval. AMcK referred to a meeting with DSNI on 14 August 2014 and stated that she would provide an update under AOB.

4.2 Major Projects and Programmes

4.2.1 Sport Matters: MC referred to the review of Sport Matters and advised the meeting that the consultation document has been prepared but has not issued yet.

4.2.2 Boxing Strategy: TD referred to a meeting the Minister had held with the IABA on 10 March 2014. TD advised the meeting that the various points shared with SNI following this meeting included a requirement for SNI to contact the IABA to explore what funding may be available to help the governing body address some of the issues, including the governance structures. AMcK advised that she and other SNI representatives were scheduled to meet with Fergal Carruth, CEO of IABA and stated that there are governance issues which need to be addressed in the IABA and that SNI is already assisting through the appointment of a Development Manager to the organisation.

MC asked SNI to share with the Department the note of their forthcoming meeting with the IABA, so that briefing can be provided to the Minister.

Action: SNI

4.2.3 Together: Building a United Community: MC referred to the next Programme Board meeting scheduled for Tuesday 19 August 2014 and commented that he hoped, by then, there would be more clarity with regard to the Programme. He stated, however, that there were

outstanding issues to be resolved, the major one being that we are still waiting on OFMdfM agreement on the DCAL programme with a Ministerial decision needed to undertake the Programme. MC went on to discuss the budget for the programme and the issue of funding. He stated that £250k had been secured in June Monitoring, subject to the Minister's approval. AMcK stated that £250k spend between October and March would be difficult to achieve.

CD referred to a meeting which was scheduled for Monday 18 August, with SNI, at which there would be discussion on refining the TBUC programme. It was agreed that it was crucial to get early clarification on the way forward and in particular, on DCAL and SNI interventions.

4.2.4 SINI Business Case: MC listed the conditions on which approval of the SINI business case had been given by the Department and asked SNI to provide an update on progress with regard to these. AMcK and AS provided the meeting with an update on progress on meeting these conditions. MC asked that this be kept on the agenda for forthcoming Accountability meetings, so that progress can be monitored.

4.2.5 Tollymore NOC Business Case: MC sought clarification on the position with the business case. TD advised the meeting that comments were back with Sport NI and a response is awaited. MC asked for clarification with regard to costs. AS advised the breakdown was £700k per annum over a 4-year period which totalled just under £3m. MC impressed upon Sport NI to respond to the DCAL queries as soon as possible, clarifying the Departmental and DFP approval limits involved.

5. Accountability and Governance

5.1 ALB Review Recommendations

5.1.1 MC referred to the recommendations from the ALB Review of SNI and asked SNI for an updated position.

5.1.2 With regard to the one outstanding recommendation from SNI, which referred to the need for a review of risk management in the organisation, AS stated that the new system of Internal Audit in SNI needs to be embedded before such a review can take place.

5.1.3 With regard to the Value for Money Review, AMcK and MC agreed to discuss after the meeting.

5.1.4 With regard to SNI developing its relationship with Local Government, AMcK outlined the actions SNI has taken to work with Councils and the new Local Government structures.

5.2 Risk Register Review

5.2.1 MC asked SNI if there was anything to highlight within the Risk Register. AS advised that SNI had included 'Service Space (SINI)' and 'Budget cuts' but there was nothing to be escalated to the Department's Plan. AMcK asked if she could flag up that there will be a point when SNI needs to invest a substantial amount of money in IT as there had been a number of unforeseen incidents, together with a virus which had caused a number of problems and the servers will, at some point, require serious work which may be the subject of an in-year bid. AS added that initially a review of IT systems would need to be carried out, which would entail a revenue cost. TD suggested a bid could be submitted in the next monitoring round to take this forward. MC suggested that SNI may wish to seek assistance from within the NICS on the issue of its IT systems.

5.2.2 MC advised that the outcome of June Monitoring being known, SNI would need to revisit ratings for items where risk of budget not being secured was the issue.

5.3 Audit Recommendations

5.3.1 MC referred to the External and Internal Audit Recommendations. AS advised there is one outstanding internal audit recommendation with regard to the Government Funding Database, which cannot be addressed due to current lack of functionality within the Database. MC queried how this could be accepted as a recommendation considering that it was currently impossible to implement. AS advised the recommendation was qualified that when the Database has the required functionality, SNI will implement. MC suggested that SNI may wish to contact DSD seeking progress on the required functionality being provided.

5.4 Budget Exercises 2014/15 and 2015/16

5.4.1 MC referred to the detail still awaited from Sport NI with regard to the 2014/15 potential savings exercise. This was to be with the Department by Friday 22 August 2014. AMcK advised that they will finalise week commencing 18 August and will look at what a 4.4% and a 5% cut will look like on the back of the work of their senior management team and managers. MC advised lines to take with regard to cuts should be developed. AMcK advised that this will be part of the discussion she will have with her senior management team.

5.4.2 MC referred to the various bids in the June monitoring round and provided a read-out of what was successful and what was not.

5.4.3 AMcK referred to the forthcoming SNI lottery capital programme and advised the meeting that Sport NI is taking a strategic approach and will be looking to provide 4 high-quality elite facilities at community level. It is no longer envisaged that the programme will include a separate strand for community club facilities, which would be open to applications. MC stated that SNI needs to inform the Minister of this change of direction with regard to the programme and get her acceptance of this before it is approved by the SNI Board. TD referred

to the expectations within sports clubs of a funding opportunity through the forthcoming programme, which now will not be met.

- 5.4.4 MC referred to the 2015/16 budget exercise and stated that the process for it is not yet clear. However, it is likely that substantial cuts will be required; perhaps as much as 10%.

5.5 Spend Against Budget

- 5.5.1 AS advised there was no potential for underspend this year. TD discussed current overspend against capital budget and informed the meeting that this was due to commitments with regard to the North Coast Sports Village (NCSV) and Colaiste Feirste projects, where SNI had been told to proceed on the basis that budget would be secured in 2014/15. This budget cover has yet to be secured; it is likely to be confirmed for Colaiste Feirste in June monitoring but only a partial amount secured for NCSV.

5.6 Financial Profile/Forecasting

- 5.6.1 MC advised the meeting that the Department takes a close interest in profiling and in particular, is concerned where drawdown exceeds the 10% variance. He, therefore, stated the Department's concern regarding significant variance so far for SNI drawdowns. AS commented that the move to monthly drawdown should help to make cash requirement easier to predict accurately.

6. Safeguarding/Child Protection

- 6.1 MC referred to the delay in SNI reporting incidents to the Department. Immediate reporting of incidents is vital in order that the Minister can be briefed. AMcK confirmed the point was taken.

7. Any Other Business

7.1 Parliamentary Question: UK Sports Major Events Co-ordination Group

7.1.1 MC raised the issue of a recent Parliamentary Question and the Answer provided. AMcK commented that this ties in with discussions on sporting events which SNI has had with NITB. NITB has set up a bidding group, which includes SNI, ACNI, Belfast City Council and Derry City Council. MC stated that the Minister needs to agree the approach with regard to events.

7.1.2 Referring back to the Parliamentary Question, MC asked if anyone had spoken to Sport NI about it as the answer had not been cleared by the Department. AMcK stated that there had been no contact with SNI regarding this question.

7.2 Disability Sport

7.2.1 AMcK highlighted concerns regarding Disability Sport and its recent rapid expansion. SNI had advised DSNI that it should be concentrated on consolidating its existing activities but that this advice was not followed. DSNI is now demanding £300k per year from SNI. AMcK went on to say that DSNI appears to believe that SNI is responsible for its finances, a view that SNI does not agree with. She added that SNI will be writing to DSNI and will copy DCAL into this.

Action: SNI

7.2.2 TD added that a meeting had been facilitated for DSNI to present proposals to representatives of relevant Departments but there appeared to be no appetite amongst other Departments to contribute to funding DSNI. He added that the Minister has written to other Ministers, who have indicated that they are content for officials to discuss.

7.3 Motorcycling Risk

7.3.1 AS referred to a serious incident which had happened at the Dundrod Grand Prix. He stated that, although the motorsport governing body has a Code of Practice with regard to safety, there are questions as to whether it is being implemented. AMcK advised that she has asked for a report on the level of implementation and that SNI is monitoring the situation very closely. She and the Chief Executive of the Irish Sports Council will be meeting with the governing body to discuss the issues.

7.4 Data Liaison

7.4.1 MC commented on there being some slippage in the return of data liaison requests and highlighted the importance of this entering into another Assembly session. He asked Sport NI to ensure appropriate systems for responding to data requests are in place and that requests are prioritised accordingly. TD referred to a spreadsheet maintained by the Department, for our own purposes, which recorded statistics relating to requests, due date for return, date of actual return and overdue returns and that this had been shared with Sport NI in the hope they might find it useful. CD added that the Department does recognise there are, on occasion, tight deadlines.

8. Date/Time/Venue for Next Meeting

8.1 MC relayed the following dates proposed for the remainder of the 2014/15 series of Accountability meetings:

7 November at House of Sport;

6 February at Causeway Exchange; and

16 April at House of Sport

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V27
AUTHOR:	L Brown
DATE:	4 August 2014
NEXT REVIEW DATE	September 2014

Risk Management Statement

- 1.1 The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers our commitment to manage those events that could impact on service delivery.
- 1.2 While risk management in the main is about mitigating the impact of adverse events, Sport Northern Ireland recognises that effective risk management also encompasses opportunity or upside risk. That is harnessing the benefits of those things that if they materialised would be good for the organisation and its stakeholders.
- 1.3 Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Risk is an inherent part of Sport Northern Ireland's environment and our risk management framework functions to assist growth and ensure that our actions support our vision.
- 1.4 Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. It will serve to foster a more flexible environment that will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk and opportunity plays a key role in the delivery of our services.
- 1.5 We will involve and empower all our staff in the identification and management of both risk and opportunity with the system given proper visibility across Sport Northern Ireland activities. It is the Board that has ultimate responsibility for the effectiveness of Sport Northern Ireland's risk management system. Assisting the Board in the discharge of its responsibilities is the Executive Team who will receive regular reports on risk including recommendations for system improvements. Our system of risk management will be driven by all staff and Members who will in turn provide the driving force to deliver our Vision.
- 1.6 Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

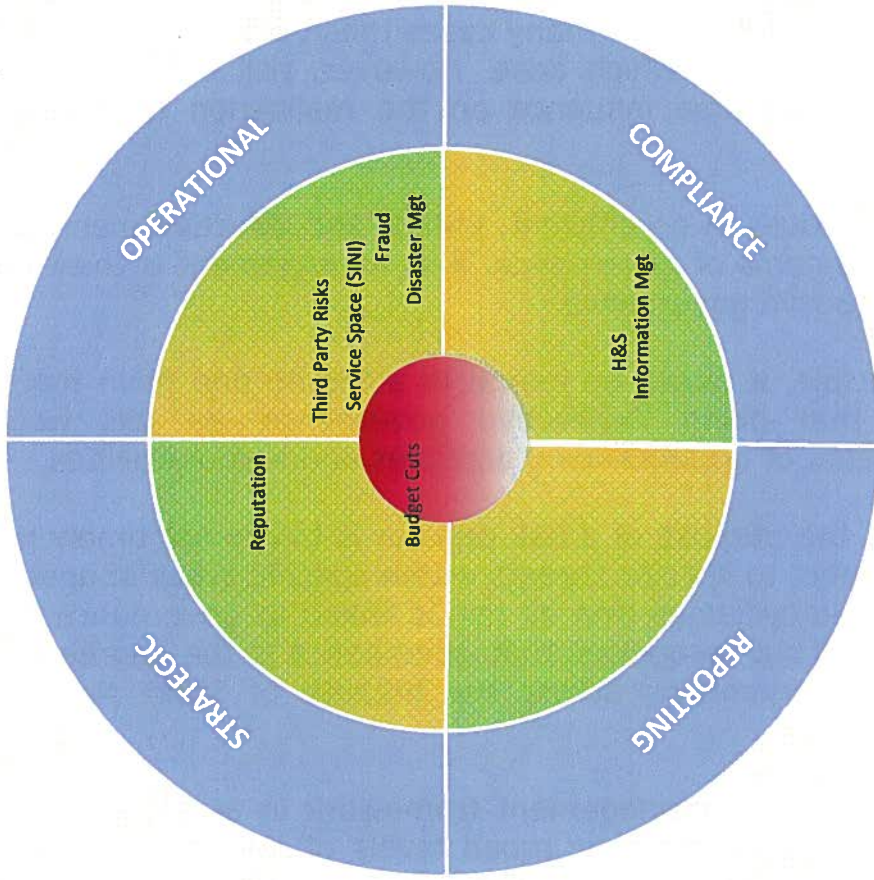
Antoinette McKeown
Chief Executive

July 2014

Setting the Context

- 2.1 Risk is 'The possibility of an event occurring that will have an impact on the achievement of objectives' (IIA UK). In short risk is uncertainty that matters.
- 2.2 Risk however is a fact of life. Any activity undertaken by Sport Northern Ireland, involves a degree of risk. In many cases these risks may be worth taking because of the benefits which arise. However, risk if not properly managed can have an adverse influence on the realisation of strategic priorities.
- 2.3 The realisation of objectives in an efficient, ethical and effective manner is dependent of sound systems of governance. Risk management is therefore the cornerstone of effective governance.
- 2.4 In applying this principle, it would be logical to attribute one main risk to each organisation, that being 'ineffective governance' as this would encompass the full remit of organisational activities and responsibilities.
- 2.5 Notwithstanding this, the purpose of a risk register is to prompt timely and targeted action in respect to specific threats within specific areas at specific times. This register acknowledges that all risk is linked to governance to a greater or lesser extent but recognises that governance is the aggregation of all activities and interventions across the breadth of Sport Northern Ireland.
- 2.6 Sport Northern Ireland's risk management framework in accordance with recognised risk models considers four broad levels of business activities, those being Strategic, Operational, Reporting and Compliance. These are denoted with the risk register. Mindful that risk evaluation and intervention must be specific and targeted; these levels are further subcategorised within the register.

Risk Heat Map



Strategic Risk Covers governance related issues, strategic business objectives not being met, a wrong or incorrect business model, external forces etc.

Operational Risk Operational risk may be due to weak controls in business processes, financial risk, project management failures etc.

Reporting Risk Covers financial reporting risk, information technology disclosures, reputation, intellectual property etc.

Compliance Risk Compliance risk primarily focuses on non-compliance with legislative and best practice requirements.

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
STRATEGIC RISKS										
1. Non Achievement of Objectives due to Budget Cuts										
<p>Cause:</p> <ul style="list-style-type: none"> Government spending cuts / efficiency drive <p>Impact:</p> <ul style="list-style-type: none"> Prioritisation of objectives Non delivery against some objectives Disengagement by key stakeholders – L/T impact 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Budgets – re-profiling (financial controls) <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework 	4	5	<p>Treat Risk</p> <ol style="list-style-type: none"> Re-profiling - Assess impact of envisaged costs and re-profiling of budgets accordingly Priority rationalisation - disengage from lower priority work and minimise admin costs. 	September 2014	Executive Team	3	5
2. Reputational Damage										
<p>Cause:</p> <ul style="list-style-type: none"> Inadequate controls Ineffective use/deployment of resources Poor culture / leadership Non-compliance / legislative breaches Poor management of risk Lack of materialising <p>Impact:</p> <ul style="list-style-type: none"> Reduction in scope of business by SNI Reputational damage Sanctions by DCAL Limitations of risk taking by SNI Funding restrictions Closer monitoring by DCAL as a result of risk rating 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Governance directives Policies and procedures QAS to Board for review & cmmt Formal management frameworks, e.g. risk management and project management frameworks. <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework QAS to Board for review & cmmt Review and oversight by Exec Team / Board Governance audits Pre-Appnt checks contractors 	2	1	<p>Accept and Monitor Risk</p>			2	1

Cause and Consequence Analysis		Inherent Risk		Current Controls		Residual Risk		Agreed Actions		Date		Officer		Treated Risk			
		I	L			I	L					I	L				
OPERATIONAL RISKS																	
3. Third Party Risks																	
Cause: <ul style="list-style-type: none"> Capacity of third parties Approval lead times Technical knowledge surpassed by market / field developments Site conditions / weather Project management capacity (external) Changes to partnership funding Failure to secure planning Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls VAT uncertainty 		4		Directive Controls <ul style="list-style-type: none"> Funding T&Cs Project budgets Funding and management P&Ps Governance directives Budgets Project management framework Policies and procedures Collaborative working argnts 		4		Treat Risk <ol style="list-style-type: none"> Enhancement of Technical Skills Ongoing training of key technical staff. Supplier Security Arrgts These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contact and how to close access once the contract is terminated. Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation. 		Ongoing		HR Manager		4		1	
Impact: <ul style="list-style-type: none"> Risk to strategic deliverables Closure of project Financial pressures in next accounting period Loss of resources Reputational damage PAC hearing Punitive action 		4		Preventative Controls <ul style="list-style-type: none"> Potential to use Lottery funding Skilled, experienced and accredited staff Training and development (technical updates), CPD Recruitment, selection and retention policies and procedures 		4		Detective Controls <ul style="list-style-type: none"> Technical inspections Budget controls Internal audit 		Ongoing		Executive Team		4		1	
				Corrective Controls <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding T&Cs 													

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
4. Fraud Risk – (Financial)										
<p>Cause:</p> <ul style="list-style-type: none"> • Opportunity • Motive (intent). <p>Impact:</p> <ul style="list-style-type: none"> • Loss of Resources. • Reputational Damage • Punitive action / Sanctions • Over control 	5	4	<p>Directive Controls</p> <ul style="list-style-type: none"> • Policies and procedures • Fraud risk assessments <p>Preventative Controls</p> <ul style="list-style-type: none"> • Skilled, experienced, accredited staff • Staff training, development and CPD • Government Funding Database • Fraud training <p>Defective Controls</p> <ul style="list-style-type: none"> • Internal / External Audit • DARD CIS 	3	1	<p>Treat Risk</p> <ol style="list-style-type: none"> 1. Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	Ongoing	Gov Mgr	3	1
5. Service Space (SINI)										
<p>Cause:</p> <ul style="list-style-type: none"> • Shared facilities with UUU • Expanding operations • Large equipment <p>Impact:</p> <ul style="list-style-type: none"> • Limited service flexibility • Limited privacy • Minor safety implications • Reputational damage 	4	3	<p>Directive Controls</p> <ul style="list-style-type: none"> • Facilities Agreement with Ulster. <p>Preventative Controls</p> <ul style="list-style-type: none"> • Regular meetings with Head of Sports Services at Ulster to discuss facilities issues and to maintain the working relationship of the shared spaces. 	3	3	<ol style="list-style-type: none"> 1. Additional physio space - SINI has identified a space that it would like to refurbish for physio use. 2. Replace large window in main physio area with a door - SINI has provided Ulster with drawings of the proposal and awaits a decision from Ulster. Work to progress as soon as this is approved. 	September 2014 September 2014	Director of Performance Sport Director of Performance Sport	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
6. Disaster / Contingency Recovery – (Efficiency)										
<p>Cause:</p> <ul style="list-style-type: none"> External event, e.g. weather Internal event, e.g. fire, equipment damage <p>Impact:</p> <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 	4 5		<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Business Continuity Plan and testing of plan <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Alarms and maintenance checks <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Legislative assessments <p><u>Corrective Controls</u></p> <ul style="list-style-type: none"> Data back – ups 	4 1		<p>Treat Risk</p> <ul style="list-style-type: none"> Update BCP BCP to be revised to accommodate SINI. Testing On-going testing of SINI Business Continuity Plan. 	<p>Sep 2014</p> <p>On-going</p>	<p>IS Manager</p> <p>IS Manager</p>	3 1	
	COMPLIANCE									
7. Information Management (Statutory Compliance)										
<p>Cause:</p> <ul style="list-style-type: none"> Lack of appropriate information system security Non adherence by staff and /or others with information protocols Poor management over migration of SINI Data and associated data systems <p>Impact:</p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime against SINI 	4 5		<p><u>Directive Controls</u></p> <ul style="list-style-type: none"> Information management framework encompassing, retention and disposal procedures and IS risk assessments <p><u>Preventative Controls</u></p> <ul style="list-style-type: none"> Skilled and dedicated IS resources Information management framework incl. preventative safeguards <p><u>Detective Controls</u></p> <ul style="list-style-type: none"> Data audits 	4 1		<p>Treat Risk</p> <ol style="list-style-type: none"> Data Disposal – Formal disposal of identified redundant data. SINI Data Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. 	<p>Sep 2014</p> <p>Sep 2014</p>	<p>IS Manager</p> <p>IS Manager</p>	3 1	

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
8. Health and Safety (TNOC – Activity Based)										
<p>Cause:</p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies Staff absence Non communication of key policies and procedures by staff Outdoor activities <p>Impact:</p> <ul style="list-style-type: none"> Injury / fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources Staff absence 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> TNOC Safety management framework Policies and procedures Health and safety framework Weekly staff activity meetings <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments Skilled, experienced and accredited staff Centralised H&S records at HoS <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / premises checks External assessment by local authority /Adventure Mark <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures 	4	1	Accept and Monitor Risk			4	1

APPENDIX 1

Weighting Rationale

Risk	Inherent	Residual	Treated
Budget Cuts	<p>Non achievement of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>Media attention</p> <p>> £1m lost over next 3 years</p>	<p>Non achievement of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>Media attention</p> <p>> £1m lost over next 3 years</p>	<p>Non achievement of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>Media attention</p> <p>> £1m lost over next 3 years</p>
Third Party Risks	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders</p> <p>Significant public embarrassment / National media coverage</p> <p>NIAO criticism</p>	<p>Failure of key objective(s)</p> <p>Potential impact on external customers and stakeholders (Ministers etc)</p> <p>Potential public embarrassment / National media coverage</p> <p>NIAO criticism</p>	<p>Failure of some objective(s)</p> <p>Potential minor impact on external customers and stakeholders</p>
Inadequate Health and Safety Arrangements	<p>Significant public embarrassment</p> <p>Business Disruption</p> <p>Personal damages</p> <p>Litigation – £100,000</p>	<p>Potential minor impact on external customers and stakeholders</p> <p>Litigation but less than £10,000</p>	<p>Potential minor impact on external customers and stakeholders</p> <p>Litigation but less than £10,000</p>
Reputation	<p>Failure of key objective(s)</p> <p>Significant impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism / sanctions</p> <p>Financial Loss £100,000s</p> <p>Negative media coverage</p>	<p>Failure of key objective(s)</p> <p>Material impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism</p> <p>Financial Loss £1,000s</p> <p>Negative media coverage</p>	<p>Failure of key objective(s)</p> <p>Material impact on external customers and stakeholders (Ministers etc)</p> <p>Media attention</p> <p>NIAO criticism</p> <p>Financial Loss £1,000s</p> <p>Negative media coverage</p>
Fraud	<p>Negative media coverage</p> <p>Business Disruption</p>	<p>Potential impact on external customers</p>	<p>Potential minor impact on external customers and stakeholders</p>
Service Space	<p>Failure of key support services</p> <p>Media coverage</p> <p>Significant public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>
Inappropriate Disaster Recovery Procedures	<p>Failure of key support services</p> <p>Media coverage</p> <p>Significant public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>
Poor Information Management	<p>Failure of key support services</p> <p>Media coverage</p> <p>Significant public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>	<p>Negligible impact on support services.</p> <p>Public embarrassment</p> <p>Business Disruption</p>

Table 1: Risk Scoring Matrix

Likelihood	Impact	Low	Low-Medium	Medium	Medium-High	High
High	5	1	2	3	4	5
Medium-High	4	5	10	15	20	25
Medium	3	4	8	12	16	20
Low-Medium	2	3	6	9	12	15
Low	1	2	4	6	8	10
		1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives / £100's lost / Minor non-compliance issues / No injuries.
Low - Medium	£1000's lost / Some localised press coverage / Isolated errors / First aid treatment required.
Medium	£10,000's lost / Localised media attention / Repeated errors / NIAO criticism / Some business interruption / Impact materialises over a long period of time / Medical treatment required.
Medium - High	Failure of key support services / £100,000's lost / Local media attention / Failure to meet national standards / Extensive injuries.
High	Resulting in failure of key objective(s) / £1,000,000's lost / Significant impact on external customers and stakeholders (Ministers etc) / Significant public embarrassment / National media coverage / Attention from Assembly/PAC / Death.

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

ACCOUNTABILITY MEETING - DCAL AND SPORT NI
9.30 AM ON 27 NOVEMBER 2014
VENUE – HOUSE OF SPORT

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (15 August 2014)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2014/15**
 - 4.2 Major Projects and Programmes**
 - **Sports Matters**
 - **Boxing Strategy**
 - **Together Building a United Community (TBUC)**
 - **SINI and Tollymore Business Cases**
- 5. Accountability and Governance**
 - 5.1 Biannual Assurance Statement**
 - 5.2 ALB Review Recommendations**
 - 5.3 Risk Register Review**
 - 5.4 Audit Recommendations**
 - 5.5 Budget Exercises 2014/15 and 2015/16**
 - 5.6 Spend against Budget**
 - 5.7 Financial Profile/Forecasting**
- 6. Safeguarding/Child Protection**
- 7. Any Other Business**
 - 7.1 Government Funding Database**
 - 7.2 Dungiven Sports Facility**
- 8. Date/Time/Venue for Next Meeting**

**MINUTES OF DCAL/SNI ACCOUNTABILITY MEETING
THURSDAY 27 NOVEMBER 2014 AT 9.30 AM
HOUSE OF SPORT**

Present: Fergus Devitt (FD) (Chair)
Tony Murphy (TM)
Tim Duff (TD)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 FD opened the meeting and thanked Sport NI for hosting. There were no apologies.

2.0 Minutes from Meeting held on 7 February 2014

2.1 The minutes of the previous meeting held on 15 August 2014 were agreed subject to amendment to paragraph 7.2.1. AMcK asked that '*demanding*' be changed to '*requesting*' in the 3rd sentence of that paragraph and that '*advice is now being followed*' be added. This was agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

5.1.12 Ongoing – FD referred to the two outstanding Priority 1 audit recommendations on All Hours Worked Allowance and the superannuation allowance and advised Sport NI that the Audit and Risk Management Committee was taking a much more proactive role, especially in relation to Priority 1 recommendations. He noted that these recommendations had been outstanding for a considerable time, albeit that Sport NI has been required to seek Senior Counsel's opinion with regard to them. AMcK advised that with regard to the superannuation

allowance, it is Sport NI's intention that, as of 1 April 2015 new employees will not receive this. Discussions are continuing as to the application of this allowance to existing employees.

With regard to the All Hours Worked Allowance, AMcK stated that Sport NI is beginning to consult with staff regarding the removal of the allowance on a marked-time basis. AMcK stated that for both outstanding priority 1 recommendations consultation with staff and the Union is required.

FD advised the meeting that he believed the Audit Committee will take a consistent approach regarding outstanding recommendations and will want to see movement towards a closure date.

Action: SNI

- 5.2.1 Completed – A report on the Value for Money Review has been shared with the Department.
- 5.8.1 Completed – Sport NI's input for the 2015/16 budget planning/cuts exercise has now been submitted to the Department.
- 4.2.2 Completed – Sport NI met with the IABA on 15 September 2014 and a read-out from that meeting was provided to DCAL officials on 23 September 2014
- 7.2.1 Completed – Sport NI has written to DSNI on finances and has copied the correspondence to the Department, as requested. AMcK also advised that Sport NI has had lengthy discussions with the CEO of DSNI, as well as issuing a letter to the organisation stating that Sport NI will pass on to it cuts equalling 10% for 2015/16. Discussion followed on how Sport NI is informing its major funded organisations of budget cuts for

2015/16. AMcK stated that Outdoor Recreation NI has also been written to around cuts in its funding for 2015/16. AS stated the letters issued follow the line of the Permanent Secretary's letter to ALBs on Budget 2015/16. TM noted the importance of the Minister and the Department receiving early warning of letters issuing to funded organisations notifying them of the 2015/16 budget position and of any subsequent issues raised.

Action: SNI

4.0 Business Performance Review

4.1 Business Plan & KPIs 2014/15

4.1.1 FD referred to the red target (on page 12) on talent identification projects. AS advised that this target would not be met due to in-year budget cuts. It was noted, however, that this was the only area where a key target would not be met, despite the 4.4% in-year budget cut for Sport NI.

4.2 Major Projects and Programmes

4.2.1 **Sport Matters:** FD referred to the mid-term review of Sport Matters. He advised, in broad terms, the findings show that Sport Matters is delivering what it was set out to do. There is a need, however, to refine targets to, in particular, focus on the Minister's priorities on PETPSE, women in sport and disability. He did not see anything on specific medal targets.

4.2.2 **Boxing Strategy:** FD referred back to a meeting held in September and was interested to hear the outcome. AMcK said there had been an honest discussion with Fergal Carruth, the CEO of the IABA. She added there had been good discussion on governance, sectarianism in the sport, the IABA taking leadership and the need for the organisation to manage communication more effectively. AMcK went on to state that

Sport NI and the IABA have agreed to meet biannually. Sport NI still treats the IABA as high risk and considers that it still needs a lot of assistance. FD advised Sport NI that it is important that the Minister is kept up to date on developments within boxing.

4.2.3 Together: Building a United Community: FD advised the meeting that the programme is progressing well. FD advised that an event celebrating its success will take place in March 2015 and this will focus on young people and their families.

4.2.4 SINI Business Case: FD referred to a number of conditions relating to the Business Case and asked for an update. AS referred to the structure of the organisation and advised it is really 'wrapped up' in the transformation programme for Sport NI. TD advised that he would write to Sport NI asking for an update on progress on meeting the conditions on which the SINI business case had been approved. AMcK added that she does not foresee any difficulties in meeting recommendations.

Action SNI/DCAL

4.2.5 Tollymore NOC Business Case: AMcK advised the meeting that the Business Case had been returned to the Department, via post.

5. Accountability and Governance

5.1 Biannual Assurance Statement

5.1.1 FD referred to the Biannual Assurance Statement. He firstly noted the status of 'partly met' under the heading of 'Procurement'. AS advised this related to an external audit recommendation which has been implemented but remains live until NIAO returns to verify its completion.

5.1.2 Moving to the subject of post project evaluation, FD noted the position that a number of these are outstanding and that there are also a large number due for completion early in the New Year. AS advised there

was huge pressure on the Investment Assurance Team within Sport NI, caused, in large part, by having to produce business cases for Ministerial projects. FD highlighted the need for PPEs to be prioritised in terms of their importance and scale.

5.2 ALB Review Recommendations

5.2.1 Following on from the ALB Review and its recommendations, FD asked if there was anything to highlight. TD advised that one recommendation remained outstanding in respect of the governance review and that was relating to the appointment of an Internal Auditor. AS advised that Deloitte have been appointed as Internal Auditor for Sport NI.

5.3 Risk Register Review

5.3.1 FD asked whether there was anything within the Risk Register which Sport NI wished to highlight. AS stated that the Risk Register has taken full account of budget cuts and that there was nothing which required escalation to the DCAL Risk Register.

5.4 Audit Recommendations

5.4.1 This was discussed earlier in the meeting.

5.5 Budget Exercises 2014/15 and 2015/16

5.5.1 FD referred to the budget exercises and that the 2014/15 exercise had been addressed, adding that discussion had taken place regarding the 2015/16 budget also. AS advised that a revised Sport NI proposal to deal with cuts in 2015/16 would be forwarded to the Department by the end of the week.

Action: SNI

5.6 Spend Against Budget

- 5.6.1 Discussion took place on the maximising spend exercise and potential projects for inclusion. AS noted the potential need for boats for 2 sailors to take part in a world championship event. Consideration will be made by Sport NI of inclusion of a bid in this exercise.

Action: Sport NI

5.7 Financial Profile/Forecasting

- 5.7.1 FD referred to the issue of the occasional significant variation between monthly cash drawdown and profiled cash requirement. AS advised of the difficulty dealing with grant recipients and third-party organisations and the attendant difficulty of forecasting accurately, although the recent change to monthly drawdowns makes it easier. FD advised that underspend at the end of year should be avoided. AS stated that significant underspend will not happen but cash requirement is where the difficulty lies in forecasting.

6. Safeguarding/Child Protection

- 6.1 FD referred to the importance of notifying the Department of any safeguarding incidents as soon as Sport NI has been alerted to them. He advised that David Carson, Director of Corporate Services, must be made aware of any incidents. AS agreed to look at the flow of communication.

Action: SNI

7. Any Other Business

7.1 Government Funding Database

- 7.1.1 FD referred to the timeliness of information being input by Sport NI onto the Government Funding Database. TD advised that some applications were not being input by Sport NI until payment stage but all applications should be input at application stage. AS advised processes within Sport

NI have been addressed to ensure data is input to the Database in a timely manner. AMcK added that data input to the Database was included in the Sport NI audit plan for 2014/15. TD added that reference should be made to the Finance Director guidance on the Government Funding Database in undertaking the internal audit review. AS confirmed that the recently appointed internal auditors are aware of this.

7.2 Dungiven Sports Facility

7.2.1 This item was deferred for discussion after the Accountability Meeting.

8. Date/Time/Venue for Next Meeting

8.1 FD referred to the sequencing of meetings and advised that he was keen to schedule the meetings well in advance and to ensure that papers are available 7 working days prior to the dates for these meetings. AMcK and AS agreed that this could be achieved, with Sport NI Board meetings scheduled to align with the pattern of Accountability Meetings.

The next Accountability meeting is scheduled for **12 February 2015 at 9.30 am in Causeway Exchange.**

SPORT NORTHERN IRELAND

AC-14-29

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL

1.0 Introduction

- 1.1. Attached is the current Corporate Risk Register for Sport Northern Ireland. This outlines the strategic risks that may adversely impact the achievement of key organisational objectives, their relative priority, mitigating controls currently in place and additional actions to be taken to manage each risk to an acceptable level.
- 1.2. The current risk register records 8 key corporate risks, 1 is considered high, 2 are considered medium and 5 low. These are summarised below.

Risk	Risk level
1. Non Achievement of Objectives due to budget cuts	20
2. Reputational Damage	3
3. Third Party Risks	8
4. Fraud	3
5. Service Space (SINI)	9
6. Inappropriate Disaster Recovery Procedures	4
7. Poor Information Management	4
8. Inadequate Health and Safety Arrangements (TNOC)	4

- 1.3 All agreed actions are being progressed by management. However there have been delays in the implementing a number of agreed responses with the forecasted timeframe. This is detailed below:

Risk	Agreed Action	Agreed Date	New Date
5. – SINI Service Space	<ul style="list-style-type: none">Additional Service Space in Physio Department	<ul style="list-style-type: none">September 2014	<p>Owing to budgetary pressures this action may be abandoned.</p> <p>A determination will be made upon confirmation of budget allocation.</p>
7. – Information Management	<ul style="list-style-type: none">Disposal of redundant dataEncompass SINI data within SINI Control Framework	<ul style="list-style-type: none">September 2014September 2014	<ul style="list-style-type: none">December 2014December 2014 <p>Loss of key staff has delayed this action.</p>

2.0 Purpose

2.1 The purpose of this paper is for Members to consider and approve the attached risk register.

3.0 Recommendation

3.1 It is recommended that Members consider and approve the attached risk register and the arrangements in place for managing identified risks.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V28
AUTHOR:	L Brown
DATE:	October 2014
NEXT REVIEW DATE	December2014

Risk Management Statement

- 1.1 The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers our commitment to manage those events that could impact on service delivery.
- 1.2 While risk management in the main is about mitigating the impact of adverse events, Sport Northern Ireland recognises that effective risk management also encompasses opportunity or upside risk. That is harnessing the benefits of those things that if they materialised would be good for the organisation and its stakeholders.
- 1.3 Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Risk is an inherent part of Sport Northern Ireland's environment and our risk management framework functions to assist growth and ensure that our actions support our vision.
- 1.4 Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. It will serve to foster a more flexible environment that will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk and opportunity plays a key role in the delivery of our services.
- 1.5 We will involve and empower all our staff in the identification and management of both risk and opportunity with the system given proper visibility across Sport Northern Ireland activities. It is the Board that has ultimate responsibility for the effectiveness of Sport Northern Ireland's risk management system. Assisting the Board in the discharge of its responsibilities is the Executive Team who will receive regular reports on risk including recommendations for system improvements. Our system of risk management will be driven by all staff and Members who will in turn provide the driving force to deliver our Vision.
- 1.6 Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

Antoinette McKeown
Chief Executive

July 2014

Setting the Context

- 2.1 Risk is 'The possibility of an event occurring that will have an impact on the achievement of objectives' (IIA UK). In short risk is uncertainty that matters.
- 2.2 Risk however is a fact of life. Any activity undertaken by Sport Northern Ireland, involves a degree of risk. In many cases these risks may be worth taking because of the benefits which arise. However, risk if not properly managed can have an adverse influence on the realisation of strategic priorities.
- 2.3 The realisation of objectives in an efficient, ethical and effective manner is dependent of sound systems of governance. Risk management is therefore the cornerstone of effective governance.
- 2.4 In applying this principle, it would be logical to attribute one main risk to each organisation, that being 'ineffective governance' as this would encompass the full remit of organisational activities and responsibilities.
- 2.5 Notwithstanding this, the purpose of a risk register is to prompt timely and targeted action in respect to specific threats within specific areas at specific times. This register acknowledges that all risk is linked to governance to a greater or lesser extent but recognises that governance is the aggregation of all activities and interventions across the breadth of Sport Northern Ireland.
- 2.6 Sport Northern Ireland's risk management framework in accordance with recognised risk models considers four broad levels of business activities, those being Strategic, Operational, Reporting and Compliance. These are denoted with the risk register. Mindful that risk evaluation and intervention must be specific and targeted; these levels are further subcategorised within the register.

Risk Profile Summary – At a Glance

Key	Description
Risk	An uncertainty that could affect a project, programme, organisation staff and other stakeholders
Cause	Event, circumstances that are creating the uncertainty / Risk
Effect	What will happen if the risk materialises

Risk	Cause	Effect	Current level ¹	Actions	Date
Reduced Government Spending	While Sport Northern Ireland has envisaged cuts, it was anticipated that these would happen next year. Recent correspondence from DCAL indicates that cuts will commence in-year.	A material reduction in financial resources will adversely impact the ability of Sport Northern Ireland to pursue its strategic objectives. This will necessitate prioritisation of objectives meaning that some objectives will not be delivered on. This will likely incur disengagement by key stakeholders and some underperformance in terms of forecasted participation numbers.	20	<ul style="list-style-type: none"> • Re-profiling - Assess impact of envisaged costs and re-profiling of budgets accordingly. • Priority rationalisation - disengage from lower priority work and minimise admin costs. 	<p>January 2015</p> <p>January 2015</p>
Poor Service Quality (SINI)	SINI share a building and a number of service areas with UUJ. The layout of the building and nature of the shared business area limits availability and privacy for SINI athletes.	Athlete development may be adversely impacted by a delay in the receipt of SINI intervention or limitations on the level and timing of intervention available.	9	<ul style="list-style-type: none"> • Facilities Review - Management to review the facilities agreement with UUJ. • Additional physio space - SINI has identified a space that it would like to refurbish for physio use. 	<p>December 2014</p> <p>December 2014 (TBC pending budget confirmation)</p>

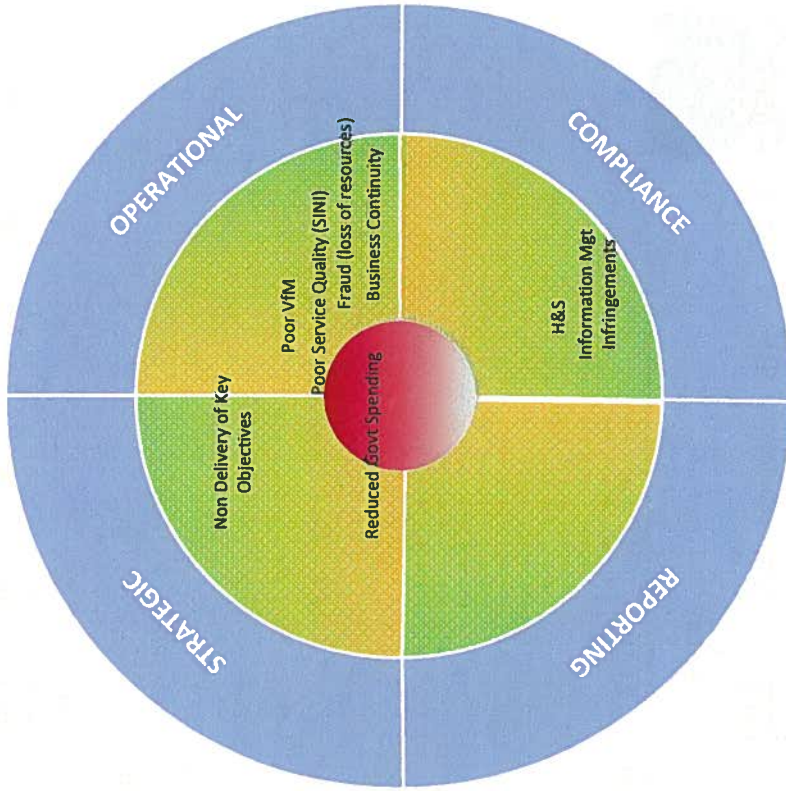
¹ Highest risk level recorded.

Risk	Cause	Effect	Current Level ¹	Actions	Date
<p>Poor Value for Money Risk</p> <p>Associated with service delivery by third parties</p>	<p>Sport Northern Ireland relies on a range of third parties to delivery on its objectives. These third parties include applicants, providers of goods and services and other organisations/bodies.</p> <p>Failure on the part of any of these parties in particular around critical services/projects will impact the quality of service delivery and the pursuance of objectives.</p> <p>Specific causes that may result in poor quality delivery by a third-party include, lack of capacity, unrealistic delivery requirements, lack of due diligence, environmental changes and ineffective change management procedures.</p>	<p>The impact of this will be services/project/ programme will be delivered late, over budget or not to required quality.</p> <p>This will erode financial and non-financial resources and will incur a reputational impact for Sport Northern Ireland and possibly sanctions by DCAL.</p>	8	<ul style="list-style-type: none"> • Enhancement of Technical Skills – Ongoing training of key technical staff. • Supplier Security Arrgts – These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contact and how to close access once the contract is terminated. • Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation. 	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>
<p>Non delivery on Key Strategic Objectives</p>	<p>Sport Northern Ireland has a board remit of business activities. Collectively these contribute to the achievement of strategic objectives.</p> <p>However, the ability to deliver on these will be dependent on a number of Critical Success Factors such as budgets, facilities, stakeholder engagement and skilled and competent staff.</p> <p>Any material limitation of these Critical Success Factors will adverse the ability of Sport Northern Ireland to realises its strategic objectives an indeed pursue identified opportunities.</p>	<p>Material shortfalls in the fulfilment of Sport Northern Ireland's strategic priorities and Key Performance Indicators will incur significant reputational damage, adversely impact target beneficiaries and may threaten the continuation of Sport Northern Ireland.</p>	5	<p>Accept and Monitor</p>	

Risk	Cause	Effect	Current level ¹	Actions	Date
<p>Non Compliance with Information Management Requirements</p>	<p>The level and nature of information processed by Sport Northern Ireland necessitates robust information management controls.</p> <p>Incidents of non – compliance is created by virtue of the fact that systems require human intervention which means that the system is limited to the level of understanding and compliance by staff with prescribed P&Ps.</p> <p>The nature of threats is also continually evolving, in particular cybercrime and it is difficult to fully mitigate absent such threats.</p>	<p>Failure to ensure adequate arrangements for safeguarding personal data may give rise to litigation costs, reputational damage and punitive action by relevant authorities such as the Information Commissioners Office.</p>	4	<ul style="list-style-type: none"> • Data Disposal – Formal disposal of identified redundant data. • SINI Data - Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. 	<p>December 2014</p> <p>December 2014</p>
<p>Health and Safety Risk (TNOC)</p>	<p>TNOC run a suite of activities which by their very nature are risky.</p> <p>Coupled with this is the environment in which many of the events are run. Running activities in the outdoors brings a variation each time and weather and terrain may be such that unforeseen incidents may occur.</p> <p>Staff are also required to engage with participants as part of TNOC activities, this incurs the risk to staff, especially in instances where one-to-one instruction is required with children or vulnerable adults.</p>	<p>This incurs the risk of injury should appropriate H&S arrangements not be in place.</p> <p>This may in turn result in litigation costs, reputational damage and personal and corporate liability under legislation.</p>	4	<p>Accept and Monitor</p>	
<p>Business Continuity</p>	<p>Sport Northern Ireland's business is dependent on a number of critical services and facilities, such as building and IT infrastructure.</p> <p>Any significant event that would</p>	<p>Should a business contingency arise these will result in denial of access to information and building.</p> <p>Depending on the nature of the incident, corporate and personal</p>	4	<ul style="list-style-type: none"> • Update BCP - BCP to be revised to accommodate SINI. • BCP Testing - On-going testing of SINI Business Continuity Plan. 	<p>Nov2014</p> <p>On-going</p>

Risk	Cause	Effect	Current level ¹	Actions	Date
	<p>threaten the availability of these critical services would inhibit business operations.</p> <p>The ability to manage such an event will be dependent on adequate business contingency arrangements and their effective deployment.</p>	<p>data may be permanently lost or damaged.</p> <p>Health and safety threats may also be present should a contingency involve damage to facility such as fire, flood.</p>			
<p>Loss of Resources Due to Fraud</p>	<p>Fraud will often occur through opportunity. An opportunity may be created after being planned and contrived at great length, or it may arise firm a chance taken in a passing moment.</p> <p>Nonetheless, opportunities which allow fraud to be committed more easily may be created by virtue of organisational characteristics, primarily weak internal controls.</p>	<p>Any instance of fraud perpetrated against Sport Northern Ireland will incur a loss of resources not only directly in terms of money lost but also in terms of investigation costs.</p> <p>Any incident of fraud may also incur reputational risk.</p>	3	<ul style="list-style-type: none"> • Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	Ongoing

Risk Heat Map



Strategic Risk

Focus is on the identification of and management of risk(s) relating to business critical systems, budgets, definition & pursuance of strategic objectives, decision making, performance monitoring, external forces etc.

Operational Risk

Focus is on the identification of and management of risk(s) relating to systems of internal control risk, financial systems and resources, asset management, project management etc.

Reporting Risk

Focus is on the identification of and management of risk(s) relating to all financial and non-financial reporting and disclosures; includes statutory and on statutory disclosures.

Compliance Risk

Focus is on the identification of and management of risk(s) associated with compliance with legislative and best practice requirements.

Cause and Consequence Analysis	Inherent Risk		Current Controls		Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L	I	L	I	L				I	L
STRATEGIC RISKS											
1. Reduced Government Spending leading to Non Achievement of Objectives (Financial resources insufficient to meet full remit of business plan)											
<p>Cause:</p> <ul style="list-style-type: none"> Reduced income due to Government spending cuts / efficiency drive <p>Impact:</p> <ul style="list-style-type: none"> Prioritisation / rationalisation of activities leading to non delivery against some SNI objectives Disengagement by key stakeholders adversely impacted 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Budgets – re-profiling (financial controls) <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework 	4	5	<p>Treat Risk</p> <ol style="list-style-type: none"> Re-profiling - Assess impact of envisaged costs and re-profiling of budgets accordingly Priority rationalisation - disengage from lower priority work and minimise admin costs. 	March 2015	Executive Team	3	5	
2. Non delivery on Key Strategic Objectives (Loss and reduction of confidence by key Stakeholders, limiting support, funding opportunities and capacity to take risk – linked also with risk 1 'Achieving Obj's')											
<p>Cause:</p> <ul style="list-style-type: none"> Inadequate controls to manage risks Poor culture leading to poor service delivery Adverse press coverage due to: <ul style="list-style-type: none"> Ineffective use of resources – Poor VfM Non-compliance with legislation leading to punitive action <p>Impact:</p> <ul style="list-style-type: none"> SNI engaged in narrower remit of activities Sanctions by DCAL / legislative authorities Limitations of risk taking by SNI Funding restrictions Closer monitoring by DCAL as a result of risk rating 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Governance directives Policies and procedures QAS to Board for review & cmmt Formal management frameworks, e.g. risk management and project management frameworks. <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework QAS to Board for review & cmmt Review and oversight by Exec Team / Board Governance audits Pre-App't checks contractors 	3	1	<p>Accept and Monitor Risk</p>			3	1	

Cause and Consequence Analysis	Inherent Risk		Current Controls		Residual Risk		Agreed Actions	Date	Officer	Treated Risk		
	I	L	I	L	I	L				I	L	
OPERATIONAL RISKS												
3. Poor Value for Money – Linked to delivery by third parties (Adverse service by third parties on which SNI is dependent will impact on quality of service delivery by SNI – linked also with risk 2, 'Reputation')												
Cause: <ul style="list-style-type: none"> Third parties may not have the capacity needed to deliver services agreed Approval lead times may delay commencement and therefore delivery of service Over reliance on third parties due to technical knowledge of SNI staff being surpassed by market / field developments Failure to secure planning, threatening project delivery (Non-contracted third parties) Non adherence with governing policies and procedures by third parties adversely impacting project / service delivery Lack of due diligence by third party supplier throughout project life cycle Changes to external environment, i.e. variables influencing outcome subject to change Ineffective change controls VAT uncertainty at project commencement stage bringing cost uncertainty 	4	4	Directive Controls <ul style="list-style-type: none"> Funding T&Cs Project budgets Funding and management P&Ps Governance directives Budgets Project management framework Policies and procedures Collaborative working arrangements Preventative Controls <ul style="list-style-type: none"> Potential to use Lottery funding Skilled, experienced and accredited staff Training and development (technical updates), CPD Recruitment, selection and retention policies and procedures 	4	2	Treat Risk <ol style="list-style-type: none"> Enhancement of Technical Skills Ongoing training of key technical staff. Supplier Security Arrgts These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contract and how to close access once the contract is terminated. Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation. 	Ongoing	Ongoing	Dec 2014	HR Manager Executive Team Corp Programme Mgr	4	1
Impact: <ul style="list-style-type: none"> Failure to deliver on agreed outputs to time, cost, quality Closure / abandonment of a project (sunk costs) Delays in delivery leading to financial pressures in next accounting period to finance project completion Reputational damage due to non-delivery or poor VfM Accountability by CEO, e.g. PAC hearing Sanctions imposed upon SNI 	4	4	Detective Controls <ul style="list-style-type: none"> Technical inspections Budget controls Internal audit Corrective Controls <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding T&Cs 	4	2							

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
4. Loss of Resources due to Fraud – (Financial) (Fraud will result in a loss and the diversion of resources from core activities to fraud investigation work – linked also with risk 2, 'Reputation')										
Cause: <ul style="list-style-type: none"> Opportunity – Weak controls subject to exploitation Motive (intent) – Cost effective controls cannot prevent all fraud. 	5	4	Directive Controls <ul style="list-style-type: none"> Policies and procedures Fraud risk assessments Preventative Controls <ul style="list-style-type: none"> Skilled, experienced, accredited staff Staff training, development and CPD Government Funding Database Fraud training Detective Controls <ul style="list-style-type: none"> Internal / External Audit / DARD CIS 	3	1	Treat Risk <ul style="list-style-type: none"> Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	Ongoing	Gov Mgr	3	1
Impact: <ul style="list-style-type: none"> Loss of Resources- i.e. those misappropriated or those reallocated to undertake investigative work Reputational Damage – Perception that house is not in order Punitive action / sanctions if fraud the result of internal control failures Over control in the future often leading to inefficient systems 										
5. Service Space (SINI) (Athlete performance in attributable to the level and quality of service available to athletes at SINI– linked also with risk 1 'Achieving Objs')										
Cause: <ul style="list-style-type: none"> Shared building with UUU limiting access to facilities Expanding operations at SINI meaning more equipment and wider remit of interventions Large equipment used on site 	4	3	Directive Controls <ul style="list-style-type: none"> Facilities Agreement with Ulster. Preventative Controls <ul style="list-style-type: none"> Regular meetings with Head of Sports Services at Ulster to discuss facilities issues and to maintain the working relationship of the shared spaces. 	3	3	1. Facilities Review – Management to review the facilities agreement with UUU. 2. Additional physio space - SINI has identified a space that it would like to refurbish for physio use.	December 2014 December 2014 (TBC pending budget confirmation)	Director of Performance Sport Director of Performance Sport	3	1
Impact: <ul style="list-style-type: none"> Limited service flexibility – Timing and level of intervention with athletes limited Limited privacy and therefore comfort for athletes receiving services Minor safety implications – restricted places lead themselves to more slips, trips and falls 										

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
6. Business Continuity – (Efficiency) (Ability to quickly respond to and recover from unplanned events (usually from external sources) – linked also with risk 1 'Achieving Objs & risk 7 Information Mgt)										
Cause: <ul style="list-style-type: none"> External event, e.g. weather, cyber attack Internal event, e.g. fire, damage to business critical equipment such as a server 	4	5	Directive Controls <ul style="list-style-type: none"> Business Continuity Plan and testing of plan 	4	1	Treat Risk <ul style="list-style-type: none"> Update BCP to be revised to accommodate SINI. Testing On-going testing of SINI Business Continuity Plan. 	Nov2014	Director of Sport Management Services	3	1
Impact: <ul style="list-style-type: none"> Denial of access to systems/building inhibiting work (business downtime) Potential H&S risk to staff / others if on site or entering site where there has been a critical incident such as fire Cost assoc with getting business operations back up Loss of assets – SINI is self insured Loss of data (insufficient physical safeguards) 	4	5	Detective Controls <ul style="list-style-type: none"> Alarms and maintenance checks Preventative Controls <ul style="list-style-type: none"> Legislative assessments Corrective Controls <ul style="list-style-type: none"> Data back – ups 	4	1			Director of Sport Management Services	3	1
COMPLIANCE										
7. Information Management (Statutory Compliance) (Ability to capture, retain and use information in accordance with legislative requirement, e.g. Data Protection and Freedom of Information Acts)										
Cause: <ul style="list-style-type: none"> Lack of appropriate information system security – data could be subject to unauthorised access Non adherence by staff and /or others with information protocols Poor management over migration of SINI data and associated data systems to SINI 	4	5	Directive Controls <ul style="list-style-type: none"> Information management framework encompassing, retention and disposal procedures and IS risk assessments Preventative Controls <ul style="list-style-type: none"> Skilled and dedicated IS resources Information management framework incl. preventative safeguards Detective Controls <ul style="list-style-type: none"> Data audits 	4	1	Treat Risk <ol style="list-style-type: none"> Data Disposal – Formal disposal of identified redundant data. SINI Data Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. 	Sep 2014	IS Manager	3	1
Impact: <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects and sanctions on SINI, for e.g. by ICO SINI susceptible to attack by external sources- Cybercrime 	4	5		4	1			IS Manager	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
8. Health and Safety (TNOC – Activity Based) (Ability to carry out activities whilst ensuring the health, safety and wellbeing of participants and other relevant parties in accordance with H&S regulations)										
<p>Cause:</p> <ul style="list-style-type: none"> • Procedures do not adequately address all activities • Non Adherence with H&S procedures by staff and participants • Adverse weather / conditions – increasing likelihood of slips, trips and falls • Unforeseen / unplanned contingencies when out on an activity • Staff absence – replacement staff may lack skills and or knowledge of area • Non communication of key policies and procedures by staff to participants and other users • Outdoor activities are inherently risky <p>Impact:</p> <ul style="list-style-type: none"> • Injury / fatality • Reputational damage in the event of an incident occurring • Temporary cessation of activities due to investigations (loss of income) • Litigation by injured party • Loss of resources – damage to equipment • Staff absence due to injuries received 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> • TNOC Safety management framework • Policies and procedures • Health and safety framework • Weekly staff activity meetings <p>Preventative Controls</p> <ul style="list-style-type: none"> • Legislative assessments • Skilled, experienced and accredited staff • Centralised H&S records at HoS <p>Detective Controls</p> <ul style="list-style-type: none"> • Equipment / premises checks • External assessment by local authority /Adventure Mark <p>Corrective Controls</p> <ul style="list-style-type: none"> • Contingency procedures 	4	1	<p>Accept and Monitor Risk</p>			4	1

Table 1: Risk Scoring Matrix

Likelihood	Impact	Low	Low-Medium	Medium	Medium-High	High
High	5	1	2	3	4	5
Medium-High	4	5	10	15	20	25
Medium	3	4	8	12	16	20
Low-Medium	2	3	6	9	12	15
Low	1	2	4	6	8	10
		1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives / £100's lost / Minor non-compliance issues / No injuries.
Low - Medium	£1000's lost / Some localised press coverage / Isolated errors / First aid treatment required.
Medium	£10,000's lost / Localised media attention / Repeated errors / NIAO criticism / Some business interruption / Impact materialises over a long period of time / Medical treatment required.
Medium - High	Failure of key support services / £100,000's lost / Local media attention / Failure to meet national standards / Extensive injuries.
High	Resulting in failure of key objective(s) / £1,000,000's lost / Significant impact on external customers and stakeholders (Ministers etc) / Significant public embarrassment / National media coverage / Attention from Assembly/PAC / Death.

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	An uncertainty that could affect a project, programme, organisation staff and other stakeholders
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

**ACCOUNTABILITY MEETING - DCAL AND SPORT NI
2.30 PM ON 11 FEBRUARY 2015
VENUE – CAUSEWAY EXCHANGE**

AGENDA

- 1. Apologies**
- 2. Minutes of Previous Meeting (27 November 2014)**
- 3. Actions Review and Matters Arising**
- 4. Business Performance Review**
 - 4.1 Business Plan & KPIs 2014/15**
 - 4.2 Business Plan 2015/16**
 - 4.3 Corporate Plan 2015-2020**
 - 4.4 Major Projects and Programmes**
 - **Sports Matters**
 - **Boxing Strategy**
 - **Together Building a United Community (TBUC)**
 - **SINI and Tollymore Business Cases**
 - **Lottery Capital Funding**
 - **Facilities Strategy**
- 5. Accountability and Governance**
 - 5.1 ALB Review Recommendations**
 - 5.2 Risk Register Review**
 - 5.3 Audit Recommendations**
 - 5.4 PPE Update**
 - 5.5 Budget Exercise 2015/16**
 - 5.6 Spend against Budget**
 - 5.7 Financial Profile/Forecasting**

6. Sports Event Update:

- **Rugby World Cup/Women's**
- **Ice Hockey**
- **Golf – Irish Open**
- **Commonwealth Youth Games**

7. Safeguarding/Child Protection

8. Any Other Business

9. Date/Time/Venue for Next Meeting

**MINUTES OF DCAL/SNI ACCOUNTABILITY MEETING
WEDNESDAY 11 FEBRUARY 2015 AT 2.30 PM
CAUSEWAY EXCHANGE**

Present: Fergus Devitt (FD) (Chair)
Tony Murphy (TM)
Tim Duff (TD)
Antoinette McKeown (AMcK)
Andrew Sloan (AS)

In attendance: Ruth McAuley (Minutes)

1.0 Welcome and Apologies

1.1 FD opened the meeting. There were no apologies.

2.0 Minutes from Meeting held on 27 November 2014

2.1 The minutes of the previous meeting were agreed.

3.0 Matters Arising/Action Points

3.1 Referring to the Action Point Table, the status of actions was as follows:

5.1.12 FD referred to the Priority 1 audit recommendation on All Hours Worked Allowance and advised that he understood it had been implemented.

7.2.1 Ongoing – FD referred to communications to sporting bodies with regard to budget cuts and asked that Sport NI alerts the Department to these prior to issue, in order that the Minister is aware. AMcK advised that this will be done.

Action: SNI

4.2.4 Complete – FD referred to the SINI Business Case and the conditions on which it had been approved. The Department had contacted Sport NI on 8 January asking for an update on progress on meeting these conditions. AS passed Sport NI's

response to TD at the meeting and agreed to forward an electronic version to the Department. AMcK referred to one of the conditions, which related to the number of athletes and coaches from areas of greatest need being supported by SINI. She stated that numbers of athletes/coaches from areas of greatest need cannot be increased in the short-term and could more realistically be achieved on a 10-year cycle. FD stated that we need to see movement towards meeting the conditions of approval of the SINI business case. FD suggested thinking of a form of words and agreed to discuss further.

Action: DCAL/SNI

4.0 Business Performance Review

4.1 Business Plan & KPIs 2014/15

4.1.1 FD referred to the red indicators and the commentary within the Review of the Business Plan. He commented that the summary of progress for Quarter 3 at Table 1 did not seem to correspond with Table 2, the detailed table of progress against key programmes and planned actions. AS explained that the indicators at the summary are based on an overall judgement, which may take in lower-level targets which may or may not be on course for achievement.

Referring to 'Quality Facilities', AS advised there had been a delay in the programme, however, Sport NI confirmed the target will be achieved but at a later date than originally anticipated. He added that the Boxing programme was in the same position. He advised there was no loss of funding to sport as both programmes were Lottery funded. The delay in the Lottery facilities programmes explains why the target for Lottery expenditure for the year will not be met.

4.2 Business Plan 2015/16

4.2.1 FD asked for an update on the Business Plan for 2015/16, a draft of which was due with the Department in December. AMcK advised that Sport NI has a draft which was provided to the Board on 27 January. The Board asked for some amendments, which are currently being considered to go back to the Board week commencing 16 February. FD advised that the Department is keen to have the Business Plan approved before the start of the next financial year and asked that the Department be provided with the latest draft. AS agreed to send this to the Department.

Action: SNI

4.3 Corporate Plan 2015-2020

4.3.1 FD referred to the Corporate Plan and commented that it would have been useful to have had sight of it before it was issued for consultation as the Department came upon it via a link. AMcK agreed that the Department should have been sent a copy following Board approval. AMcK extended an invitation to the Department to attend one of its consultation sessions on the Corporate Plan.

4.4 Major Projects and Programmes

4.4.1 **Sport Matters:** FD referred to the CAL Committee session which had been found extremely helpful. FD advised that the Department is trying to set up another Sport Matters Monitoring Group meeting and move towards sign-off of the Mid-Term Review. AS asked if the Review document would need to be seen by the Executive. FD agreed to establish if this was required.

Action: DCAL

AS asked if there was any intention of a 'launch' for the Mid-Term Review Report and felt this may be a good way to galvanise cross-Departmental engagement. FD stated that this was under consideration.

4.4.2 Boxing Strategy: FD referred to the forthcoming briefing for the CAL Committee on Boxing. TM suggested that it is likely that a number of issues, aside from the Boxing Investment Programme, would be raised by the Committee, including rural proofing, sectarianism, female participation and governance. FD asked if there were any developments on governance issues. AMcK advised that Sport NI has commissioned a governance audit of boxing and has funded a governance manager for the IABA. TM commented that all clubs should now have at least a minimum standard and that this has been achieved from a very low baseline.

4.4.3 Together: Building a United Community: FD thanked Sport NI for its work in this area. TM referred to contact the Department had received from Active Communities Network and the possibility that this organisation could assist with delivery of the TBUC programme going forward. AMcK stated that there would have to be transparency as to how organisations are selected to take forward TBUC programmes.

4.4.4 SINI Business Case: This item was discussed earlier in the meeting under Actions.

4.4.5 Tollymore NOC Business Case: FD referred to the Business Case for the operational model for the Centre, which is currently with the Department for consideration. He advised the meeting that this will go to the Minister for approval. TM referred to the whistleblowing allegation currently being investigated by NIAO. FD agreed to consider what can be shared with Sport NI with regard to the allegation.

Action: DCAL

At this juncture in the meeting, FD advised that due to time restrictions for this meeting, he was content to carry forward Agenda items on Lottery Capital Funding, Facilities Strategy and Sports Celebration Event Update to a separate meeting, to be arranged in due course.

5. Accountability and Governance

5.1 ALB Review Recommendations

5.1.1 FD referred to the one outstanding recommendation from the Sport NI Governance Review, which refers to a review of risk management by Internal Audit. AS confirmed that a review of risk management is on the Sport NI Internal Audit schedule for 2014/15.

5.2 Risk Register Review

5.2.1 FD advised the meeting that the Department had revised its Risk Register review and hoped it would be helpful to Sport NI. AMcK advised that the Sport NI Audit Committee is considering a review of the organisation's Risk Register and this will be in parallel with DCAL's work.

5.3 Audit Recommendations

5.3.1 AS advised that the recommendation regarding pension contributions has been implemented and that, from April 2015, there would be no contributions made for staff. TM referred to the consultation exercise with staff on changes to the All Hours Worked Allowance (AHWA). AMcK advised that the consultation was to have started in January, however, due to the cuts to the Sport NI budget and developments regarding the Voluntary Exit Scheme, it had been decided to delay the AHWA consultation. AS, however, confirmed that AHWA had not been awarded to any new staff since October 2010.

5.4 PPE Update

5.4.1 FD stressed the importance that completion of PPEs is given by the Department. AS advised that work is progressing on completing outstanding PPEs and those which are due by the end of March. He stated that additional work coming from the Department with regard to business cases brings pressures which can hinder Sport NI's ability to work on PPEs. TM advised that the Department had agreed that some PPEs could be amalgamated at programme level. He also stated that Sport NI should prioritise work on high-value PPEs. FD made the meeting aware that the Departmental Board was concerned at the number of high-value PPEs which were still outstanding across its ALBs.

5.5 Budget Exercise 2015/16

5.5.1 FD advised the meeting that the Department is undertaking further consultation on the 11.2% budget reduction. Following this the Minister will make decisions on final budgets. AS asked the Department to provide clarity on what the baseline budget for Sport NI is. TD stated that this will be provided.

Action: DCAL

5.6 Spend Against Budget

5.6.1 AS confirmed that Sport NI is on course for full spend by 31 March. He asked if there was any spare resource budget in the Department, as Sport NI could also spend this. TD advised that the indications from Finance Branch were that there was no additional resource available. AS added that, even up to the last week of the year, Sport NI could spend resource quickly. TD agreed that Sport NI would be kept informed of any available resource budget. TD confirmed that Sports Branch can overspend in resource to cover the Celebration of Sport event and the Salto business case. This will be covered by a matched underspend elsewhere in Sports Branch.

5.7 Financial Profile/Forecasting

- 5.7.1 FD referred to variance between estimated and actual cash drawdown. He added that he understood the difficulties in forecasting but would be grateful for any attention Sport NI could give to improving the accuracy of cash forecasting. AS advised that Sport NI would work to improve performance in this area. FD then referred to the Prompt Payment returns and a recent failure by Sport NI to meet the target. AS agreed to look into this with the aim of ensuring that targets are met.

FD reminded the meeting, at this point, that the next 3 Agenda items would be carried forward to a separate meeting.

7. Safeguarding/Child Protection

- 7.1 TD referred to the annual audit Safeguarding checklist and advised that this should have been discussed at the last Accountability meeting in November. AS agreed to return the completed checklist as soon as possible.

Action: SNI

8. Any Other Business

- 8.1 **Adventure Activity Accreditation:** AS raised the issue of Adventure Activity Accreditation. FD advised that his understanding was that a paper was to have been taken to the Sport NI Board and DCAL are awaiting the outcome of this. AMcK advised that Sport NI did not want to take the issue to the Board until it had the Department's view on the way forward. FD agreed to search for previous exchanges on this issue to provide clarification on the position.

Action: DCAL

8.2 Voluntary Exit Scheme: AMcK referred to the Voluntary Exit Scheme and asked if there was any further information available. FD agreed to share information as the Department receives it.

Action: DCAL

9. Date/Time/Venue for Next Meeting

9.1 The next Accountability meeting is scheduled for **20 May 2015 at 9.30 am in the House of Sport.**

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V30
AUTHOR:	L Brown
DATE:	January 2015
NEXT REVIEW DATE	February 2015

Risk Management Statement

- 1.1 The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers our commitment to manage those events that could impact on service delivery.
- 1.2 While risk management in the main is about mitigating the impact of adverse events, Sport Northern Ireland recognises that effective risk management also encompasses opportunity or upside risk. That is harnessing the benefits of those things that if they materialised would be good for the organisation and its stakeholders.
- 1.3 Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Risk is an inherent part of Sport Northern Ireland's environment and our risk management framework functions to assist growth and ensure that our actions support our vision.
- 1.4 Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. It will serve to foster a more flexible environment that will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk and opportunity plays a key role in the delivery of our services.
- 1.5 We will involve and empower all our staff in the identification and management of both risk and opportunity with the system given proper visibility across Sport Northern Ireland activities. It is the Board that has ultimate responsibility for the effectiveness of Sport Northern Ireland's risk management system. Assisting the Board in the discharge of its responsibilities is the Executive Team who will receive regular reports on risk including recommendations for system improvements. Our system of risk management will be driven by all staff and Members who will in turn provide the driving force to deliver our Vision.
- 1.6 Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

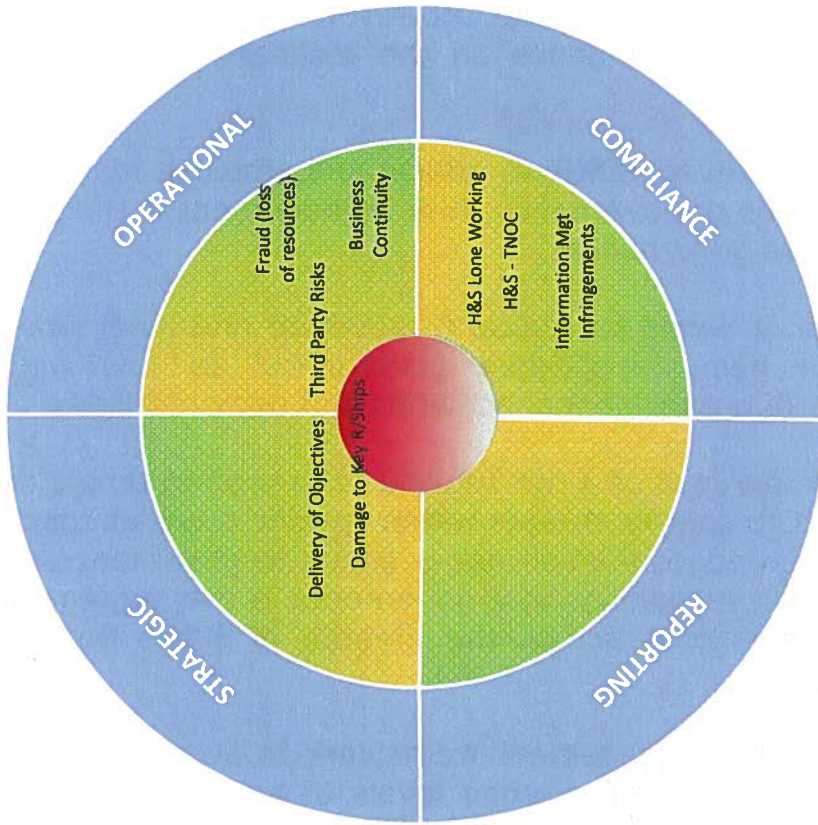
Antoinette McKeown
Chief Executive

July 2014

Setting the Context

- 2.1 Risk is 'The possibility of an event occurring that will have an impact on the achievement of objectives' (IIA UK). In short risk is uncertainty that matters.
- 2.2 Risk however is a fact of life. Any activity undertaken by Sport Northern Ireland, involves a degree of risk. In many cases these risks may be worth taking because of the benefits which arise. However, risk if not properly managed can have an adverse influence on the realisation of strategic priorities.
- 2.3 The realisation of objectives in an efficient, ethical and effective manner is dependent of sound systems of governance. Risk management is therefore the cornerstone of effective governance.
- 2.4 In applying this principle, it would be logical to attribute one main risk to each organisation, that being 'ineffective governance' as this would encompass the full remit of organisational activities and responsibilities.
- 2.5 Notwithstanding this, the purpose of a risk register is to prompt timely and targeted action in respect to specific threats within specific areas at specific times. This register acknowledges that all risk is linked to governance to a greater or lesser extent but recognises that governance is the aggregation of all activities and interventions across the breadth of Sport Northern Ireland.
- 2.6 Sport Northern Ireland's risk management framework in accordance with recognised risk models considers four broad levels of business activities, those being Strategic, Operational, Reporting and Compliance. These are denoted with the risk register. Mindful that risk evaluation and intervention must be specific and targeted; these levels are further subcategorised within the register.

Risk Heat Map



Strategic Risk

Focus is on the identification of and management of risk(s) relating to business critical systems, budgets, definition & pursuance of strategic objectives, decision making, performance monitoring, external forces etc.

Operational Risk

Focus is on the identification of and management of risk(s) relating to systems of internal control risk, financial systems and resources, asset management, project management etc.

Reporting Risk

Focus is on the identification of and management of risk(s) relating to all financial and non-financial reporting and disclosures; includes statutory and on statutory disclosures.

Compliance Risk

Focus is on the identification of and management of risk(s) associated with compliance with legislative and best practice requirements.

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
STRATEGIC RISKS										
1. Damage to relationship with Key Stakeholders										
(Loss and reduction of confidence by key Stakeholders, limiting support, funding opportunities and capacity to take risk – linked also with risk 1 - Achieving Obj's)										
<p>Cause:</p> <ul style="list-style-type: none"> Reduced income due to Government spending cuts / efficiency drive <p>Impact:</p> <ul style="list-style-type: none"> Prioritisation / rationalisation of activities leading to non delivery against some SNI objectives Disengagement by key stakeholders adversely impacted 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board leadership and oversight Budgets – re-profiling (financial controls) New Corporate Plan (in development) <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework Budget re-profiling and priority rationalisation 	4	4	<p>Treat Risk</p> <ol style="list-style-type: none"> Priority rationalisation - disengage from lower priority work and minimise admin costs. Risk Appetite – formal articulate and communicate risk appetite of Board. 	Mar 2015 Feb 2015	Executive Team Executive Team	3	3
2. Non delivery on Key Strategic Objectives										
(Financial resources insufficient to meet full remit of business plan)										
<p>Cause:</p> <ul style="list-style-type: none"> Reducing Budgets Poor culture leading to poor service delivery <p>Impact:</p> <ul style="list-style-type: none"> SNI engaged in narrower remit of activities Sanctions by DCAL / legislative authorities Limitations of risk taking by SNI Closer monitoring by DCAL as a result of risk rating 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Oversight / Leadership Governance directives Policies and procedures Assurance reporting - BIASS Formal management frameworks, e.g. risk management and project management frameworks. <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework Assurance reporting - BIASS Review and oversight by Exec Team / 	3	2	<p>Accept and Monitor Risk</p>			3	2

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<ul style="list-style-type: none"> Sanctions imposed upon SNI 			<ul style="list-style-type: none"> Funding T&Cs 							
4. Business Continuity– (Efficiency) (Ability to quickly respond to and recover from unplanned events (usually from external sources)– linked also with risk 1 'Achieving Objs' & risk 7 Information Mgt)										
<p>Cause:</p> <ul style="list-style-type: none"> External event, e.g. weather, cyber attack Internal event, e.g. fire, damage to business critical equipment such as a server <p>Impact:</p> <ul style="list-style-type: none"> Denial of access to systems/building inhibiting work (business downtime) Potential H&S risk to staff / others if on site or entering site where there has been a critical incident such as fire Cost assoc with getting business operations back up Loss of assets – SNI is self insured Loss of data (insufficient physical safeguards) 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Business Continuity Plan and testing of plan <p>Detective Controls</p> <ul style="list-style-type: none"> Alarms and maintenance checks <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments <p>Corrective Controls</p> <ul style="list-style-type: none"> Data back – ups 	4	1	<p>Treat Risk</p> <ul style="list-style-type: none"> Update BCP to be revised to accommodate SNI. Testing On-going testing of SNI Business Continuity Plan. 	February 2015	Director of Sport Management Services Director of Sport Management Services	3	1
5. Loss of Resources due to Fraud – (Financial) (Fraud will result in a loss and the diversion of resources from core activities to fraud investigation work – linked also with risk 2, 'Reputation'										
<p>Cause:</p> <ul style="list-style-type: none"> Opportunity – Weak controls subject to exploitation Motive (intent) – Cost effective controls cannot prevent all fraud. <p>Impact:</p> <ul style="list-style-type: none"> Loss of Resources- i.e. those misappropriated or those reallocated to undertake investigative work Reputational Damage – Perception that house is not in order Punitive action / sanctions if fraud the result of internal control failures Over control in the future often leading to inefficient 	5	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Policies and procedures Fraud risk assessments <p>Preventative Controls</p> <ul style="list-style-type: none"> Skilled, experienced, accredited staff Staff training, development and CPD Government Funding Database Fraud training <p>Detective Controls</p>	3	1	<p>Treat Risk</p> <ul style="list-style-type: none"> Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	Ongoing	Gov Mgr	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<p>Impact:</p> <ul style="list-style-type: none"> Injury / fatality Reputational damage in the event of an incident occurring Temporary cessation of activities (loss of income) Litigation by injured party Loss of resources – damage to equipment Staff absence due to injuries received 			<ul style="list-style-type: none"> Equipment / premises checks External assessment by local authority /Adventure Mark <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures 							
<p>8. Health and Safety (Ability to carry out activities whilst ensuring the health, safety and welling of staff engage in activities in a lone capacity)</p>										
<p>Cause:</p> <ul style="list-style-type: none"> Procedures do not adequately address all activities Non Adherence with H&S procedures by staff Non communication of key policies and procedures to staff <p>Impact:</p> <ul style="list-style-type: none"> Injury / fatality Reputational damage in the event of an incident occurring Litigation by injured party Loss of resources – damage to equipment Staff absence due to injuries received 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Policies and procedures Health and safety framework Weekly staff activity meetings <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments Skilled, experienced and accredited staff Centralised H&S records at HoS <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / premises checks <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedure - Lone working Policy and Procedures to be development and implemented 	Feb 2015	HR Manager	4	1

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 25 JANUARY 2012

DCAL:

Mick Cory (Chair)

Director of Sports, Museums and Recreation

Colin Watson

Head of Sports & Lottery Branch

Robert Heyburn

Deputy Principal, Sports & Lottery Branch

Tim Duff

Staff Officer, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Eamonn McCartan

CEO, Sport NI

Andrew Sloan

Director, Sport NI

Nick Harkness

Director, Sport NI

Shaun Ogle

Director, Sport NI

Leigh Brown

Internal Auditor, Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

Rachael McDowell

Finance Manager, Sport NI (for part of meeting)

Edel Cosgrove

Policy, Planning and Research Assistant, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 3 SEPTEMBER 2012

DCAL:

Colin Watson (Chair)

Acting Director of Sports & Stadiums

Ciaran Mee

Acting Head of Sports & Lottery Branch

Tim Duff

Staff Officer, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Nick Harkness

Acting CEO, Sport NI

Andrew Sloan

Director, Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 25 OCTOBER 2012

DCAL:

Colin Watson (Chair)

Acting Director of Sports & Stadiums

Ciaran Mee

Acting Head of Sports & Lottery Branch

Robert Heyburn

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Nick Harkness

Acting CEO, Sport NI

Andrew Sloan

Director, Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 10 JANUARY 2013

DCAL:

Colin Watson (Chair)

Acting Director of Sports & Stadiums

Ciaran Mee

Acting Head of Sports & Lottery Branch

Tim Duff

Staff Officer, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Nick Harkness

Acting CEO, Sport NI

Andrew Sloan

Director, Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 18 APRIL 2013

DCAL:

Colin Watson (Chair)

Acting Director of Sports & Stadiums

Ciaran Mee

Acting Head of Sports & Lottery Branch

Robert Heyburn

Deputy Principal, Sports & Lottery Branch

Tim Duff

Staff Officer, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Nick Harkness

Acting CEO, Sport NI

Andrew Sloan

Director, Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 22 AUGUST 2013

DCAL:

Colin Watson (Chair)

Acting Director of Sports & Stadiums

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Nick Harkness

Acting CEO, Sport NI

Rachael McDowell

Finance Manager (Accountant), Sport NI

Paul Donnelly

Policy, Planning and Research Manager, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 21 NOVEMBER 2013

DCAL:

Mick Cory (Chair)

Director Sports, Museums and Recreation

Sinead McCartan

Head of Sports & Lottery Branch

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports and Lottery Branch (Minute taker)

SPORT NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 7 FEBRUARY 2014

DCAL:

Mick Cory (Chair)

Director Sports, Museums and Recreation

Cynthia Smith

Acting Permanent Secretary, DCAL

(joined meeting at 10.20 am)

Sinead McCartan

Head of Sports & Lottery Branch

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports and Lottery Branch (Minute taker)

SPORT NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 8 MAY 2014

DCAL:

Mick Cory (Chair)

Director Sports, Museums and Recreation

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports and Lottery Branch (Minute taker)

SPORT NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 15 AUGUST 2014

DCAL:

Mick Cory (Chair)

Director Sports, Museums and Recreation

Clare Doyle

Acting Head of Sports & Lottery Branch

Tim Duff

Deputy Principal, Sports & Lottery Branch

Sport NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 27 NOVEMBER 2014

DCAL:

Fergus Devitt (Chair)

Director of Sports, Museums and Recreation

Tony Murphy

Head of Sports & Lottery Branch

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

ATTENDEES – SPORT NI ACCOUNTABILITY MEETING – 11 FEBRUARY 2015

DCAL:

Fergus Devitt (Chair)

Director of Sports, Museums and Recreation

Tony Murphy

Head of Sports & Lottery Branch

Tim Duff

Deputy Principal, Sports & Lottery Branch

Ruth McAuley

EOII, Sports & Lottery Branch (Minute taker)

SPORT NI:

Antoinette McKeown

CEO, Sport NI

Andrew Sloan

Director, Sport NI

**MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Wednesday 14th December 2011 – 9.30am – 1.00pm**

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown (arrived 11am)
Mick Cory
Aileen McClintock (arrived 10am)

In attendance: Sinead McCartan
Philip Spotswood
Joanna McConway
Stephen Kerr (minutes)

Apologies:

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board meeting.
- 1.2 Apologies were received from John West, Marie Mallon, Walker Ewart, Michael Willis and Arthur Scott who had to leave the meeting at 10.15am. Joanna McConway attended on Arthur's behalf.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 22nd November 2011. (DB M-11-11)

- 3.1 The Board agreed the minutes subject to a few minor changes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising / Action Points (DB A-11-11)

- 4.1 The action point table was reviewed. The Board agreed that any completed actions should be removed from the table.

**5.0 Bribery Act – implications for the Department (Sinead McCartan)
(DB 89-11)**

- 5.1 Sinead McCartan provided an update on the new Bribery Act and outlined the implications for the Department.
- 5.2 The Bribery Act 2010 entered into force on 1st July 2011 and has implications for all organisations in the robust management of the risk of fraud and corruption. GSU are currently in the process of reviewing the fraud policies and fraud response plans of the Department and its ALBs and, as part of this, GSU will be undertaking a specific bribery risk assessment. ALBs will be advised of the requirement to do the same. This assessment will weight the various areas within the Department where officials might be exposed to such actions.
- 5.3 The Departmental fraud policy will be amended to reflect the requirements of the Act. GSU will then liaise with ALBs to ensure their fraud policies are amended accordingly.
- 5.4 The Board discussed the issue of “reverse burden of proof” which is contained within the Act. Sinead McCartan agreed to liaise with CIPFA to discuss this aspect of the Act and how it should be interpreted and implemented.

Action: Sinead McCartan to liaise with CIPFA in relation to “reverse burden of proof”.

- 5.5 The Board noted the paper and agreed the recommendations.

6.0 N/S Bodies Governance (Arthur Scott) (DB 90-11)

- 6.1 Arthur Scott spoke to paper DB 90-11 which highlights the key differences between the DCAL Sponsorship Manual and the Financial Memorandum for N/S Bodies and the challenges this presents for DCAL officials in seeking to draw appropriate levels of assurance for the DCAL Accounting Officer (AO). The Board were asked to note the key actions being taken to address these challenges. These included:
 - 6.1.1 Ongoing work with Department of Arts, Heritage and the Gaeltacht (DAHG) to change the focus / nature of Waterways Ireland (WI) monitoring meetings.
 - 6.1.2 Introduction of additional meetings between sponsor departments and the N/S Bodies to gain a better understanding of key issues and to be able to probe officials from the bodies about these.
 - 6.1.3 A commitment by both AO's to attend meetings about priority issues.
 - 6.1.4 Briefing Ministers about key issues ahead of N/S Ministerial Council meetings.

- 6.2 The Board discussed governance and accountability arrangements and whether the Sponsorship Manual should apply the same way to N/S Bodies as it does with DCAL's ALBs. The Board agreed that the ALB Sponsorship Manual for DCAL, as it stands, should not apply to N/S Bodies. Instead, a separate document is required with a starting point being the Financial Memorandum.

Action: Sinead McCartan to remove references to N/S Bodies from Sponsorship Manual.

- 6.3 Rosalie Flanagan said she would meet with her counterpart in DAHG, Joe Hamill, to discuss the Financial Memorandum and how DAHG draw their required assurances from it.

7.0 Finance Report (Michael O'Dowd) (DB 83-11) and Monitoring Report to Departmental Board (Michael O'Dowd & Brian McTeggart) (DB 72-11)

- 7.1 Michael O'Dowd and Brian McTeggart joined the meeting to discuss the Finance Report for both resource and capital. The Board noted the Finance report and a number of issues were discussed:

7.1.1 Prompt Payment Target: DCAL's recent performance in relation to the 10 day prompt payment target was 90.9% in November. 99.4% of invoices were paid within the 30 day target. In relation to the 10 day prompt payment target, the Board noted the poor performance of both LNI and NMNI. Reminder letters are being issued to all ALBs, including specific responses to LNI and NMNI. ALB performance will then be monitored monthly from January onwards.

7.1.2 Spend to date and outturn: The Board noted the 2011/12 spend at November 2011.

- 7.2 The Board discussed what financial information they should receive to ensure branches and ALBs are exercising good financial management. The Board requested further analysis on spend compared to budget profiling. Any significant deviations should be highlighted and an explanation given.

Action: Michael O'Dowd to liaise with sponsor branches and provide further analysis on budget profiling.

- 7.3 Brian McTeggart gave an update on the capital programme. The Board noted the update and the following issues were discussed:

7.3.1 Capital Profiling: A similar exercise in relation to budget profiling needs completed for the capital programme.

Action: Brian McTeggart to liaise with sponsor branches and provide further analysis on budget profiling.

7.3.2 50m Pool: The Board requested further details on a potential underspend relating to the 50m Pool as this may affect potential bids in the next Monitoring Round. The Board also requested an update in relation to the damaged beams.

Action: Brian McTeggart to provide an update and further detail on potential underspend prior to deadline for the next Monitoring Round.

7.3.3 New World Development: Brian McTeggart confirmed that a deadline of 31st December has been set for NMNI to submit to the Department a full report regarding cost overruns. The Board may require the NMNI CEO to present the report's findings at the January Departmental Board meeting.

Action: Mick Cory to discuss with NMNI CEO the possibility of presenting to Departmental Board in January.

7.3.4 Regional Stadium Development: A full report on progress in relation to Regional Stadium Development will be provided by Sports Branch at the January Board meeting.

7.3.5 Contingency Exercise 2011/12: Brian McTeggart agreed to issue a note to Independent Board Members to confirm they are content for the Senior Management Team to make any decisions in relation to the 2011/12 Contingency Exercise.

Action: Brian McTeggart to issue note to Independent Board Members.

8.0 Annual Procurement Update (Brian McTeggart) (DB 84-11)

8.1 Brian McTeggart gave an update on the Annual survey on Public Procurement including grant expenditure. DCAL achieved 93% procurement channelled or influenced by a CoPE for the CSR period 2008-11. This is an increase of 6 percentage points on last year's returns, but still 2% below the target set by the Procurement Board. The target has been increased to 98% for 2011/12 onwards.

8.2 Following a written query from John West prior to the Board meeting, Brian McTeggart confirmed that N/S Bodies do not need to consult a CoPE about their procurement and are therefore not included in the survey results.

8.3 The Departmental Board noted the issues arising from the completion of the 2010/11 annual procurement survey and agreed the actions proposed to help achieve the target of 98% in 2011/12 and beyond.

9.0 ARMC Update (DB 82-11)

- 9.1 John West, Chair of DCAL's Audit and Risk Management Committee (ARMC), will provide an update of the meeting held on 6th December at the January Departmental Board.

10.0 Corporate Risk Register (Sinead McCartan) (DB 85-11)

- 10.1 Sinead McCartan spoke to the Risk Register paper, DB 85-11, and asked that the Board review the Corporate Risk Register and consider if the risks are still appropriate and if there are any further risks that should be added. The Board reviewed the Risk Register and noted the following:

10.1.1 Risks 1a & 1b: Risks, including Action Plans, to be updated.

Action: Deborah Brown to update Risks 1a and 1b.

10.1.2 Risk 5: Action Plan to be updated to reflect NMNI Single tender Actions.

Action: Deborah Brown to update.

10.1.3 Risk 6: Timescale in relation to further work to be added.

Action: Deborah Brown to update.

10.1.4 Risk 7: Risk to be updated to reflect recent developments.

Action: Mick Cory to update.

- 10.2 The Board requested Risk Register format to be changed to Word document to help updating.

Action: GSU to change format of Risk Register.

11.0 Single Tender Action Update (Sinead McCartan) (DB 86-11)

- 11.1 Sinead McCartan gave an update on Single Tender Action (STA) and provided a summary of the STAs of the Department and its ALBs for the period 1st April to 30th September 2011.

- 11.2 The Board discussed the Procurement Guidance Notes (PGNs) which have particular relevance to STAs i.e. PGN 03/11 and PGN 03/10. Sinead McCartan confirmed that the most recent guidance note (PGN

03/11) will be issued shortly to DCAL's ALBs. Prior to issuing the new PGN, the Board requested clarification around delegated limits and Accounting Officer approvals.

Action: Sinead McCartan to clarify arrangements in relation to delegated limits and Accounting Officer approval responsibilities.

- 11.3 The Board discussed the summary of ALB STA returns and asked Directors to report to the next Board meeting providing assurance that they are content with the current level of reporting i.e. ensuring all STAs are being reported. Directors were also asked to ensure that their Branches and ALBs continue to contact CPD on all procurement and the necessary documentation is completed accordingly e.g. DAC form.

Action: Directors to report to January Board on STAs.

- 11.4 Sinead McCartan confirmed that Quarterly Assurance Statements will be updated to ensure the correct documentation is being completed and appropriate advice has been sought from CPD.

12.0 ESU Update (Patrick Neeson) (DB 81-11)

- 12.1 Patrick Neeson, Head of Economics Services Unit gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion.
- 12.2 The Board thanked ESU for their efforts in reducing the number of outstanding PPEs.

13.0 World Police & Fire Games (Donal Moran) (DB 80-11)

- 13.1 Donal Moran, Head of 2013 World Police & Fire Games Branch (WPFGB), joined the meeting and gave an update on progress since the last Departmental Board meeting. Main issues discussed included:

13.1.1 Resource Budget and Profile: Donal Moran confirmed that an addendum to the Business Case is required due to potential project cost increases. Rosalie Flanagan suggested that WPFGB should meet with DFP to discuss budgetary issues.

Action: Donal Moran to take forward addendum issue.

13.1.2 In relation to a written query from John West prior to the Board meeting on the disproportionate cost of securing sponsorship, Donal Moran agreed to provide a further update at the January Board.

Action: Donal Moran to provide update.

13.1.3 Volunteers: Donal Moran agreed to provide an update on volunteering at the January Board meeting.

Action: Donal Moran to provide update.

14.0 Sponsorship Manual (Sinead McCartan) (DB 87-11)

14.1 Sinead McCartan gave an update on the current progress in the review of the DCAL Sponsorship Manual. The Board agreed that the document should be updated ensuring that the Departmental roles and responsibilities as well as the changing nature of sponsorship of DCAL ALBs are considered with full consultation with DCAL Senior Management Team. A revised version will then be brought to the Board for sign-off.

Action: Sinead McCartan to update Sponsorship Manual and bring to Board for sign-off.

15.0 Quarterly Assurance Statement Revisions (Sinead McCartan) (DB 88-11)

15.1 Sinead McCartan asked the Board to note the proposed review of the Quarterly Assurance Statement (QAS). The review of the last quarter assurance statements highlighted areas which were deficient in the assurances sought.

15.2 The Board agreed that GSU should review the QAS process to identify opportunities where the QAS can be further integrated into Departmental Business processes and to suggest methods of addressing inaccurate or incomplete information in QAS which have been submitted by ALBs.

Action: Sinead McCartan to provide an updated version by February Board at the latest.

16.0 Corporate Plan (Philip Spotswood) (DB 91-11)

16.1 Philip Spotswood gave an update on progress in relation to the development of DCAL's Corporate and Business Plans. The Board noted a working draft of the Corporate Plan.

16.2 The Board had a discussion on the number of targets contained in the Balanced Scorecard and agreed that these should be reduced. The Board agreed to provide further comments / feedback on the document from a divisional perspective by the end of next week.

Action: Board to provide further feedback on Corporate Plan.

16.3 John West provided a number of written comments prior to the Board meeting. Philip Spotswood confirmed that these comments will be taken into account.

16.4 The Board thanked Philip Spotswood for his work so far.

17.0 Papers to Note:

17.1.1 **IMB Update (DB 92-11):** The Board noted the Information Management Branch update.

17.1.2 **Personnel Update (DB 93-11):** The Board noted the personnel update. A further discussion on the lack of uptake in generic training courses took place. PFMB are investigating this issue.

18.0 Any Other Business

18.1 No other business was discussed.

19.0 Next Meeting

19.1 The Board noted that the next meeting will be held on Tuesday 31st January 2012.

Stephen Kerr

16th December 2011

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 31st January 2012 – 9.30am – 1.00pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Aileen McClintock
John West
Marie Mallon

In attendance: Sinead McCartan
Stephen McGowan
Philip Spotswood
Stephen Kerr (minutes)
Wesley Emmett (Observer – SIB)

Apologies:

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board meeting including Wesley Emmet who is attending as an observer to help inform the Board Effectiveness Workshop that he is developing for the Department.
- 1.3 Apologies were received from Arthur Scott, Michael Willis and Walker Ewart. Stephen McGowan attended on Arthur's behalf.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Presentation on Innovative Public Procurement (David Sterling, DETI, Eoin McFadden, DETI & Des Armstrong, CPD. In attendance – Brian McTeggart)

- 3.1 David Sterling, Eoin McFadden and Des Armstrong joined the meeting and gave a presentation on "Innovative Public Procurement". The presentation covered two types of procurement i.e. Pre-Commercial Procurement/SBRI (Small Business Research Initiative) and Forward

Commitment Procurement. Both these innovative approaches to procurement have a number of benefits including encouraging better products at better prices, stimulating a more competitive procurement environment, developing new services and products to meet previously unmet needs and providing a stimulus to local economy. A number of case studies were also presented which highlighted the work of the SBRI.

- 3.2 Rosalie Flanagan thanked the team for the presentation and asked Stephen McGowan, Arts & Creativity Branch, to give a brief outline of how DCAL could link in with the initiative. Stephen provided detail on a number of similar procurement/grant initiatives currently underway within the Department including a grant provided to Digital Circle for the development of a tourism focused app on Ulster-Scots and Irish culture. A short question and answer session followed.
- 3.3 Rosalie Flanagan asked whether there was a limit on the size of the potential project. Eoin McFadden confirmed that although the initiative focuses on small/medium sized business, there is no limit to project size.
- 3.4 Marie Mallon asked whether the initiative is only open to companies within Northern Ireland. David Sterling confirmed that due to procurement regulations the initiative cannot be limited to NI companies.
- 3.5 The Board agreed that further information on Innovative Public Procurement will be communicated to staff via the Staff Brief process. Stephen McGowan agreed to draft a paper for the March Departmental Board outlining further ideas or initiatives where DCAL can link in with Innovative Public Procurement.

Action: Stephen McGowan to draft a paper for the March Departmental Board.

4.0 Minutes from Meeting held on 14th December 2011. (DB M-1-12)

- 4.1 The Board agreed the minutes subject to a few minor changes. Minutes will be published on the Departmental internet and intranet sites.

5.0 Matters Arising / Action Points (DB A-1-12)

- 5.1 The action point table was reviewed. The main points to note were as follows:
 - 5.1.1 A number of actions in relation to governance, sponsorship, ALB review and QAS are to be consolidated. These include 5.5, 6.2 and 12.1.

5.1.2 **Action 11.2 – 14/12/11:** Sinead McCartan confirmed that a submission has been drafted in relation to delegated limits and approval responsibilities.

5.1.3 **Action 16.1 – 29/6/11:** Action to be removed.

5.1.4 **Actions 7.2 and 7.3.1 – 14/12/11:** Action points to be combined and a paper to be brought to the February Board meeting.

Action: Michael O’Dowd/Brian McTeggart to draft a paper on budget profiling for February Board.

5.2 The Board agreed that any completed actions should be removed from the table.

6.0 ARMC Update on Meeting held 6th December (John West – DB 82-11)

6.1 John West, Chair of DCAL’s Audit and Risk Management Committee (ARMC), provided an update of the meeting held on 6th December. The Board noted a number of issues which were discussed at the ARMC including the Internal Audit Progress Report, GSU update paper, PPEs, ownership of DCAL assets and the ARMC review of effectiveness. Specific concern was raised on the number of IA recommendations that have been outstanding for more than one year. John understands that this is being progressed within the department.

6.2 In relation to the ARMC review of effectiveness, specific points raised included a request for more clarity on ARMC member processes relating to selection, induction, appraisal and ongoing education. John West will follow up these matters with GSU and Permanent Secretary.

Action: John West to discuss ARMC member processes with GSU / Permanent Secretary.

7.0 Corporate Risk Register (Sinead McCartan) (DB 6-12)

7.1 Sinead McCartan spoke to the Risk Register paper, DB 6-12, and asked that the Board review the Corporate Risk Register and consider if the risks are still appropriate and if there are any further risks that should be added. The Board reviewed the Risk Register and noted the following:

7.1.1 Risks 1a & 1b: Deborah Brown provided an update on Risks 1a and 1b. DCAL will be promulgating a new approach in relation to the effective sponsorship of ALBs. The Board requested that Risks 1a and 1b be combined.

Action: Deborah Brown to combine Risks.

7.1.2 Risk 2: Mick Cory provided an update on Risk 2. A letter will be issued to the CAL Committee setting out the proposals in relation to the delivery of benefits of W5. Following the implementation of the proposals the Risk will have a Green RAG rating.

7.1.3 Risk 3: Mick Cory provided an update on Risk 3. The appointment of a project director is to be added to the Action Plan.

Action: Mick Cory to update Action Plan to include appointment of project director.

7.1.4 Risk 5: Deborah Brown gave an update on Risk 5. The Board requested further detail on the Action Plan for making sure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Action: Deborah Brown to update Action Plan for Risk 5.

7.1.5 Risk 8: A new Risk in relation to City of Culture has been added to the Corporate Risk Register. Cynthia and Deborah asked about the “ownership” of the company, the governance arrangements, and the DCAL role/remit. The Board requested that the Risk Owner, Joanna McConway, attends the February Board and provides a more substantive update.

Action: Joanna McConway to provide an update at February Board.

8.0 Economics Services Unit Update (Patrick Neeson – DB 3-12)

8.1 Patrick Neeson, Head of Economics Services Unit gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion.

8.2 Mick Cory gave an update on the Coleraine Riding for the Disabled Facilities PPE. The PPE has been submitted to DFP. However, a letter will be issued to the SNI Accounting Officer recording the governance failure in SNI.

Action: Mick Cory to draft letter, cleared by Permanent Secretary, for issue to Accounting Officer.

8.3 The Board discussed Annex 1 – DCAL PPEs. Patrick Neeson confirmed that ESU are drafting a lessons learned report for the end of the financial year which will be circulated throughout the Department. This will include advice on how DCAL should address overdue PPEs.

Action: ESU to circulate lessons learned report throughout the Department.

9.0 Finance Report (Michael O’Dowd & Brian McTeggart – DB 4-12)

9.1 Michael O’Dowd and Brian McTeggart joined the meeting to discuss the Finance Report for both resource and capital. The Board noted the Finance report including:

9.1.1 Spend to date and outturn: The Board noted the 2011/12 spend at December 2011.

9.1.2 Budget – January Monitoring Update: The Board noted that the January Monitoring exercise is now complete. A number of successful bids were made and a number of easements were declared. There was also a reclassification from the administration to resource budget.

9.1.3 Bilateral with DFP Minister and proposed submission: The Board noted that following the recent bilateral meeting with Minister Wilson, the DCAL Minister will write to him highlighting future pressures and uncertainties.

9.1.4 Prompt Payment Target: The Board noted DCAL’s recent performance in relation to the 10 and 30 day prompt payment targets i.e. 90.9% in December for the 10 day target and 97.5% within the 30 day target. The Board noted that there has been a slight improvement in relation to ALB prompt payment performance.

9.2 Brian McTeggart gave an update on the capital programme. The Board noted the update and the following issues were discussed:

9.2.1 Asset Management Strategy: The aim is to have the Asset Management Plan drafted by the end of February. It will be issued to the Board for clearance prior to going out to ALBs for consultation.

Rosalie raised concerns on the slippage in the delivery of the Asset Management Plan. Brian McTeggart explained that this had resulted from the need for a 2nd round of meetings with ALB CEOs. The aim is to have a paper ready for consideration by end February.

9.2.2 Capital Spend: The Board discussed the issue of capital spend, particularly in relation to possible underspends and slippage in the 50M Pool project. The Board agreed that easements in capital should be directed to additional costs

identified for Movanager. Any further easements should be directed to the 50M Pool project, based on actual work incurred, to reduce the pressure next year.

Action: Brian McTeggart to continue to monitor capital easements.

9.2.3 Meeting with ALB Chairs/CEOs: Rosalie Flanagan requested that the Strategic Partnership Forum is arranged to bring together all ALB Chairs/CEOs to discuss capital and other issues. Deborah Brown agreed to draft/circulate an agenda and arrange a suitable date.

Action: Deborah Brown to arrange meeting with ALB Chairs/CEOs.

9.2.4 New World Development: Brian McTeggart provided an update on the New World Development project. A NMNI report is still awaited. The Board agreed that the delay was not acceptable and the Permanent Secretary will seek an urgent meeting with the CEO.

10.0 Regional Stadium Development Programme (Colin Watson – DB 5-12)

10.1 Colin Watson joined the meeting and gave an update on the actions taken to progress the Regional Stadium Development Programme.

10.2 The Board noted the concerns on Planning Approval and Budget Profiling issues. The Board requested a further comprehensive update at the February Board meeting, particularly in relation to issues around programme management capabilities.

Action: Colin Watson to provide update.

11.0 Quarterly Assurance Statements (Sinead McCartan – DB 7-12)

11.1 Deborah Brown spoke to the Quarterly Assurance Statements paper, DB 7-12 and gave an overview of the common themes outlined in the QAS.

11.2 In relation to the SMRD QAS, Mick Cory confirmed that he has written to Sport NI in relation to a number of issues that were not raised on their QAS and Risk Register.

11.3 In relation to the delayed progress on the risk assessment exercise for N/S Bodies as highlighted on the Corporate Services Division QAS, Rosalie Flanagan confirmed that she has met with counterparts in the

South and it is proposed that a new governance framework will be prepared for Ministers' consideration.

Action: Arthur Scott to incorporate the findings of the N/S risk assessment into the development of a new governance framework.

- 11.4 In relation to the NIMC Accounting Officer's assurance that the Government Funding Database was "fully updated on a timely basis", the Department has been advised that this is not the case. Mick Cory will write to NIMC raising DCAL's concerns in relation to the assurances contained within the NIMC QAS.

Action: Mick Cory to write to NIMC.

- 11.5 The Board discussed Post Assurance Statement issues. In relation to an emergency funding requirement for Foras Na Gaeilge, Rosalie Flanagan confirmed that she and the DAHG Secretary General have agreed to have a meeting with the Chair to discuss the issue.

12.0 DCAL Corporate Plan and Balanced Scorecard 2011-15 (Philip Spotswood – DB 8-12)

- 12.1 Philip Spotswood, Governance Support Unit, presented the second draft of the DCAL Corporate Plan and Balanced Scorecard 2011-15 for consideration by the Board. The second draft incorporates comments received from Board Members and business areas. The following issues were discussed:

12.1.1 The number of Balanced Scorecard targets has been reduced from 59 to 37. As a result of the removal of these targets, two objectives have also been removed.

12.1.2 Minister's priorities are much more strongly represented in the Balanced Scorecard. The title of the document has also been changed to "DCAL Corporate Plan and Balanced Scorecard".

12.1.3 Some content still needs to be added including the Permanent Secretary's foreword and some business area content.

- 12.2 The Board requested a number of items to be added to the Corporate Strategy narrative including detail in relation to the City of Culture and other key commitments to which DCAL may contribute in the Programme for Government. In addition, the business area inputs will be examined to ensure they are proportionate and consistent. Links with the five Strategic Pillars should also be incorporated.

Action: Philip Spotswood to update Corporate Plan and Balanced Scorecard to incorporate Board suggestions.

- 12.3 The Board agreed that any further amendments or suggestions should be dealt with by correspondence.

13.0 Papers to Note:

13.1.1 **IMB Update (DB 9-12):** The Board noted the Information Management Branch update.

13.1.2 **Personnel Update (DB 10-12):** The Board noted the personnel update.

13.1.3 **Clarification on Bribery Act (DB 11-12):** Sinead McCartan confirmed that DAO 09/11 was issued by DFP on 20th December 2011 advising of the introduction of the UK Bribery Act 2010 and providing clarification on a number of sections.

GSU are currently in the process of reviewing the fraud policies and fraud response plan of the Department and its ALBs. As part of this review a bribery risk assessment will be conducted within the Department. Fraud policies will be proportionately amended to incorporate the requirements of the Act. **The Board requested to be kept updated as implementation is progressed.**

Action: Sinead McCartan to update the board as implementation is progressed.

13.1.4 **Single tender Action Update (DB 12-12):** The Board discussed the summary of the Single Tender Actions of the Department and its ALBs for the period 1st October to 31st December 2011. Mick Cory gave an update on NMNI STAs.

Sinead McCartan confirmed that the Senior Management Team and Permanent Secretary will be asked to consider and approve the proposal that purchases falling below the new £500 de minimis limit are no longer reported to the Department.

The Board requested a further report on STAs with input from Directors which, once signed off by the Board, will enable STAs to be reported on an annual basis in line with DFP's reporting schedule.

Action: GSU to provide a further report on STAs.

13.1.5 **World Police & Fire Games Update (DB 13-12) and World Police & Fire Games Legacy Plan Update (DB 1-12):** The Board noted the update on progress in relation to the 2013 World Police and Fire Games and the Strategic Legacy Plan. The Board agreed that a further discussion on 2013 WPFPG should take place at the February Board meeting.

Action: Donal Moran to attend next Board meeting and provide an update.

13.1.6 **Staff Brief (DB 14-12):** The Board noted the summary from Communications Branch which included details of staff brief meetings and returns on Branch intranet/internet content. It was agreed that the responses to questions asked in team briefs will be included in the next Team Brief.

13.1.7 **Staff Attitude Survey (DB 15-12):** The Board noted the results from the NICS Staff Attitude Survey, conducted in September 2011. The Board requested an analysis of the results against the previous survey and an assessment of the actions taken as set out in the Action Plan. This will be considered by SMT and the Staff Engagement Forum.

Action: Deborah Brown to arrange for results and actions to be analysed before reconvening the Staff Engagement Forum to discuss an Action Plan.

14.0 Any Other Business

14.1 No other business was discussed.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on Tuesday 28th February 2012.

Stephen Kerr
February 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 28th February 2012 – 9.30am – 12.20pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory (arrived 11.45am)
John West
Marie Mallon

In attendance: Sinead McCartan
Michael Willis
Colin Watson
Joanna McConway
David Huddleston
Philip Spotswood
Stephen Kerr (minutes)

Apologies:

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.4 Apologies were received from Aileen McClintock, Arthur Scott and Walker Ewart. David Huddleston attended on Aileen's behalf. Joanna McConway attended on Arthur's behalf.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFGE) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 31st January 2012. (DB M-2-12)

3.1 The Board agreed the minutes subject to a few minor changes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising / Action Points (DB A-2-12)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action 9.2.4 – 31/1/12:** Board to be updated once the New World Development report has been received.

Action: Mick Cory to update Board when report is received.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 Stadium Update (Colin Watson – DB 20-12)

5.1 Colin Watson, Head of Sports Branch, gave an update on developments around the delivery of the Regional Stadium Development Programme.

5.2 A Sponsor Board meeting took place on 16th February 2012 at which a number of actions for Sport NI were identified to move the programme forward.

5.3 The Board discussed a number of issues around programme management including the programme delivery plan, risk register, programme budget and Benefits Realisation.

6.0 World Police & Fire Games Update (Donal Moran – DB 16-12)

6.1 Donal Moran, Head of 2013 World Police & Fire Games Branch (2013 WPFGB), joined the meeting and gave an update on progress in relation to the 2013 WPFGB. Issues discussed included Governance and Accountability, Minister's Meeting with Chair and CEO, the Business Case Addendum, Gateway Review, the Financial Profile and briefing the Assembly.

6.2 The Board noted the update and requested a further update on the outcome of the Gateway Review at the next Board meeting.

Action: Donal Moran to provide update on the Gateway Review at March Board meeting.

7.0 Economics Services Unit Update (Patrick Neeson – DB 17-12)

7.1 Patrick Neeson, Head of Economics Services Unit, joined the meeting and gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion.

7.2 The Board discussed a number of overdue PPEs including Bangor Library and the Waterside Theatre projects. The Board also discussed the Coleraine Riding for the Disabled Facilities PPE. Deborah Brown

confirmed that any issues in relation to this PPE will be captured in the Quarterly Assurance Statements.

- 7.3 Patrick Neeson confirmed that a Lessons Learned Report in relation to PPEs will be presented at the March Departmental Board meeting.

Action: Patrick Neeson to present Lessons Learned Report at March Board meeting.

8.0 Asset Management Plan (Brian McTeggart – DB 19-12)

- 8.1 Brian McTeggart, Capital Programme Manager, joined the meeting and gave an update on the Asset Management Plan. The Board noted the table showing the current position against the previous actions and timetable.

- 8.2 Brian McTeggart confirmed that, due to a range of issues including consultations with ALBs and staff availability, the Asset Management Plan for DCAL and its ALBs will not be available for at least another month.

- 8.3 Brian McTeggart confirmed that, whilst the Asset Management Unit will have input, the Asset Management Plan will be drafted by DCAL officials. Once the plan has been drafted it will be circulated to DCAL Senior Management Team for input.

Action: Brian McTeggart to arrange drafting of Asset Management Plan and issue to Senior Management Team.

- 8.4 Deborah Brown said that it would be useful if the Asset Management Unit (AMU) could give a presentation to the March Departmental Board once the AMU report on its findings on the land and property held by DCAL and its ALBs which will provide the basis for conclusions on our Assets to inform the Asset Management Plan. This draft report should also be sent to the Senior Management Team as soon as possible for comment.

Action: Brian McTeggart to arrange for Asset Management Unit to present to the Board in March.

- 8.5 A letter is due to be issued by Mick Cory to NMNI in relation to their asset audit. The letter will also mention the renewal of leases for storage purposes, and will request Tim Cooke's assessment on the need to retain Malone Buildings and Lancaster Street Car Park.

Action: Brian McTeggart to liaise with Mick Cory regarding issue of letter to NMNI.

9.0 Corporate Risk Register (Sinead McCartan) (DB 21-12)

9.1 Sinead McCartan spoke to the Risk Register paper, DB 21-12, and asked that the Board review the Corporate Risk Register and consider if the risks are still appropriate and if there are any further risks that should be added. The Board reviewed the Risk Register and noted that no new Risks have been added to the Risk Register and Risk Ratings remain unchanged since the January Board. Details of any budgetary implications relating to each risk have been added where appropriate following a request from the Chair of ARMC. The Board also discussed the following:

9.1.1 All Risks: John West requested that the Risk Register format is amended to reflect the “Key Threats”. Key threats should be included under “Budgetary Implications” and will reflect the current and live threats for each Risk.

Action: Risk Owners to add “Key Threats” under each Risk.

9.1.2 Risk 4: Rosalie Flanagan gave an update on the latest position in relation to Risk 4. The Board agreed that the RAG rating for Risk 4 should be looked at again in light of recent developments.

Action: Mick Cory to reassess RAG rating.

9.1.3 Risk 5: Deborah Brown agreed to rationalise the “How risk is currently managed” column.

Action: Deborah Brown to rationalise.

9.1.4 Risk 7: It was agreed that the Stadium risk should articulate progress against each of the individual projects.

Action: Mick Cory to update risk.

9.1.5 Risk 8: Joanna McConway gave an update on the City of Culture programme. Issues discussed included background to the programme, funding expectations, the business case, staffing and key delivery risks. The Board requested further updates on the City of Culture every two months.

Action: Joanna McConway to provide an update to the Board every two months.

10.0 Quarterly Assurance Statements Update (Sinead McCartan DB 22-12)

- 10.1 Sinead McCartan spoke to the Quarterly Assurance Statements paper, DB 22-12 and asked the Board to note the QAS paper and associated process.
- 10.2 The Board discussed the contents of the paper including the recent DAO 08/11 on Accounting Officer responsibilities. The Board emphasised the need to ensure that QAS are accurate and that any concerns should be raised with the board through the Chair. QAS should be going through ALB Audit Committees and Boards before submission to the Department. The Board agreed to provide any further comment to GSU and sign-off will be agreed by way of correspondence.

Action: Board Members to issue any further comments to Sinead McCartan and sign-off will be agreed by correspondence.

11.0 Single Tender Action (Sinead McCartan DB 23-12)

- 11.1 Sinead McCartan spoke to the Single Tender Action paper and asked the Board to note and approve the revised guidance which has been issued throughout the Department and its ALBs. The Board were also asked to approve the annual reporting of STAs and noted the assurances provided by Senior Sponsors for the ALB STAs which were included within the STA return presented to the January Board.
- 11.2 Mick Cory confirmed that a letter has been issued to NMNI in relation to their reporting of STAs. Mick agreed to keep the Board informed of NMNI's reply.

Action: Mick Cory to provide further update to Board on NMNI reply.

- 11.3 The Board agreed the recommendations in the report.

12.0 DCAL Corporate Plan and Balanced Scorecard 2011-15 (Philip Spotswood – DB 24-12)

- 12.1 Philip Spotswood, Governance Support Unit, gave an update on progress in relation to the DCAL Corporate Plan and Balanced Scorecard 2011-15.
- 12.2 Philip Spotswood proposed that the Corporate Plan is launched on the 26th March 2012, one week after the launch of the Programme for Government. The Board agreed this proposal.
- 12.3 The Board noted the issues which have arisen from the Programme for Government consultation process.

12.4 Mick Cory said that for PfG monitoring to the Departmental Board, the reporting template should follow the same template as that for reporting to OFMDFM.

Action: Philip Spotswood to follow OFMDFM reporting template.

12.5 The Board thanked Philip Spotswood for his work to date.

13.0 Papers to Note:

13.1.1 **Finance Report (DB 18-12):** The Board noted the Finance Report for February which included details of spend to date and prompt payment targets.

13.1.2 **Communications Update (DB 25-12):** The Board noted the Communications Branch summary which provided confirmation of staff briefing meetings and returns on intranet / internet. The Board agreed that the Staff Brief should be used to disseminate information about cross-cutting issues e.g. EU funding.

13.1.3 **IMB Update (DB 26-12):** The Board noted the Information Management Branch update.

13.1.4 **Personnel Update (DB 27-12):** The Board noted the personnel update particularly the sickness absence statistics. The 2011/12 target is 6.5 working days lost per member of staff and the current YTD figure (at December 2011) is 6.0 working days lost, an indication that we will not meet this year's target.

13.1.5 **Shared Services Benefits Realisation – Quarterly Update (DB 28-12):** The Board noted the quarterly update on Benefits Realisation for DCAL's Shared Services i.e. HR Connect, Records NI and Account NI.

14.0 Any Other Business

14.1 No other business was discussed.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on Tuesday 27th March 2012.

Stephen Kerr
March 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 27th March 2012 – 9.30am – 12.20pm

Present: Rosalie Flanagan
Deborah Brown
Aileen McClintock
Mick Cory
John West
Marie Mallon

In attendance: Colin Watson
Gerard Murray
Philip Spotswood
Stephen Kerr (minutes)

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.5 Apologies were received from Cynthia Smith, Walker Ewart and Arthur Scott. Gerard Murray attended on Arthur's behalf.

2.0 Declaration of Conflicts of Interest

2.1 No conflicts of interest were declared.

3.0 Minutes from Meeting held on 28th February 2012. (DB M-3-12)

3.1 The Board agreed the minutes subject to a few minor changes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising / Action Points (DB A-3-12)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action 11.2 – 28/2/12:** Mick Cory agreed to provide an update at the April Board meeting.

Action: Mick Cory to provide update in April.

4.1.2 **Action 8.3 – 28/2/12:** Deborah Brown gave an update on the Asset Management Plan. It is expected that a draft report will be issued to SMT for consideration before the Easter break.

4.1.3 **Action 4.1.1 – 28/2/12:** Mick Cory confirmed that the New World Development report has been received and is being considered.

4.1.4 **Action 6.2 – 31/1/12:** John West confirmed that this action is still work in progress. Matters are being followed up with GSU.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 World Police & Fire Games Update (Donal Moran – DB 29-12)

5.1 Donal Moran, Head of 2013 World Police & Fire Games Branch (2013 WPFGB), joined the meeting and gave an update on progress in relation to the 2013 WPFGB.

5.2 The Board noted the six “essential” or “critical” recommendations identified by the Review Team following the Gateway Review, which gave an amber/red rating. Whilst the Gateway Report still has to be formally agreed, the six recommendations are being taken forward. The Board noted that the Business Case Addendum has now been agreed by DFP.

5.3 The Board discussed the issue of procurement in relation to WPFGB. Deborah Brown suggested that any issues with WPFGB procurement should be fed into the work currently ongoing in preparing a new SLA with CPD.

Action: Donal Moran to highlight procurement issues and liaise with GSU and Permanent Secretary.

5.4 The Board discussed the issue of “Social Clauses” in relation to WPFGB. Donal Moran confirmed that discussions are ongoing between the Department, CPD and the WPFGB Company in relation to this issue.

5.5 Rosalie Flanagan confirmed that the recruitment process is underway for a full-time project manager.

5.6 The Board requested that David Ferguson, 2013 WPFGB, attend the April Departmental Board meeting to give an update on progress in relation to the Programme Plan, accommodation, financial profiling and any other relevant issues.

Action: Donal Moran to arrange for David Ferguson to attend the April Board meeting.

6.0 ARMC Update (John West – DB 33-12)

- 6.1 John West, Chair of ARMC, gave an update on ARMC following the meeting on 6th March 2012. The Board noted updates in relation to Internal Audit, Quarterly Assurance Statements, NIAO, Legal Titles in relation to Departmental Assets, Departmental Risk Register and the Audit Chairs Workshop.
- 6.2 John West confirmed that Keith Morrison will be leaving his post as Independent ARMC member after serving a 4-year term. The Board agreed that a replacement member should be sought.

Action: GSU to start process for replacement.

7.0 Economics Services Unit Update (Patrick Neeson – DB 30-12)

- 7.1 Patrick Neeson, Head of Economics Services Unit (ESU), and Stuart Coulter, ESU, joined the meeting and gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion. The Board were also asked to note contents of the draft 2011/12 Lessons Learned Report.
- 7.2 The Board noted the current ESU workstreams and discussed outstanding PPEs. Further progress in reducing the number of outstanding PPEs has been made since the last Board update.
- 7.3 Patrick Neeson spoke to the lessons Learned Report which details the findings from the post project evaluations that have been submitted to ESU during 2011/12. The report covers lessons learned in terms of both the implementation and operation of projects.
- 7.4 The Board agreed that an action plan based on the lessons learned would be produced for dissemination throughout the Department and to ALBs. The Board thanked ESU for its comprehensive Report.

Action: ESU to produce action plan based on the lessons learned report for dissemination throughout the Department and to ALBs.

- 7.5 John West also suggested that this should be included in the Audit Chairs Workshop in May.
- 7.6 Stuart Coulter took the opportunity to raise awareness for the DCAL and DARD Radical Team NICS Live Challenge and made a request for support for the very worthy local charity The Cedar Foundation

8.0 Finance Report (Michael O'Dowd and Gillian McAfee – DB 31-12)

8.1 Michael O'Dowd, Head of Finance Branch, and Gillian McAfee, Finance Branch, joined the meeting and asked the Board to note the Finance Report. The Board noted the following main issues:

8.1.1 **Spend to Date:** The Board noted spend figures in relation to the administration, resource and capital budgets.

8.1.2 **Future Budget Pressures / Exercises:** The Board noted that no formal budget exercise will take place in 2012/13. Arrangements for 2013-15 will be discussed by the Executive in due course.

The Board discussed the overall Departmental position in relation to anticipated future pressures in the capital and resource budgets. The Board agreed that a number of potential pressures should be managed internally.

The Board approved the allocation of £800k to LNI for Kilkeel Library on the basis of anticipated easements of approximately £1.3m in 12/13.

The Board agreed the 1% easement planning assumption and approved the allocation of additional resource to W5 and WPFG which will be formally actioned in future monitoring rounds.

8.1.3 **Prompt Payment target:** Recent performance in relation to DCAL's 10 and 30 day Prompt Payment targets has shown continued improvement.

9.0 Stadium Update (Colin Watson – DB 32-12)

9.1 Colin Watson gave an update on developments around the delivery of the Regional Stadium Development Programme.

9.2 The Business Plans for all three Stadium projects have now been approved and letters of offer have been issued. A number of other issues were discussed including the Programme Plan and budget profiling. Colin Watson confirmed that a new Programme Director will take up post on 2nd April.

10.0 Corporate Risk Register (Deborah Brown DB 34-12)

10.1 Deborah Brown spoke to the Corporate Risk Register and asked the Board to note the updates.

10.2 The Board noted the following:

Risk 1: No change.

Risk 2: Mick Cory gave an update on progress in relation to the delivery of benefits of W5 including details of future governance arrangements. Depending on Ministerial agreement of the governance arrangements the risk rating may be downgraded and may be recommended for removal from Departmental Risk Register.

Risk 3: Mick Cory to change wording in risk action plan to “Treated and Residual Risk Ratings to be reviewed when independent assurance in place.”

Action: Mick Cory to amend wording in action plan.

Risk 4: Mick Cory gave an update on salmon conservation measures. The next step will be a public consultation on the control of recreational salmon fishing. A draft consultation document has been produced.

Risk 5: Deborah Brown said that Risk 5 has been rationalised following comments at the last Departmental Board meeting.

Risk 6: Deborah Brown confirmed that Risk 6 is still relevant and should remain on the Risk Register.

Risk 7: Risk rating to remain the same.

Risk 8: The Board agreed that the wording of risk should be amended to show OFMDFM are in the lead in relation to the City of Culture PfG commitment.

Action: Joanna McConway to amend risk wording.

11.0 DCAL Corporate Plan and Balanced Scorecard 2011-15 (Philip Spotswood – DB 35-12)

11.1 Philip Spotswood, Governance Support Unit, gave an update on progress in relation to the DCAL Corporate Plan and Balanced Scorecard 2011-15. The Corporate Plan has been finalised and is awaiting Ministerial approval. It is the intention to publish the document in mid-April. Philip thanked DCAL Branches for their involvement and contribution to the Corporate Plan.

11.2 Philip Spotswood gave an update on the new Programme for Government (PfG). The PfG was finalised at an Executive meeting on 9th March, endorsed by the Assembly on 12th March and has now been published. DCAL are currently finalising responses to comments raised during the consultation. PfG Delivery Plans are also being finalised.

11.3 The Board thanked Philip Spotswood for his work in relation to the Corporate Plan and PfG.

12.0 Personnel Quarterly Update (Hilary Harbinson – DB 36-12)

- 12.1 Hilary Harbinson, Head of Personnel Branch, joined the meeting and gave an update on key Personnel issues within the Department.
- 12.2 The Board noted the sickness absence statistics. The 2011/12 target is 6.5 working days lost per member of staff and the current YTD figure (at January 2012) is 6.6 working days lost. The Board requested a further paper on managing sickness absence to be presented at the April Board meeting. The paper will also discuss the delays faced by Departmental HR in processing inefficiency sickness absence letters as a result of HRConnect issues.

Action: Hilary Harbinson to present a paper on managing sickness absence at April Board meeting and to raise concerns with CHR re delays caused by HRConnect.

- 12.3 The Board noted the success of the current Workplace Health Improvement Programme.

13.0 Papers to Note:

- 13.1.1 **Staff Brief (DB 37-12):** The Board noted the Communications Branch summary which provided confirmation of staff briefing meetings and returns on intranet / internet.
- 13.1.2 **IMB Update (DB 38-12):** The Board noted the Information Management Branch update.
- 13.1.3 **Benefits experienced through involvement in Arts Programmes (DB 39-12):** The Board noted the paper detailing real life examples demonstrating the ways individuals are benefitting from taking part in Arts Council funded programmes. It was recommended that a summary of this should be disseminated to staff through the Staff Brief.

Action: Arts Branch /Communications Office - summary of benefits experienced through involvement in Arts Programmes to be disseminated to staff through the Staff Brief.

14.0 Any Other Business

- 14.1 Rosalie Flanagan detailed a number of staff moves and temporary promotions within the Department.

14.2 The Board discussed DCAL's contribution to events in relation to the London 2012 Olympics. Mick Cory agreed to circulate a list of all events DCAL is involved in.

Action: Mick Cory to circulate list of events.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on Monday 23rd April 2012.

Stephen Kerr
28th March 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Monday 23rd April 2012 – 9.30am – 1.00pm

Present: Rosalie Flanagan
Cynthia Smith
Arthur Scott
Deborah Brown
Aileen McClintock
Colin Watson
Mick Cory
John West
Marie Mallon

In attendance: Sinead McCartan
Stephen Kerr (minutes)

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.
- 1.6 Apologies were received from Walker Ewart.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 27th March 2012. (DB M-4-12)

- 3.1 The Board agreed the minutes subject to a few minor changes – Paragraphs 7.4 and 13.1.3 to be included as actions on the Action Point table. Minutes will be published on the Departmental internet and intranet sites.

4.0 Stadium Update (Noel Molloy)

- 4.1 Noel Molloy, Stadium programme Director, joined the meeting and gave a verbal update on developments around the delivery of the Regional Stadium Development Programme.

4.2 The Board noted that alternative delivery arrangements for the programme have been put in place and a Programme team is being set up. Rosalie Flanagan is the new SRO for the Programme and the Minister will chair regular meetings to assess progress.

5.0 Matters Arising / Action Points (DB A-4-12)

5.1 The action point table was reviewed. The main points to note were as follows:

5.1.1 **Action Single Tender Actions – 28/2/12:** Mick Cory gave a verbal update on NMNI STAs. NMNI will be providing an updated table detailing STAs by COP 23/4/12. Mick Cory will provide a further update at the May Board meeting.

Action: Mick Cory to provide further update at May Board.

5.1.2 **Action 4.1.1 – 28/2/12:** Mick Cory confirmed that the New World Development report is being considered and a paper will be issued to Board members before discussion at the next Departmental Board.

Action: Mick Cory to circulate paper on New World Development prior to next Departmental Board.

5.1.3 **Action 8.5 – 28/2/12:** Mick Cory confirmed this has now been completed.

5.2 The Board agreed that any completed actions should be removed from the table.

6.0 World Police & Fire Games Update (Donal Moran – DB 40-12)

6.1 Donal Moran, Head of 2013 World Police & Fire Games Branch (2013 WPFGB), joined the meeting and gave an update on progress in relation to the 2013 WPFGB.

6.2 The Board noted that a 10th accountability meeting took place on 17th April between the Department and the Company, with Stephen Peover, DFP, and Rosalie Flanagan both in attendance. Rosalie Flanagan confirmed that she and Stephen Peover will be attending all future quarterly accountability meetings.

6.3 The Board noted that David Ferguson, CEO of the Company, will be resigning his position. The Chair of the WPFGB Ltd Board is currently investigating options to appoint a replacement.

6.4 Donal Moran gave an update on progress in taking forward the recommendations highlighted in the Gateway Review. Formal notification of DFP approval of the Business Case Addendum was

issued to the Company on 11th April. Mick Cory thanked Donal Moran and 2013 WPFGB Branch for their help in gaining this approval.

7.0 World Police & Fire Games Programme Plan (Mark Cowden)

- 7.1 Mark Cowden, Interim Project Manager, 2013 WPFGB Ltd, joined the meeting and gave a presentation on progress with the Programme Plan and other key developments. The presentation included updates on the Programme Plan, Programme Management & Governance and Risk Management. A short question and answer session followed.
- 7.2 Arthur Scott asked if there was any work being done in relation to Benefits Realisation. Donal Moran confirmed that work in this area is being undertaken by Debbie Donnelly.
- 7.3 Marie Mallon asked if the Company are confident that all major milestones will be delivered. Mick Cory confirmed that whilst there are risks associated with the delivery of the Games, he, as Senior Sponsor of the Programme, is confident that all major milestones will be delivered.
- 7.4 Rosalie Flanagan asked if a Sponsorship Strategy has been put in place. Cynthia Smith confirmed that the interim Sponsorship Strategy has been adopted by the WPFGB Board and would enable the Company to work with potential sponsors.
- 7.5 Rosalie Flanagan thanked Mark Cowden for the update. The Board will continue to receive monthly updates from 2013 WPFGB Branch.

8.0 Asset Management Strategy (Brian McTeggart & Michael Donnelly – DB 41-12)

- 8.1 Brian McTeggart, Capital Programme Manager, and Michael Donnelly, Asset Management Unit, SIB, joined the meeting and gave a brief background on the work of the Asset Management Unit. Brian McTeggart then presented the draft DCAL Asset Management Plan. The Board were asked to note the draft Plan and agree for it to be distributed to Branches and ALBs for consultation before returning to the Board in May for final approval.
- 8.2 Brian McTeggart said that Internal Audit have written asking whether the Asset Management Plan will be extended to include all DCAL assets, not just land and property. The Board requested that Brian McTeggart write back to internal Audit confirming that this will take place in due course.

Action: Brian McTeggart to respond to Internal Audit.

- 8.3 In comparison with other government Departments, Michael Donnelly confirmed that DCAL are progressing well in terms of Asset Management.
- 8.4 The Board discussed the contents of the Asset Management Plan and requested a number of changes including:
- 8.4.1 Assets relating to the Ulster Scots Agency should be dealt with separately as they are a N/S Body. Brian McTeggart agreed to remove references to Ulster Scots and provide them in a composite document to Arthur Scott who will raise the matter with DAHG.
 - 8.4.2 The Board requested that the overall guiding principles of the Asset Management Plan be drawn out and highlighted in Section C.
 - 8.4.3 Further clarification on Leases, Sub-Leases, Space Utilisation and Capital Expenditure to be included (Section F (i), Page 12).
 - 8.4.4 State whether Programme / Management Actions are compulsory or negotiable (Section F (ii) Pages 12 – 15).
 - 8.4.5 A clearer definition of the term “Business Unit” to be included.
 - 8.4.6 All sections / paragraphs to be numbered.
 - 8.4.7 In relation to the Programme / Management Action for generating income from disposal and commercialisation of assets, “disposal” and “commercialisation” need to be separated into two different actions.
 - 8.4.8 Any further comments from Board members to be issued to Brian McTeggart.

Action: Brian McTeggart to revise document taking into account the changes requested by the Board and circulate to SMT for clearance before it is issued to ALBs for a 2 –week consultation period. May Board will be presented with a revised plan to incorporate issues arising through the consultation process.

9.0 Finance Report (Michael O’Dowd – DB 42-12) and Forecasting Paper (DB 43-12)

- 9.1 Michael O’Dowd, Head of Finance Branch joined the meeting and asked the Board to note the Finance Report. The Board noted the following main issues:

- 9.1.1 **Outturn for year:** The Board noted spend figures in relation to the administration, resource and capital budgets. The provisional outturn exercise is due for completion by 10th May and a near final outturn position will be available at this time.
- 9.1.2 **Current and Future Year Pressures:** The Board noted Paper 2 which provided an update of the pressures identified over the remainder of the CSR period.
- 9.1.3 **Budgetary Management:** The Board noted that an assumption of underspend based on previous experience has no longer a reasonable working assumption as adjustments made in Budget 2010 have already taken this into account. The Board therefore agreed that the Department should limit freedom to retain easements across Branches and ALBs. Finance Branch are to scope the level at which this will be effective considering impact of delivery of business plans. This will be brought to SMT for consideration before clearance through Minister.

Action: Michael O'Dowd to draft Ministerial submission.

- 9.1.4 **Forecasting:** The Board discussed the Forecasting paper which examines the extent to which forecasts by the larger NDPBs of outturn made at the start of the year and subsequently in year can be relied on to either gain assurance that budgets will be spent or provide alerts of potential underspends or pressures in time for their management. The Board noted the conclusions that forecasts could be relied on to gain assurance and agreed the exercise was very beneficial in terms of budgetary management.
- 9.1.5 **Prompt Payment target:** The Board noted that recent performance in relation to DCAL's 10 and 30 day Prompt Payment targets has shown continued improvement.

10.0 Economics Services Unit Update (Patrick Neeson – DB 30-12)

- 10.1 Patrick Neeson, Head of Economics Services Unit (ESU), joined the meeting and gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion.
- 10.2 The Board discussed the "Places for Sport" PPE which was completed in April 2012. Patrick Neeson agreed to provide further detail on the breakdown of funding distribution to sports under the programme once this has been provided by Sport NI.

Action: Patrick Neeson to provide further breakdown of funding distribution.

- 10.3 The Board discussed the Waterside Theatre PPE and the delays in getting further required information. Arthur Scott agreed to raise the issue with the Arts Council.

Action: Arthur Scott to raise issue of Waterside Theatre PPE with ACNI CEO.

11.0 Creative Industries Paper – Innovative Public Procurement (Stephen McGowan – DB 45-12)

- 11.1 Stephen McGowan, Creative Industries Branch, joined the meeting and gave an update on Innovative Public Procurement. The Board noted the update and agreed the following:

- a) DCAL to facilitate a meeting of senior ALB and DCAL Branch representatives at which DETI will provide a more in-depth overview and Q & A on innovative public procurement.
- b) Further consideration of the logistics and practicalities of “crowd-sourcing” and appropriate “open calls for ideas” to enhance and promote the Department’s/ALB’s contribution to the economy, health, education, social inclusion and the environment.
- c) Social clauses and relevant infrastructure programmes to be considered as a means to stimulate innovation.

Action: Stephen McGowan to take forward recommendations.

- 11.2 In relation to the issue of social clauses, the Board requested that Stephen McGowan discusses the matter with Noel Molloy, Stadium Programme Director.

Action: Stephen McGowan to discuss social clauses with Noel Molloy.

12.0 Corporate Risk Register (Sinead McCartan DB 46-12)

- 12.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

- 12.2 The Board noted the following:

Risk 1: In relation to the suggested changes to the N/S bodies Financial Memorandum, John West asked whether there was any timeframe for the changes to be agreed. Rosalie Flanagan said she would raise the issue with her counterpart in DAHG.

Action: Rosalie Flanagan to raise issue of Financial Memorandum with DAHG.

Risk 2: The Board agreed that this Risk should be removed from the Corporate Risk Register.

Action: GSU to remove Risk.

Risk 3: Risk ratings will be reviewed when independent assurance is in place.

Risk 4: Mick Cory provided a verbal update. Risk to remain.

Risk 5: Deborah Brown agreed to review this Risk following the completion of the recent exercise on Budgetary Management.

Action: Deborah Brown to review Risk.

Risk 6: Risk to remain due to possible strike action in May.

Risk 7: Risk to remain.

Risk 8: Risk to be updated as per paragraph 13.2.

Risk 9: Mick Cory gave an update on this new Risk. Staff resource has been deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.

13.0 City of Culture Update (Joanna McConway – DB 47-12)

13.1 Joanna McConway joined the meeting and gave an update on progress in relation to the 2013 City of Culture. The DCAL Minister and Executive have agreed that £7.5m in 2012/13 and £5.1m in 2013/14 (total of £12.6m) will be provided to DCAL to enable commitments to be made to support the Cultural Programme. The next stage is to develop an agreed governance and accountability framework within which to manage the funding.

13.2 The Board requested that Risk 8 on the Corporate Risk Register is updated to reflect recent developments.

Action: Joanna McConway to update Risk 8.

14.0 Managing Sickness Absence (Hilary Harbinson – DB 48-12)

14.1 Hilary Harbinson, Head of Personnel Branch, joined the meeting and presented a paper on Sickness Absence within the Department.

14.2 The Board asked whether there had been any progress in relation to the delays faced by Departmental HR in processing inefficiency

sickness absence letters as a result of HRConnect issues. Hilary Harbinson confirmed that there has been no further progress but Corporate HR and Enterprise Shared Services DFP are continuing to work with HR Connect on the issue. The Board requested further details of the issue at the May Departmental Board meeting e.g. the number of instances that a delay has occurred and a proposed way forward. John West noted DCAL's progress on preventative measures but asked that more be done at the other end. It was requested that the issues with HR Connect be put formally on record as it is preventing performance against the policy.

Action: Hilary Harbinson to provide further detail at the May Board.

- 14.3 The Board discussed DCAL's target of 6.5 working days lost and whether this is achievable. The Board agreed that this should be discussed at a NICS corporate level e.g. Permanent Secretaries Group.

15.0 Papers to Note:

15.1.1 **Staff Brief (DB 49-12):** The Board noted the Communications Branch summary which provided confirmation of staff briefing meetings and returns on intranet / internet.

15.1.2 **IMB Update (DB 50-12):** The Board noted the Information Management Branch update.

15.1.3 **Personnel Update (DB 51-12):** The Board noted the Personnel update.

16.0 Any Other Business

- 16.1 No other business was discussed.

17.0 Next Meeting

- 17.1 The Board noted that the next meeting will be held on Tuesday 22nd May 2012.

Stephen Kerr
April 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 22nd May 2012 – 9.30am – 1.00pm

Present: Cynthia Smith
Deborah Brown
Aileen McClintock
Mick Cory
John West
Marie Mallon
Ciaran Mee
Joanna McConway

In attendance: Sinead McCartan
Paul Gamble (minutes)
Clodagh Rodgers

1.0 Welcome and Apologies:

1.1 Cynthia Smith welcomed everyone to the Departmental Board.

1.7 Apologies were received from Rosalie Flanagan, Arthur Scott and Colin Watson. Cynthia Smith chaired the meeting in Rosalie's absence.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 23rd April 2012. (DB M-5-12)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising / Action Points (DB A-5-12)

4.1 The action point table was reviewed. The main points to note were as follows:

- 4.1.1 **Action 5.1.1 Single Tender Action – 28/2/12** Mick provided a verbal update on NMNI's return on Single Tender Actions. Although it was acknowledged that NMNI had a significant number of STAs, the Board was broadly content that they were appropriately handled and due to the nature of NMNI business. This action is completed.
- 4.1.2 **Action 4.1.1 New World Development – 28/2/12** A paper on the New World Development report is to be presented to the Board by Alastair Hughes. This action is completed.
- 4.2 The Board agreed that any completed actions should be removed from the table.
- 5.0 World Police & Fire Games Update (Donal Moran – DB 52-12)**
- 5.1 Donal Moran, Head of 2013 World Police & Fire Games Branch (2013 WPFGB), joined the meeting and gave an update on progress in relation to the 2013 WPFGB.
- 5.2 The update covered a variety of areas including the Minister's Quarterly meeting with the Chair and CEO, key governance issues and progress against the Programme plan.
- 5.3 Donal Moran reported that the quarterly Ministerial meeting focused on the need to ensure that the company had the required skills to deliver the Games. Additionally the Minister highlighted the need to ensure that the Games delivered social and socio-economic outcomes.
- 5.4 The Board noted that David Ferguson was due to retire on 22 May and he would be replaced officially by John Tully on 23 May.
- 5.5 The work undertaken at the recent Risk Management Workshop was discussed. The Board sought further clarity in relation to the financial pressures that would be involved in the delivery of the games. Mick Cory confirmed that further work is ongoing to clarify VAT issues with HMRC. Mick Cory agreed to inform the Board if future pressures arose in relation to the delivery of the Games.
- 5.6 The Board noted that it would be necessary to develop contingency plans to deal with the possibility that income streams related to the games would fall below predicted levels. Mick Cory confirmed that the Department had provided clear direction to WPFGB Ltd that the Department would not provide further funding in addition to the £6.88m allocation.
- 5.7 Cynthia Smith asked if the company was content with the Programme Plan. Donal Moran confirmed that this was the case.

5.8 The Board noted that there could be significant impact on the delivery of the World Police and Fire Games if there are future cuts to the budgets of the participating organisations (particularly with reference to benefits in kind). Deborah Brown highlighted that the risk to the Department should be minimal as MOUs are in place regarding the delivery of benefits in kind.

5.9 Donal Moran provided an update on the current Operational Risks.

ACTION : The Board noted the May update. As part of the next update Donal Moran agreed to provide a completed risk register.

6.0 PRONI / NICS Digital Preservation Project (Hugh Campbell & Iain Fleming)

6.1 Hugh Campbell and Iain Fleming, PRONI, joined the meeting and gave a presentation on progress in relation to the PRONI / NICS Digital Preservation Project. It was noted that a number of presentations had been given across the NICS to a variety of stakeholders including to PSG.

6.2 The presentation focused on a variety of issues in relation to the project including the definition of records, issues in relation to long term preservation of digital formats and the costs related to storage.

6.3 It was noted that the project's scope did not include dealing with records management issues in relation to TRIM.

6.4 Following the discussion the Board noted that they would welcome an update on the specification of the digital preservation system when it is finalised.

ACTION: Hugh Campbell / Iain Fleming to provide update to Departmental Board on specification of digital preservation system in October/November.

7.0 Corporate Risk Register (Sinead McCartan DB 53-12)

7.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

Risk 2 relating to the delivery of benefits of W5 was removed.

7.2 The Board noted the following:

Risk 1: It was noted that timetables in relation to ALB risk assessments had slipped. The report on Departmental Board Effectiveness has been delayed due to other work pressures. The

Board were informed that revisions to the QAS process were presented by GSU at the Audit Chairs' workshop. At this workshop there was broad recognition that the QAS should and does go to audit committees. Cynthia Smith suggested that it might be appropriate to consider whether it would be valuable to provide additional guidance in relation to the QAS process and the new governance statement.

ACTION: Sinead McCartan to consider how best to provide ALB's advice on embedding the new Governance system and QAS process.

Risk 2: The Board agreed that this risk should be updated following the work that had been done at the WPFG risk management workshop. John West highlighted the need to include consideration of budgetary concerns regarding income streams as part of this risk.

ACTION: Donal Moran to update risk following WPFG risk management workshop.

Risk 3: Risk to remain.

Risk 4: It was noted that the residual risk rating on managing resources had been changed from Medium/ Low-Medium to Medium / Low following the April report to the Departmental Board regarding ALB forecasts.

Risk 5: Risk to remain.

Risk 6: It was noted that despite the decision to move the stadium project in-house this risk should remain. It was agreed that the risk should remain categorised as high. Cynthia Smith requested further detail to be disclosed particularly in relation to procurement threats

ACTION: Ciaran Mee to update risk and provide further detail.

Risk 7: Joanna McConway provided an update on progress in relation to the City of Culture. It was agreed that this risk would be updated as appropriate particularly in respect of admin costs.

ACTION: Joanna McConway to update risk.

Risk 8: Mick Cory provided an update on progress with particular reference to the work that is being undertaken on the torch relay. It was highlighted that additional staffing resources are now in place and joint protocols have been established regarding lessons learnt from the ongoing relay.

7.3 The content of the risk register was approved and Board members agreed to update risks as appropriate.

8.0 Revised Asset Management Plan (Brian McTeggart & Michael Donnelly – DB 54-12)

- 8.1 Brian McTeggart, Capital Programme Manager, and Michael Donnelly, Asset Management Unit, SIB, joined the meeting and gave an update on the revised Asset Management Plan.
- 8.2 Cynthia Smith acknowledged the progress achieved and formally thanked SIB and DCAL's team for the work that had been carried out to date.
- 8.3 Following the April Board amendments had been made to the draft Asset Management Plan. The revised draft issued to ALBs and branches and comments were requested. Of the ALBs that responded no major issues were raised.
- 8.4 It was noted that the low level of issues raised by ALBS reflected the initial work that had been undertaken in relation to previous consultation with stakeholders.
- 8.5 Cynthia Smith asked if N/S Bodies were included within the plan. Brian McTeggart highlighted that within paragraph 11 of the plan it was recognised that further discussion was needed on how N/S Bodies would be involved in the plan moving forward.
- 8.6 The Board indicated that they were content with the draft and that it should be adopted as the final version.
- 8.7 The Board agreed that a letter should issue to all ALBs requiring them to acknowledge that they will adopt the Asset Management Plan. John West suggested that the letters should be tailored to the ALBs dependant on any issues they had previously raised in response to consultation. It was agreed that letters should issue from the Permanent Secretary and should record that the Departmental Board had noted those ALBs who had responded and those who had not and also make clear the obligations on ALBs to implement the plan and relevant actions within it.

ACTION: Brian McTeggart to draft letters to issue from Permanent Secretary making clear the obligations of the Asset Management Plan.

- 8.8 Brian McTeggart noted that a seminar would take place to help ALBs in the implementation of the Asset Management Plan. Cynthia Smith requested that if possible SIB should be represented at this seminar. Michael Donnelly agreed to that request.

ACTION: Brian McTeggart to arrange ALB seminar as appropriate.

8.9 Following the issue of letters to ALBs it was agreed that the Asset Management plan could be shared with DFP and other Departments for information.

9.0 Finance Report (Michael O'Dowd – DB 55-12)

9.1 Michael O'Dowd, Head of Finance Branch joined the meeting and asked the Board to note the Finance Report. The Board noted the following main issues:

9.1.1 **Outturn for year:** The provisional outturn exercise was completed on 10 May. Across resource and capital underspends are less than or equal to 1%. Cynthia Smith acknowledged the work that had been done across the Department to achieve this level of spend. The final outturn takes place in mid-September and this will include figures for ALBs.

9.1.2 **Current and Future Year Pressures:** The Board noted papers one and two which provided an update of pressures and easements within have been identified to date. It was noted that the low level of easements identified to date meant that the Department could only focus on inescapables at this stage. It was agreed that some capital spend, including weed cutter and Londonderry papers, will be delayed until future easements are realised and will be subject to business cases. Additional costs associated with running costs of PRONI and other functions are to be scoped by Finance branch in liaison with PRONI:

ACTION: Michael O'Dowd to liaise with PRONI.

9.1.3 **Budgetary Management:** The Board discussed the need for reprofiling in relation to Capital. It was noted that DFP have been informed of the slippage of £12.4m of Regional Stadiums spend.

9.1.4 **Prompt Payment target:** It was noted that DCAL payments for both 10 and 30 day targets were above NICS averages. However, there is a need to challenge the variation in the ALBs performance.

10.0 Research Update to Departmental Board (Orla Bateson & Patrick Neeson – DB 56-12)

10.1 Orla Bateson and Patrick Neeson joined the meeting and gave a presentation on the DCAL Social and Economic Research and Survey Programme.

10.2 The update covered an overview of the outcomes of a variety of programmes.

10.3 The Board welcomed the progress and noted that the outcomes of the research programme should be utilised in demonstrating the benefits of DCAL's work programme.

11.0 Economics Services Unit Update (Patrick Neeson – DB 57-12)

11.1 Patrick Neeson, Head of Economics Services Unit (ESU), gave an update on the current major business case activity within the Department and the list of DCAL Post Project Evaluations (PPEs) due for completion.

11.2 The Board noted the completion of the evaluation of the Community Festivals Fund. It was noted that this work will form the basis of a briefing to the CAL Committee scheduled for September.

11.3 Patrick Neeson provided an overview of the work that ESU were undertaking in relation to the ALB review.

11.4 Cynthia Smith welcomed the work that ESU had undertaken to develop an action plan in relation to the lessons learnt report. The Departmental Board noted that this should be shared with DFP for information. It should also be shared with Business Areas and ALBs.

12.0 NMNI New World Development (Alastair Hughes – DB 58-12)

12.1 Alastair Hughes, Head of Museums and Libraries Branch, joined the meeting and gave an update on the New World Development project.

12.2 The Board noted that a NWD report had been provided to the sponsor branch. Alastair Hughes indicated that the sponsor branch was satisfied that the Report was sufficiently comprehensive and addressed the Department's major concerns.

12.3 The Board discussed the need to ensure that in future projects the relationship between the project manager, Senior Responsible Owner and CPD representation were adequately managed.

12.4 The Departmental Board agreed that NMNI should be permitted to incur £23k of capital expenditure to allow public access to the site. Cynthia Smith queried whether this would affect the original business case. Alastair Hughes provided assurance that the business case would not need to be altered. It was also noted that if any further work was to be carried out this would be dependant on an Economic appraisal being completed.

12.5 It was agreed that the letter to NMNI's Chief Executive should be revised noting the need to complete a full PPE. The letter should also raise the issue of the significant delay in producing the report which has in turn delayed the work to allow site access.

ACTION: Alastair Hughes to redraft letter to NMNI Chief Executive as discussed.

13.0 Managing Sickness Absence (Hilary Harbinson – DB 59-12)

- 13.1 Hilary Harbinson, Head of Personnel Branch, joined the meeting and presented a paper on Managing Sickness Absence within the Department.
- 13.2 The paper provided detail in relation to Departmental management of sickness absence.
- 13.3 Cynthia Smith suggested that further consideration be given to documenting delays in managing sickness absence process caused by HR Connect issues.
- 13.4 Cynthia Smith acknowledged the work that had taken place in this area. The Board noted that DCAL had the lowest absence rate in the NICS over the last 2 months.

14.0 Papers to Note:

- 14.1.1 **Staff Brief (DB 60-12):** The Board noted the Communications Branch summary which provided confirmation of staff briefing meetings and returns on intranet / internet.
- 14.1.2 **IMB Update (DB 61-12):** The Board noted the Information Management Branch update.
- 14.1.3 **Personnel Update (DB 62-12):** The Board noted the Personnel update.
- 14.1.4 **Stadium Update (DB 63-12):** The Board noted the update on the Regional Stadium Programme.

15.0 Any Other Business

- 15.1 No other business was discussed.

16.0 Next Meeting

- 16.1 **The Board noted that the next meeting will be held on Tuesday 26th June 2012.**

Paul Gamble
23 May 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 26th June 2012 – 9.30am – 12.15pm

Present: Rosalie Flanagan
Deborah Brown
Aileen McClintock
Mick Cory
Arthur Scott
John West
Marie Mallon
Colin Watson

In attendance: Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.8 Apologies were received from Cynthia Smith and Walker Ewart .

2.0 Declaration of Conflicts of Interest

2.1 No conflicts of interest were declared.

3.0 Minutes from Meeting held on 22nd May 2012. (DB M-6-12)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising / Action Points (DB A-6-12)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (24/5/11 5.5) Sponsorship Manual Review:** The Board noted that the work on the DCAL sponsorship guide was progressing with an updated QAS and new requirement to seek separate assurance from the Chairs. Actions on sponsorship to be rationalised under one heading.

4.1.2 **Action (9/8/11 7.3) Departmental Board Terms of Reference:** Deborah Brown agreed to speak to Wesley Emmett to advance the Board Effectiveness review.

- 4.1.3 **Action (31/1/12 6.2) ARMC Review of Effectiveness** – John West noted that work was ongoing in relation to the ARMC review of effectiveness.
 - 4.1.4 **Action (23/4/12 – 12.2) Risk 1** – Action completed. To be removed.
 - 4.1.5 **Action (22/5/12 – 7.2) Risk 1** – Action to be removed. Advice was provided to ALB Chairs and Chief Executives on the new QAS process at the Strategic Partnership Forum. Following a series of issues raised by the Chairs at the forum it was agreed to consider reviewing/streamlining the process. Sinead McCartan is taking this action forward.
 - 4.1.6 **Action (23/4/12 – 11.1) Innovative Public Procurement** – The Board requested that a date be provided for the delivery of DETI workshops.
 - 4.1.7 **Action (23/4/12 – 11.2) Social Clauses** – Social Clauses are now being taken forward by Colin Watson / Noel Molloy. Action to be removed.
 - 4.1.8 **Action (23/4/12 – 10.3) ESU** – The Board requested that a date be provided for completion of Waterside Theatre PPE.
- 4.2 The Board agreed that any completed actions should be removed from the table.

5.0 World Police & Fire Games Update (Donal Moran – DB 65-12)

- 5.1 Donal Moran was unable to attend the meeting and sent his apologies. Mick Cory presented the paper.
- 5.2 The update covered a variety of areas including John Tully formally taking up his position as CEO, the retirement of Peter Craig from the Board and the nomination of Dale Ashford as his replacement. It was noted that the Minister has requested an early meeting with Dale Ashford.
- 5.3 Mick Cory noted that good progress had been made in relation to the Programme Plan including the official announcement of the sporting venues for the games, the appointment of staff in Volunteer Now to take forward recruitment of volunteers and the 'Expression of Interest' exercise for procurement and sponsorship (both to the public and private sectors).
- 5.4 The Board discussed the risks that could arise in relation to accommodation. Mick Cory noted that work was being undertaken in

relation to accommodation capacity. The WPFG are undertaking scenario planning in relation to accommodation and it has been agreed that competitor numbers will be limited to a maximum of 13,500. The business case was based on 10,000 competitors.

- 5.5 It was noted that initial work has begun on Benefits Realisation. This work will inform the future post project evaluation.
- 5.6 Mick Cory noted that consideration had been undertaken in terms of developing social clauses for procurement contracts for the WPFG. The Ministerial priority in relation to social clauses has been clearly communicated to the company and discussed at the accountability meeting.
- 5.7 It was noted that the Company are planning to establish a Quality Assurance team, and that Belfast City Council have agreed to provide some support to the company based on their experience of hosting major events.
- 5.8 Mick Cory noted that the Company is expected to spend its full allocation of £1.95m during 2012/13.
- 5.9 It was also noted that the company has received a surplus of £43k sponsorship from the New York 2011 WPFG.
- 5.10 Marie Mallon asked if a timescale should be set in terms of resolving accommodation pressures/issues. Mick Cory noted that registration is due to take place in Autumn and it would be possible to make a better assessment of the situation at this stage.
- 5.11 The Board noted that additional accommodation outside Belfast was being considered – detail in relation to this would form part of the WPFG accommodation scenario planning.

ACTION: The Board asked for further clarification as to how the accommodation risk was being handled. Mick Cory agreed to raise this issue at the next accountability meeting.

- 5.12 Rosalie Flanagan noted that social clauses were an essential part of DCAL's approach to procurement moving forward. This applied not only to WPFG but to all future procurement.
- 5.13 Rosalie Flanagan noted that the paper listed the most significant risks as procurement, accommodation and sponsorship. However Rosalie suggested that assurance was also needed around the actual delivery of events themselves. It was noted that the Quality Assurance Team would undertake work directly in relation to event delivery. The Board noted that these concerns should be reflected in the Risk Register.

- 5.14 It was agreed that in the future the WPFGE update paper would address accommodation, events delivery, procurement and sponsorship.

ACTION: Donal Moran to ensure that future WPFGE Updates include sections on accommodation, events delivery, procurement and sponsorship.

6.0 Corporate Risk Register (Deborah Brown DB 64-12)

- 6.1 Deborah Brown spoke to the Corporate Risk Register and asked the Board to note the updates.

- 6.2 The Board noted the following:

Risk 1: Deborah Brown explained that a “script” had been drafted which will reflect roles and responsibilities of Chairs and Boards. This will inform the revised structure of the Sponsorship Manual. It was noted that a change to the quarterly assurance statement was discussed at the Strategic Partnership Forum. Concerns on this new procedure were raised by Chairs and these are being addressed (see para 4.1.5). The board discussed the need to reflect broader issues in this risk in relation to business delivery.

ACTION: Deborah Brown to consider updating wording of risk to reflect how governance assists business delivery.

Risk 2: It was noted that there was a need to ensure that the risk register clearly reflected the need to articulate social benefits. Rosalie Flanagan also noted that the action plan should be updated to mention issues around accommodation and sponsorship/income.

ACTION: Mick Cory to update Risk Register to reflect issues around social benefits, accommodation and sponsorship/income.

Risk 3: Board is content.

Risk 4: Deborah Brown noted that as part of the Strategic Partnership forum it was explained to Chairs and Chief executives that all future easements would need to be surrendered to the Department rather than automatically reallocated within the ALB.

Risk 5: Board is content

Risk 6: It was noted that following recent meetings the risk would need to be updated in order to reflect current risks and mitigating actions. The risk would remain as a high level risk.

ACTION: Colin Watson to revise risk in line with most up to date information following the Stadium Management Board meeting on 25th June.

Risk 7: The Board noted that a sponsorship event in London had taken place. There was a high level of interest but this would need to be converted to firm commitments. The Department is pressing the company to set out a detailed project plan which will help to manage capacity issues that currently exist. Letter of offer is still to be signed off. SIB project manager is in place for development of venues, and is arranging a Gateway 0 review. Benefits realisation still remains an issue.

The Board noted that there is oversight on two levels – by DCAL in relation to the capital project, and the PfG commitment that is the responsibility of OFMDFM.

Risk 8: The Board noted the success of the torch relay and the work that had been undertaken in the Department to achieve this success.

7.0. Fraud Policies and Fraud Response Plan (Deirdre Lundy/Deborah Brown – DB 66-12)

- 7.1 Deirdre Lundy joined the meeting and spoke to the paper. The Department Fraud Prevention Policy and Response Plan have been reviewed in light with the Bribery Act and the Department's responsibilities under Annex 4.7 of Managing Public Money NI.
- 7.2 Marie Mallon raised the differences between fraud response issues and disciplinary issues. Deborah confirmed that the guidance clearly segregates investigatory work and any potential disciplinary action.
- 7.3 John West asked how this would be embedded within ALBs. Deirdre Lundy explained that the Department would ask them to update their Fraud response plans. These would be reviewed and then included as part of QAS process. Additionally fraud would be included as part of ALB's internal audit arrangements.
- 7.4 The Board approved the Revised Fraud Prevention Policy/Response plan and indicated that they were content for these to be distributed across DCAL and its ALBs.

8. Quarterly Assurance Statements - March Return (Deborah Brown - DB 67-12)

- 8.1 Deborah Brown highlighted that the QAS March return had previously been provided to the ARMC. However further updates were provided as part of the paper which was before the Board.
- 8.2 The paper provided a summary of the quarterly assurance return made by DCAL's HoDs and ALBs for the 4th Quarter 2011/12, January - March 2012.
- 8.3 Deborah Brown discussed a range of common themes across all the QAS returns. It was noted that since the completion of the QAS process the Corporate Plan had been finalised.
- 8.4 The Board also discussed a range of specific themes across individual decisions.
- 8.5 It was noted that the Audit report has now been received on 50m pool, however this has not yet been reviewed.
- 8.6 It was noted that work was ongoing in relation to Sport NI. The Sport NI Audit Committee are undertaking a governance review – terms of reference are to be shared with the Department ahead of initiation. A meeting to discuss the TOR with DCAL and the Sport NI Audit Committee has been arranged.
- 8.7 Rosalie Flanagan raised the need to ensure that the Sport NI review included some element of independence.

ACTION: Colin Watson to consider how best to ensure element of independence can be achieved in Sport NI governance review.

- 8.8 It was noted that the issue of the funding gap with respect to the City of Culture has been addressed.
- 8.9 The Board noted that the report reflected a level of positive assurance. Although a number of issues had been raised through the QAS process the Board were content that these were being addressed satisfactorily.

Arthur Scott left the meeting.

Gerard Murray attended the meeting on behalf of Arthur.

9. Finance Report & Accounts (Deborah Brown - DB 68-12)

9.1 Gillian McAfee and Helen Warrington joined the meeting. The Board noted the following main issues:

9.1.1 **Current and Future Pressures:** The board noted paper one which detailed a number of pressures following on from the June Monitoring Round. It was noted that there were considerable pressures in relation to PRONI salaries due to increased workload. Pressures in relation to capital were considered. The Board agreed that Capital spend should go forward in relation to the purchase of a Weed Harvester. It was agreed that a decision in relation to the purchase of the Londonderry papers should be delayed. No decision will be made in relation to this purchase until a full business case has been prepared and position on PRONI sale is known.

It was noted that £800k had been identified to refurbish Kilkeel Library. This will create a tail into 13/14 of £600k for which there is no budget cover. It is anticipated that this will be managed through a bid, including ELFNI, in June 2013 Monitoring Round.

9.1.2 **Annual Report and Accounts:** The Annual Report and Accounts was circulated to the Board. In addition a copy of the draft Report to those Charged with Governance was provided. A number of minor alterations were noted. The Board agreed that they were content for the Permanent Secretary to sign off the accounts once they had been approved by the ARMC (via correspondence).

ACTION: Finance to provide a version of the “ideal process” in relation to the clearance of the accounts.

ACTION: Deborah to seek approval of ARMC via correspondence.

9.1.3 **Prompt Payment target:** The Board noted that prompt payment performance had slipped. Explanations were being sought for the dip in performance.

9.2 The board noted the contents of the report.

10.0 ESU Update (Patrick Neeson – DB 70-12)

10.1 Patrick Neeson joined the Board and spoke to the ESU Update.

10.2 The Board noted progress on a number of Post Project Evaluations.

10.3 Overall the Board welcomed the improvement in timeliness and quality of PPEs.

11.0 Update on Creative Industries Innovation Fund (Stephen McGowan)

11.1 Stephen McGowan joined the board and made a presentation on progress on the Creative Industries Innovation Fund.

11.2 Stephen McGowan outlined the alignment of the CIIF objectives with the Executive's objectives in relation to the economy.

11.3 Stephen highlighted levels of uptake in relation to the CIIF initiative and that an additional call in relation to Architecture projects was planned.

12.0 ARMC Update (John West – DB 69-12)

12.1 John West spoke to the ARMC Update. John West noted that the ARMC had reviewed Internal Audit's Annual report. It was felt that the report was positive and reflected continuing good work within the Department.

12.2 John West noted that the ARMC would continue to monitor outstanding audit recommendations.

12.3 The Board noted that issues in relation to the QAS procedure had already been discussed. John West suggested that officials should continue to engage with Southern Counterparts to ensure some additional process of assurance in relation to North/South Bodies.

12.4 John West noted that the ARMC felt that the internal audit report reflected a strong and improving state of control.

12.5 Rosalie Flanagan asked that her thanks for the positive engagement of the ARMC be recorded.

12.6 The Board noted the paper.

13.0 Papers to Note:

13.1.1 **Staff Brief (DB 77-12):** The Board noted the content of the staff brief.

13.1.2 **IMB Update (DB 75-12):** The Board noted the Information Management Branch update.

13.1.3 **Personnel Update (DB 76-12):** The Board noted the Personnel update. The Board briefly discussed the situation in relation to

sick absence targets. Deborah Brown agreed to consider the matter further and establish position in other Depts and action being taken to manage sick absence.

14.0 Any Other Business

14.1 No other business was discussed.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on Tuesday 7th August 2012.

Paul Gamble
29 June 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 8th August 2012 – 9.30am – 12.15pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Aileen McClintock
Mick Cory
Arthur Scott
John West
Colin Watson

In attendance: Paul Gamble (minutes)

Apologies: Marie Mallon
Walker Ewart

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.9 Apologies were received from Marie Mallon and Walker Ewart.

1.3 Rosalie noted that Walker was due to retire at the end of August and noted the excellent work that he had undertaken for the Department particularly with reference to the development of DCAL's learning strategy.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFGE) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 26th June 2012. (DB M-8-12)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-8-12)

4.1 The action point table was reviewed.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 Corporate Risk Register (BD78-12 - Sinead McCartan)

5.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

5.2 The Board noted the following:

Risk 1: The Board noted that Risk 1 had been updated to focus on the impact of underperformance in achieving business plan targets. It was noted that ALB risk assessments should be completed by the end of September. Deborah Brown also highlighted that the risk assessment process had been updated to focus more closely on practical application and not just process. John West welcomed this development.

Rosalie outlined that there had been some challenges from ALBs on new governance arrangements in relation to the respective roles of the Chair and Board and of the Chief Executive in providing assurance. However, new arrangements are in line with MSFMs and with Managing Public Money.

Risk 2: Mick Cory highlighted that the risk register had been updated to reflect updated actions. Treated and residual risks remain unchanged given concerns around the programme plan, procurement, accommodation, sponsorship and income.

Risk 3: Public consultation has been completed and the analysis of returns is ongoing. Following the completion of consultation and appropriate follow up actions it is anticipated that the risk should move to green.

Risk 4: Internal Audit have commenced the review of procurement and findings are due by 20th August 2012. A finance forum is to be organised with ALBs, possibly in September.

Risk 5: Deborah Brown outlined that the Business Continuity Plan was currently being updated and it was expected to be completed by the middle of August. Following this testing would take place.

Risk 6: Colin Watson highlighted that the situation had improved due to the Programme Director and Team being in place within the Department. Gateway reviews should provide the SRO with assurance. Programme and Project plans are undergoing further development. Liaison with CPD is ongoing. Work is taking place to ensure consistency in terms of social clauses across all contracts.

The Board agreed that the treated risk should remain red based on the significance of the number of uncertainties at this stage. Until benefits

realisations plans and Project/Programme Plans are in place the risk on successful delivery remains red.

Risk 7: Arthur Scott highlighted that the letter of offer had not been signed yet. Work is ongoing with CPD to commission a Gateway review. The Board noted that the Risk would remain high until appropriate strategic planning was in place. OFMdfM are SRO for the City of Culture and oversight includes the DCAL event programme and capital projects which are the responsibility of OFMdfM, ILEX and DSD. Some of the individual events are dependent on venues being in place.

Risk 8: The Board noted that the risk had been downgraded to green. Some Paralympic events remained to be undertaken including in relation to the Paralympic flame. It is anticipated that this risk will be removed from the Register in September on completion of delivery of 2012 Olympic/Paralympic events.

The Board discussed the possibility of inclusion of other risks on the register focusing on delivery of PfG and Corporate Strategy targets. The possibility of a risk in relation to budget management was discussed. It was noted that an exercise was currently being undertaken on current budget spend and commitments. Following this the Board would consider undertaking a prioritisation exercise on Departmental activity. Directors were asked to review their Divisional Risk Registers and escalate risks as appropriate to the Corporate Risk Register.

6.0 World Police and Fire Games Update (DB 79-12 - Donal Moran)

- 6.1 Donal Moran presented a paper updating the Board on the World Police and Fire Games.
- 6.2 The Board noted that the sponsorship milestone had not been met by its agreed target date of July 2012. Although the high level procurement plan was not completed for the accountability meeting, it had since been submitted.
- 6.3 The Board noted that the CEO of the company had expressed concern around bed capacity and accommodation and that it had appointed Deloitte Consultants to carry out an independent evaluation of capacity in this area.
- 6.4 Donal Moran stated that he attended the ARC for the Company in July. Following this meeting it was agreed to take forward a verification check on steps taken by the Company to address issues on Programme planning as only limited assurance was received in this area in a recent Internal Audit report.
- 6.5 All of the actions from the first Gateway review have been completed and a follow up Gateway has been arranged for September.

- 6.6 Donal reported that work is underway on the appointment of a Quality Assurance Team. Terms of Reference are currently being drafted and these will be shared with the Department before finalisation.
- 6.7 The Board noted that the updated spend profile for 2012/13 still shows that the full DCAL allocation of £195m will be spend in year. The projected pressure in 12/13 has decreased from £273k to £137k arising from savings on federation visit costs, savings from vacant posts and a reduction in VAT projections. Donal Moran outlined that DCAL have requested that DFP consider a flexible approach to the management of the WPFGB budget across the 2 years.
- 6.8 A draft PPE has been drawn up by the company and DCAL Economists and Statisticians had provided comments on this to be considered in a further iteration.
- 6.9 Rosalie Flanagan asked for clarity around the reason for employing consultants to consider the accommodation situation. Mick Cory explained that the rationale for the employment of consultants was to provide an overall picture of capacity from across a variety of accommodation sectors.
- 6.10 John West asked if it would be appropriate for the Board to have sight of the High level delivery plan of the WPFGB on a periodical basis. It was noted that the Board had seen the plan in the past. It was also noted that monthly highlight reports giving an oversight of progress were supplied to the Department.

ACTION: Donal Moran to include highlight reports as part of future reports to the Departmental Board. This should include an overview of spend vs budget.

- 6.11 The Board discussed the procurement plan. Cynthia Smith stated that it was a very high level plan and that further development would be necessary and more detail needed to be included. Rosalie asked that the sponsor branch provides a Departmental view on the plan and the delivery of social benefits and report back to the next board meeting.
- 6.12 Deborah Brown requested further detail around VAT liabilities. Mick Cory explained that HRMC would not provide final liabilities. However an indication provided from HRMC allowed enough detail for an estimated liability.

ACTION: Mick Cory to arrange a meeting with WPFGB and DCAL Finance to discuss and provide guidance on treatment of VAT liabilities.

7. Finance Report (Deborah Brown - DB 80-12)

7.1 Michael O'Dowd joined the meeting and talked to the Finance Report. The Board noted the following main issues:

7.1.1 **Spend Report (June Monitoring):** Full spend is anticipated in respect of Administration costs. Full spend is also anticipated in relation to Resource Spend subject to some minor areas of uncertainty. Full spend is also anticipated in relation to Capital spend subject to some minor easements. It was noted that an easement in ELFNI will not give rise to a pressure in future years.

7.1.2 **Current easements and pressures:** The Board noted an update of pressures and easements which have been identified to date. No further action is required in relation to the capital position, however further recommendations would be provided in advance of October monitoring.

Due to balancing pressures and easements there is no net pressure in respect of Capital. The Board were content with this position and will review at a future date.

An overall resource pressure of £322k was noted, however the Board agreed there was no need to take further action at this stage as it was expected that this could be dealt with out of future easements. Potential easements are expected in Culture Division and in the N/S bodies. The Board agreed with this position.

The Board stated that pressures in respect of PRONI overhead expenditure on the Balmoral site, LIOFA and WPFG would all need to be met.

7.1.3 **Overview of Future Pressures:** It was noted that a detailed exercise on future pressures was ongoing and this would be presented to the Board in September.

7.1.4 **Invest to Save:** Michael O'Dowd explained that NMNI had submitted an Invest to Save bid against the Voluntary Early Redundancy pressure (£1.3m). DFP indicated that this is not an Invest to Save initiative and therefore the bid has been withdrawn. Mick Cory provided information in relation to NMNI's ability to live within their budget if the VER did not go forward. They should be able to live within this year's allocation. Further consideration will be given to NMNI's proposals moving forward. A paper is being drafted setting out the current position, which will be provided to the Minister in due course.

7.1.5 **Report and Accounts Update:** The DCAL Accounts were laid in the NI Assembly on 6th July 2012.

7.1.6 **Prompt Payment target:** DCAL payments for both 10 and 30 day targets were above NICS averages. Explanations are being sought from ALBs where performance fell below the 90% level.

8.0 Monitoring of Corporate Strategy Targets (Paul Gamble – DB 81-12)

8.1 Paul Gamble spoke to a paper on the Monitoring of Corporate Strategy Targets.

8.2 The Board discussed DCAL's PfG Delivery Plans.

8.3 It was agreed that the Delivery plans should be updated in line with the most recent developments in terms of the Department's PfG commitments.

ACTION: Paul Gamble to re-circulate delivery plans to SROs for update and then provide to Minister for approval before onwards transmission of OFMDFM.

8.4 The Board discussed the Delivery Plan for the CIIF and how benefits were measured in relation to this.

8.5 The Board discussed the monitoring of corporate strategy targets and agreed that these should be monitored at a Corporate level with input being provided by HoDs.

ACTION: Paul Gamble to issue Corporate Strategy reporting template to HoDs for completion.

9.0 Papers to Note:

9.1.1 **Stadium Update(DB 82-12):** The Board noted the content of the Stadium Update.

9.1.2 **ESU Update(DB 83-12):** The Board noted the content of the ESU Update and Rosalie requested that this paper is discussed by the board quarterly.

9.1.3 **IMB Update (DB 84-12):** The Board noted the IMB update.

9.1.4 **Personnel Update (DB 85-12):** The Board noted the Personnel update.

9.1.5 Staff Brief (DB 86-12): The Board noted the content of the staff brief.

10.0 Any Other Business

10.1 No other business was discussed.

11.0 Next Meeting

11.1 The Board noted that the next meeting will be held on Tuesday 18th September 2012.

Paul Gamble
7 August 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 18th September 2012 – 9.30am – 12.40pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Marie Mallon
Arthur Scott
Colin Watson
John West
Alastair Hughes (on behalf of Mick Cory)

In attendance: Paul Gamble (minutes)

Apologies: Mick Cory
Aileen McClintock

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.
- 1.2 Apologies were received from Mick Cory and Aileen McClintock. Alastair Hughes attended on behalf of Mick Cory.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 7th August 2012. (DB M-9-12)

- 3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-9-12)

- 4.1 The action point table was reviewed.
 - 4.1.1 **Action (9/8/11 – 7.3) Departmental Board Terms of Reference:** Deborah provided the board with an update on the development of the leadership programme. It was noted that a

Senior Management Team Strategy Day was scheduled for mid November and this, in addition to the staff attitude survey and the workshops previously held with staff, will help inform the development of the leadership programme and ensure that it is specifically tailored to DCAL's needs.

- 4.1.2 **Action (31/1/12 – 11.3) Sponsorship Manual Review:** Arthur Scott updated the Board on the development of a N/S sponsorship framework based on the Management Statement and Financial Memorandum. This will act as a basis for ensuring the appropriate sponsorship controls are in place for N/S Bodies and will help inform the development of a revised Financial Memorandum in conjunction with DPER.

ACTION : Arthur Scott agreed to provide the next Departmental Board with a report on progress in this area.

- 4.1.3 **Action (31/1/12 – 6.2) ARMC Review of Effectiveness:** John West provided an update on the development of this work. Consideration of next steps was ongoing. Specific details were requested on the process for the appraisal of ARMC members and ongoing development needs.

ACTION: Sinead McCartan to provide details on proposals for annual appraisal of ARMC members and to ensure ongoing development needs are addressed.

- 4.2 The Board agreed that any completed actions should be removed from the table.

5.0 Corporate Risk Register (BD 87-12 - Sinead McCartan)

- 5.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

- 5.2 The Board noted the following:

Risk 1: The risk had been updated to reflect that the Sport NI governance review was due to be with the Department at the end of the month.

The role of Board members of Departmental ALBs was discussed. The Board discussed the importance of ensuring that Board members understood and appropriately discharged their role in respect of delivering Ministerial priorities and providing the Department assurance that governance mechanisms were in place.

Deborah Brown noted that work had been undertaken in communicating this message to a number of ALBs where queries/concerns had been raised in the revised assurance process and specifically the role of the board in this regard. The Department has offered to meet with Chairs of ALBs to ensure that their role is clearly understood and discharged.

Deborah Brown noted that the Department had accepted that there were timing issues with the return of completed QAS in this year, and that we would accept retrospective review by ARMC and clearance by the Board where this was not possible in order to meet the Departments timelines, and that we would hope to have this streamlined for the 12/13 year

Risk 2: The Board agreed that the risk should be reworded to reflect that it now related to delivery rather than a concern regarding oversight. John West suggested that the risk should focus on funding and the delivery of benefits.

The risk on provision of accommodation was highlighted and the impact of this being realised was discussed.

ACTION : Mick Cory to update risk register as appropriate.

Risk 3: It was noted that the analysis of consultation responses was ongoing. When completed this would reduce the likelihood of infraction proceedings.

Risk 4: Deborah Brown told the Board that a finance forum was being set up. This would address finance issues, but also deal with governance issues where appropriate.

Risk 5: A draft of the Business Continuity Plan will be progressed in due course. CHR recently issued a note confirming that recent industrial action had had minimal impact on business delivery across the service.

Risk 6: Colin Watson noted that the risk had been reviewed. ICT and consultancy teams to lead on design were in place for all three projects. It was noted that the deadline was achievable and there was confidence that the stadiums would be in place by 2015. The risk had therefore been downgraded.

John West suggested that following discussion at Audit Committee it may be appropriate to have a risk indicator for each project as they develop.

ACTION : Colin Watson to provide a report on the outcome of gateway reviews to next ARMC.

Risk 7: A number of concerns had been raised with the Culture company. An overall project plan was to be developed and an independent “health check” had been scheduled to take place before the end of the month. This would help identify slippage and allow the development of actions to address issues appropriately.

Risk 8: The Board noted that work on the Olympics and Paralympics would continue in relation to benefits realisation. However it was agreed that the risk could be removed from the departmental risk register.

6.0 World Police and Fire Games Update (DB 88-12 – Rosalie Flanagan)

- 6.1 The Board considered a paper providing an update on the World Police and Fire Games.
- 6.2 Cynthia Smith noted that all current key positions have been filled and a reserve list for future appointments was in place.
- 6.3 Cynthia Smith also noted that the company was on target in relation to the recruitment of volunteers.
- 6.4 The Board indicated that they were content in relation to the spend profile. It was also noted that the company had accepted the Departmental position in relation to VAT.

7.0 Stadium Update (DB 89-12 – Ciaran McGurk)

- 7.1 Ciaran McGurk joined the meeting and provided the Board with a presentation on Stadium development.
- 7.2 The Board noted the progress that had been made in respect of developing the designs of the UBIRFU and IFA stadiums.
- 7.3 The Board discussed the importance of realising social benefits as part of the Stadium projects. It was also noted that the substantial capital investment would help as a local economic stimulus.

8.0 City of Culture Update (DB 90-12 – Joanna McConway)

- 8.1 Joanna McConway joined the meeting and presented a paper which provided an update on progress on the City of Culture.
- 8.2 Joanna McConway discussed issues in relation to procurement. A workshop had been held with CPD and the Culture Company to discuss the complex environment in which procurement takes place. A framework was being developed to provide guidance on 'sourcing' and the letter of offer will be updated accordingly. The framework would also help identify how to maximise social benefit. CPD have also offered support one day a week to DCC and the Culture Company.
- 8.3 The Board noted that Derry City Council (DCC) was the SRO for this project. Therefore the Department should seek assurance on progress from DCC rather than directly from the Culture Company.
- 8.4 Joanna McConway explained that a consultant had been identified to undertake a three day review of the project which would help the Department develop a series of recommendations to take forward. Work was also ongoing to identify a resource to take on a Project Planning role.
- 8.5 It was noted that good work was taking place in respect of the cultural programme for the project, however the lack of a project plan was resulting in some key dates/issues being missed.
- 8.6 It was noted that the DETI led NI2012 Stakeholder Group will transition into a 2013 Stakeholder Group led by DCAL. The Group's remit will be to facilitate cross departmental and agency actions with a focus on the two major events during 2013 - WPFG and CoC.

9.0 Finance Report (DB 91-12 – Deborah Brown / Michael O'Dowd)

- 9.1 Michael O'Dowd joined the meeting and talked to the Finance Report. The Board noted the following main issues:

9.1.1 Spend Report : Full spend is anticipated by end of year.

It was noted that there has been no spend to date in respect of City of Culture, although the letter of offer has been signed. It was anticipated that there may be resource underspends from both North/South bodies due to currency fluctuations, however pension pressures also need to be clarified before the full picture is known.

The Board noted the position in relation to capital spend. An easement had been identified in respect of ELFNI, which would create pressures next year.

- 9.1.2 **October Monitoring** : A paper is with the Minister summarising the Departmental approach. It is intended to brief the CAL committee before the end of the month.

A total resource pressure of £1,234k has been identified. When this is considered against overall easements of £635k leaves the Department with a net pressure of £599k. It was agreed that key pressures in relation to PRONI, Stadiums, WPGF and Liofa were met. Additionally a pressure in relation to Waterways Ireland depreciation was to be met. Other pressures would need to be managed within branches and ALBs as appropriate. The Board was content with this position.

The board noted the uncertainty on NMNI ability to live within its future baseline and that a VER bid was under consideration. A bid may be place in October Monitoring and the board will be kept informed.

Total confirmed bids/pressures in respect of capital of £1958k have been identified. This is considered against capital easements of £749k leaving the Department of a net pressure of £1,209k. It was recommended a bid be made to DFP to cover the shortfall of £1209K subject to Minister's decision on the Londonderry papers. The Board was content with this position.

- 9.1.3 **Budget Flexibility in Future Years:** The Board considered a paper on budget flexibility in future years. The paper considered current commitments and spend within categories including 'negative impacts' and 'deemed flexible' in an attempt to identify where funding could be found in the event of further emerging pressures or cuts. It was concluded that there was no significant flexible budget in either resource or capital in the remainder of the current CSR period. However a submission is being compiled which will detail the proposed spend within categories to help inform future funding decisions.
- 9.1.4 **Final Outturn 2011/12** : There was little change between provisional and final outturn in respect of Administration and capital costs. A variance between provisional and final resource costs was due to revised depreciation figures. A variance in respect of final and provisional AME costs was largely due to a reversal by LNI of earlier impairment charges arising from the difference between indexation figures provided by LPS and their actual valuations – all beyond the department's control.
- 9.1.5 **NIAO Report to Those Charged with Governance** : It was noted that the final version of the document had been received from NIAO.

9.1.6 **Prompt Payment target:** DCAL payments for both 10 and 30 day targets were above NICS averages. Explanations are being sought from ALBs where performance fell below the 90% level.

9.1.7 **Savings Delivery Plans:** The Board noted that following Ministerial agreement all Savings Delivery Plans(SDP), with the exception of NMNI, have been published on the Departmental website. Discussions are ongoing with NMNI on the production of an achievable SDP.

10.0 ARMC Update (John West – DB 92-12)

10.1 John West presented an update on the work of the ARMC.

10.2 The Board noted that a new member had joined the ARMC – Gary Fair, Head of Water Shareholder Unit in DRD.

10.3 The ARMC had discussed the level of audit recommendations outstanding for more than one year. In total there are 31 Departmental Priority One ALB recommendations that have been outstanding for at least one year. The ARMC recommended that this be given closer management attention.

ACTION : Deborah Brown to consider outstanding audit recommendations and report to next ARMC.

10.4 John West noted that the ARMC had discussed the amended QAS process. It was felt this provided visibility in governance matters across ALBs. However, a number of specific areas were identified where improvements could be made.

10.5 John West welcomed update papers that had been provided to the ARMC in respect of WPF, City of Culture and Regional Stadiums.

11.0 2011/12 Test Drilling Exercise Report (Patrick Neeson – DB 93-12)

11.1 Patrick Neeson joined the Board and presented a report on the 2011/12 Test Drilling Exercise.

11.2 Patrick Neeson highlighted the key issues that had been highlighted as part of the test drilling process and identified recommendations to address these where appropriate.

11.3 The Board welcomed the report and noted that the exercise indicated a generally high level of compliance with areas where further attention was needed.

11.4 The Board noted the report and agreed that it be submitted to DFP.

12.0 Sickness Absence Statistics (Margaret Murphy – DB 94-12)

12.1 Margaret Murphy joined the board and discussed a paper on Sickness Absence Statistics.

12.2 The paper identified actions across the NICS that were being taken to address sickness absence. The Board noted that there were a range of programmes and initiatives ongoing across the NICS to try and improve attendance.

12.3 It was noted that all DHR across the NICS retain the decision making responsibility for the inefficiency process.

12.4 Margaret Murphy informed the Board that the Health and Safety Executive (HSE) have agreed to relaunch the Health and Safety Management Standards subject to the Board's approval.

12.5 It was agreed that more detail would be provided to Rosalie Flanagan before a final decision was reached regarding the relaunch of the Standards to ensure that there would be added value from such an exercise given the additional workload for staff and the current work being taken forward by the staff engagement forum in response to the staff attitude survey.

13.0 Papers to Note:

13.1.1 **ESU Update(DB 95-12):** The Board noted the content of the ESU Update.

13.1.2 **Personnel Report (DB 96-12):** The Board noted the personnel report.

13.1.3 **IMB Update (DB 97-12):** The Board noted the Personnel update.

13.1.4 **Staff Brief – September 2012(DB 98-12):** The Board noted the content of the staff brief.

14.0 Any Other Business

14.1 Deborah Brown informed the Independent Board Members that an audit report had been received on issues in capital projects. A response to the report is being drafted and will be sent to the Audit Office.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on Tuesday 23rd October 2012.

Paul Gamble

18 September 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 23rd October 2012 – 9.30am – 1.00pm

- Present:** Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Arthur Scott
Colin Watson
John West
David Huddleston (on behalf of Aileen McClintock)
- In attendance:** Paul Gamble (minutes)
- Apologies:** Marie Mallon
Aileen McClintock

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.
- 1.3 Apologies were received from Marie Mallon and Aileen McClintock. David Huddleston attended on behalf of Aileen McClintock.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 18th September 2012. (DB M-10-12)

- 3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-10-12)

- 4.1 The action point table was reviewed.
- 4.1.1 **Action (22/5/12 – 6.4) PRONI / NICS Digital Preservation Project:** David Huddleston indicated that the update on the

position of the Digital preservation project would be provided to the Board in January.

- 4.1.2 **Action (9/8/11 – 7.3) Departmental Board Terms of Reference:** It was agreed that Wesley Emmett would be contacted in relation to the SMT Strategy Day.

ACTION: Rosalie Flanagan agreed to contact Wesley Emmett to agree agenda for Strategy Day.

- 4.2 The Board agreed that any completed actions should be removed from the table.

5.0 Corporate Risk Register (BD 99-12 - Sinead McCartan)

- 5.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

- 5.2 The Board noted the following:

Risk 1: Deborah noted that a paper was being presented to the Departmental Board on the governance approach within North/South Bodies.

The Governance Review by CIPFA has been considered by the Board of Sport NI and will be with the Department in due course.

It was agreed that the risk should remain Amber.

Risk 2: The risk had been amended to reflect recent work by the WPFPG company and the recent gateway review. The gateway review had agreed a finding of amber. This was reflected in the Department's assessment of residual and treated risk.

It was noted that work relating to accommodation had progressed and a process was now in place to monitor registration and accommodation availability. Plans are in place for the services to open up private accommodation to competitors.

A quality assurance team has been put in place with regard to event delivery. The Gateway review identified that there was a need to ensure that the WPFPG company had the correct skills in place to deliver events.

It was noted that income was in a positive place, despite concerns given the current economic climate.

It was noted that the Minister had expressed the importance of benefits realisation in respect of engagement with the Games.

A “update” paper was provided to the Board with further detail on WPFPG progress.

Mick Cory noted that given the scale of the WPFPG event and possible reputational damage to the Department it was unlikely that this risk would be reduced below amber at any stage.

Rosalie Flanagan asked that at the next Departmental Board the WPFPG Update should focus on event delivery.

Risk 3: Mick Cory noted that when all actions were completed this risk would move to green.

The consultation period has been completed and recommendations were being prepared for the Minister. A briefing for the CAL Committee and stakeholders is also being prepared.

The recruitment of a Chief Fisheries Officer had been completed.

Risk 4: A finance forum with the ALBs was held on 3rd October. It was well attended and generated constructive discussion. It is intended to run these forums every six months with the next forum scheduled for March.

It was agreed that risk four should be revisited in order to ensure it reflected priorities in relation to addressing poverty and social exclusion.

Risk 5: A draft of the Business Continuity Plan will be progressed in due course.

Risk 6: Colin Watson reported that a risk update in relation to each individual Stadium project had been provided as requested at the previous month’s Board meeting. The assigned risks were based on the outcome of recent gateway reviews.

The Ravenhill development was considered as Green. It is likely that the project will be delivered to time and within budget.

The Windsor Park development was considered to be Amber / Green This reflects the fact that costing on Stage D drawings had yet to be completed.

The Casement Park development was considered to be amber. It was noted that delivery was feasible subject to addressing certain key issues. Colin Watson noted that now an ICT was in place it was expected that movement on addressing issues would be taken forward.

The overall programme was considered as amber/green following the recent gateway review. This reflects a position whereby successful delivery appears probable but with some risks that need to be managed.

Colin Watson noted that social clauses were well developed in relation to Ravenhill and these clauses would be developed/reviewed in respect to the other projects.

Risk 7: Arthur Scott noted that the project remained high risk as an overall project plan was still not in place.

Arthur Scott noted SIB were working with the Company to address shortcomings in the current marketing plan. A Project director is being sourced to oversee the programme. CPD have agreed to give advice in relation to the sourcing of services.

A health check has been completed and a number of recommendations were made. Derry City Council has been asked to develop an action plan for the implementation of these recommendations.

The first drawdown was achieved on 17th October. Spend will continue to be monitored closely.

John West asked how the Department was satisfying itself that social inclusion was being considered regarding the overall City of Culture programme. Rosalie Flanagan noted that these issues were considered in the original business case.

6.0 Quarterly Assurance Assessments – First Quarter Return (DB 100-12)

- 6.1 Cynthia presented a paper on the Quarter 1 Assurance report. Cynthia noted that work was ongoing to update the assurance process within ALBs.
- 6.2 The paper highlighted that GSU was working with ALBs to ensure that the new QAS process was appropriately embedded.
- 6.3 The ARMC had discussed the QAS process and had highlighted the need to consider audit recommendations as part of the process. Additionally it was recommended that greater consistency was required in respect of completion of divisional QASs.
- 6.4 Cynthia provided an update on the key post assurance statement issues.
- 6.5 John West noted that the AMRC had wished to seek assurance that the QAS process was working effectively. Deborah Brown highlighted that post assurance statement issues were those which had been highlighted since the completion of the QAS process.

- 6.6 John West indicated that he was concerned that issues may not be being reported as part of the QAS process. Deborah Brown explained that this was considered as part of the HoD review of the process.
- 6.7 Rosalie Flanagan noted the importance of following up robustly any significant issues which were not reported as part of the QAS.
- 6.8 The Board discussed how the quarterly assurance process could report to the Board on the level of confidence the Department has in specific ALBs/Business areas.

ACTION: Cynthia Smith to consider how the assurance process can be used to advise the board on confidence in ALBs/Business areas for next reporting cycle.

7.0 North South Governance Update (DB 101-12 – Arthur Scott)

- 7.1 Arthur Scott provided the Board with a paper on North/South Body governance processes.
- 7.2 It was noted that the MSFMs for N/S bodies were still being discussed by DFP and DPER.
- 7.3 It was noted that the branch was developing a sponsorship framework guidance document. This will be in place and implemented by January. Once completed the framework will be shared with colleagues in the South.
- 7.4 Ongoing monitoring meetings are still in place in respect of Bodies.
- 7.5 Work was ongoing between DPR and Departments in the South in respect of Service Level Agreements. Once agreed by DCAL and DAHG Service Level Agreements will become part of the suite of performance measures that the Department uses to assess N/S Body performance.

8.0 Finance Report (DB 102-12 – Michael O’Dowd)

- 8.1 Michael O’Dowd joined the meeting for the Finance Report. The Board noted the following main issues:

8.1.1 Spend Report:

Actual spend on administration costs would be expected to be 50% but is currently running at 45%. This reduction is partially explained by the fact that the effect of the pay settlement has not been included.

There are potential easements in respect of N/S Bodies, but this position needs to be clarified further.

Full spend is anticipated in relation to capital. A bid is with DFP in respect of £1.209m to cover the delay in receipt from the sale of the PRONI building.

Business cases will need to be progressed/approved in respect of the Londonderry papers and the Arts Council online ticketing systems.

An accurate profile on Stadium capital spend for the current year is expected by the end of November. Deborah Brown noted that it would be essential to clarify that there was no slippage in relation to the 50m Pool capital programme.

ACTION: Colin Watson to seek assurance on progress of 50m pool and provide a note to Rosalie Flanagan/Deborah Brown.

Deborah Brown also raised concerns about capital maintenance business cases in respect of NMNI and Rosalie requested a timeline for these.

ACTION: Mick Cory to provide timelines on NMNI Capital business cases.

8.1.2 Post October Monitoring: Michael presented a refreshed position in respect of pressures and easements.

An additional pressure of £362k was highlighted in connection with After Schools Film Clubs.

An easement of £600K was identified in respect of Waterways Ireland pensions.

A number of pressures in respect of CPD fees have also been identified. As the total value of the CPD fees have not been quantified, it was agreed that it would be prudent to hold a portion of easement back until this was clarified.

The Board agreed that depreciation pressures in respect of Sport NI and ACNI and various NIMC pressures would not be met. Bids in relation ACNI "Other Voices" and After Schools Cinema Clubs would be met (subject to Minister) to the level of £125k.

8.1.3 Prompt Payment target: DCAL payments for both 10 and 30 day targets were above NICS averages. Explanations are being sought from ALBs where performance fell below the 90% level. It was noted that only 67% of invoices within NIMC were paid within 10 days. Finance branch is investigating this further.

9.0 Creative Industries Innovation Fund Update (DB 103-12 – Stephen McGowan)

9.1 Stephen McGowan joined the meeting and reported on the Creative Industries Innovation Fund.

9.2 It was noted that 98 awards have been made between 2011-13 and of these 95 were made to individual businesses. The CIIF is on target to meet its 2015 Programme for Government target. This progress has been reported to OFMDFM.

9.3 Stephen McGowan talked about the possibility of running a programme of “Creative Credits” if additional funding were available to stimulate the economy. This would mirror innovation/academic credits currently available from DETI.

9.5 The Board discussed the targeting of the CIIF2 programme. Stephen McGowan assured the Board that it was promoted on a region wide basis.

9.6 Stephen McGowan noted that as part of CIIF2 there was ongoing evaluation of companies who had applied for funding under CIIF1.

10.0 Monitoring of Corporate Strategy Targets (DB 104-12 – Paul Gamble)

10.1 Paul Gamble presented an update on progress against Corporate Strategy targets for the first six months of 2012-13.

10.2 The Board noted that no targets were currently marked as red.

10.3 Following consideration the Board indicated that a number of targets should be upgraded to Red.

Corporate Services - To achieve an average of 6.5 days sickness absence per employee – The Board agreed that this target should be upgraded to red until further clarification was received on achievability.

ACTION: Deborah Brown to seek further clarification on the achievability of DCAL’s sick absence targets.

Culture Division – Support 100 organisations through the Creative Industries Innovation Fund - The Board noted that the target of 100 projects supported in 2012-13 would not be achieved. However agreed to leave the target marked as Amber to reflect the confidence that the overall Corporate Strategy target 2011-15 would be achieved.

Culture Division – Establish baseline re number of people engaging in Ulster-Scots language, heritage and culture and Establish baseline re number of people engaging in Irish language, heritage or culture – The Board acknowledged that due to the timing of surveys this work would not be completed during the 2012-13 business plan. Therefore the target should be marked as red. However the branch will ensure that this action is carried forward in 2013-14.

- 10.4 It was agreed that where initial dates for targets were missed, branches should be asked to provide revised timescales for completion as part of the monitoring process.

11.0 Draft Business Plan 2013-14 (Philip Spotswood– DB 105-12)

- 11.1 Philip Spotswood joined the Board and presented a draft version of the Business Plan 2013-14.
- 11.2 The Board reviewed the business plan. It was agreed that it would be necessary to further redraft the plan to reflect Ministerial priorities and to develop specific targets in relation to tackling poverty and social exclusion.

12.0 Research Programme Update (Orla Bateson – DB 106-12)

- 12.1 Orla Bateson and Patrick Neeson joined the Board and presented an update on the Research Programme.
- 12.2 The 2013/14 Research Programme was considered by the Board. The Board agreed the need to align the Research Programme with Ministerial priorities.

ACTION: SMT to ensure that Ministerial Priorities are reflected in 2013/13 Business Plan as part of November Strategy Day.

13.0 Papers to Note:

- 13.1.1 **World Police and Fire Games (DB 107-12):** The Board noted the WPFG Update.
- 13.1.2 **Stadium Update (DB 108-12):** The Board noted the report.
- 13.1.3 **ESU Update (DB 109-12):** The Board noted the ESU update.
- 13.1.4 **Personnel Report (DB 110-12):** The Board noted the content of the Personnel Report.

13.1.5 **IMB Update – RFI Issues (DB 111-12):** The Board noted the content of the IMB Update.

13.1.6 **Staff Brief (DB112-12):** The Board noted the content of the Staff Brief.

14.0 Any Other Business

14.1 No other business was raised.

15.0 Next Meeting

15.1 **The Board noted that the next meeting will be held on Tuesday 20th November 2012 and the team brief process will be discussed.**

Paul Gamble

23 October 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 20th November 2012 – 9.30am – 1.00pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Arthur Scott
Colin Watson
John West
Marie Mallon
Heather Stanley (on behalf of Aileen McClintock)

In attendance: Paul Gamble (minutes)

Apologies: Aileen McClintock

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.4 Apologies were received from Aileen McClintock. Heather Stanley attended on behalf of Aileen McClintock.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 23rd October 2012. (DB M-11-12)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-11-12)

4.1 The action point table was reviewed.

4.1.1 **Action (31/1/12 – 6.2) ARMC Review of Effectiveness** – It was noted that work was still ongoing in this area and was being progressed by Sinead McCartan.

4.1.2 **Action (26/6/12 – 9.1.2) Annual Report and Accounts:**
Deborah Brown noted that a meeting had taken place with NIAO to ensure that all key meetings were scheduled and that early engagement took place as appropriate.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 World Police and Fire Games (DB 113-12 – Joanna McConway)

5.1 Joanna McConway joined the meeting and presented an update on the World Police and Fire Games.

5.2 Joanna noted that the branch was focusing on seeking assurance that events delivery was achieved. A priority list of work areas is being considered by the branch to ensure that appropriate plans and documentation are in place.

5.3 A strategy is in place to handle a potential shortfall in accommodation. This may include actions such as opening fire and police officers homes to potential athletes. It was noted that it was intended to take a “pause” in registering athletes in April/May 2013 of 5-8 days. Following this pause, it will be recommended to athletes that they pre-book accommodation prior to registration.

5.4 Cynthia Smith noted that registration had opened on schedule and also that significant progress had been made in terms of the volunteering strategy. The company is seeking to recruit 3,500 volunteers out of a potential pool of 6,428 applications.

5.5 John West noted that it may be necessary to undertake further consideration of benefits realisation. Joanna McConway noted that in light of Ministerial priorities it was important to consider development of social benefits.

5.6 Work is ongoing in relation the opening ceremony.

Corporate Risk Register (BD 114-12 - Sinead McCartan)

6.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

6.2 The Board noted the following:

Risk 1: Deborah Brown noted that the sponsorship manual continued to be a living document and work was still ongoing in this area.

The SNI review was discussed and it was noted that a response had issued following receipt of the final report. Rosalie Flanagan noted that the Department felt that the implementation plan addressed the key issues appropriately.

Risk 2: The Board noted that this risk had been considered as part of Joanna McConway's report on the WCFG.

Mick noted that the risk had been changed to reflect actions to be taken as part of the sponsor branch developing an Event Delivery Assurance Strategy.

Risk 3: It was noted that following the completion of the consultation a Ministerial submission on proposed salmon policy had been developed. Legislative Changes will be required and early engagement with DSO had taken place.

Risk 4: Deborah Brown noted that this risk had been substantially updated to reflect Ministerial priorities.

A number of exercises had taken place to identify potential projects which could be used to tackle poverty and social exclusion.

As part of the work to address this area, actions would need to be undertaken to ensure the Department has appropriate data in order to set meaningful targets on poverty and social inclusion.

It was noted that the Research Plan would be considered in light of the development of Ministerial priorities.

Risk 5: It was noted that the Departmental BCP had been updated. Specific BCPs for MPSO and Comms office have been drafted. Work on BCPs for PRONI and fisheries will be developed in due course.

It was suggested that the risk should be rephrased to reflect a generic possibility of business interruption. It was also noted that it may be appropriate to consider downgrading this risk.

Risk 6: Colin Watson noted that the Programme remained at an overall Amber status.

Colin noted that the contractor had been appointed for the Ravenhill development and was on site.

The planning application was the next significant milestone for the Windsor Park project. It is anticipated that the planning application will soon be submitted.

Some slippage was noted in relation to Casement Park, However it was noted that the design team (ICT) had been appointed.

It was noted that the Department continued to seek assurance that the programme was being developed in line with agreed milestones.

Colin Watson noted that in terms of individual projects - Ravenhill was considered green, Windsor Park was green/amber and Casement Park was Amber.

Risk 7: Arthur Scott noted that the risk register had been updated to reflect remedial actions to be taken by the Project Director.

Joanna McConway noted that work was ongoing in relation to developing contracts, letters of offers, sponsorship agreements etc.

Benefits realisation remains a key issue and it will be necessary to continue development of the business case. An addendum will be prepared and, if appropriate, DFP approval sought as soon as possible.

It was noted that the project remained high risk.

Arthur Scott left the meeting.

7.0 Finance Report (DB 115-12 – Michael O’Dowd)

7.1 Michael O’Dowd joined the meeting for the Finance Report. The Board noted the following main issues:

7.1.1 Spend Report:

Based on an assumption of even spend through the year an expected spend on administration of 58% could be expected. Actual spend on administration costs is currently running at 55%.

With respect to resource costs it is anticipated that there may be an under spend in relation to City of Culture. Small additional easements may arise in Fisheries and Inland Waterways. An easement has been identified in relation to the Waterways Ireland pension which will be dealt with the AME exercise due to be completed in December.

Capital spend has not yet been committed in relation to an online ticketing system and the Londonderry papers.

There has been limited spend in relation to the Museums’ Capital maintenance programmes. However assurances have been received that this will be spent in year.

Early indications in relation to the Regional Stadium Programme are that spend will be achieved.

The Board noted that profile of spending and forecasting was generally good across the Department and its ALBs.

Cynthia Smith left the meeting.

7.1.2 January Monitoring: Michael presented a timetable in relation to the completion of January monitoring.

Total resource pressures of £267k have been identified.

Total resource easements of £1231k have been identified. This includes an estimated easement of £500K in respect of N/S bodies.

Total confirmed capital pressure bids of £4,031k have been identified.

Total confirmed capital easements of £1493k have been identified. This means an overall net capital pressure of £2538k before recommendations.

The Board were asked to note the current position. Michael O'Dowd explained that further projects were being developed in order to address Ministerial priorities. Michael O'Dowd agreed to provide an updated paper to the December Board.

7.1.3 Ministerial Priorities: It was noted that work has been undertaken to develop proposals which address the Ministerial priority of tackling poverty and social exclusion.

7.1.4 AME Budget Review: It was noted that the second monitoring exercise of the year will be commissioned shortly and will require a number of budget adjustments.

7.1.5 Prompt Payment target: DCAL payments for both 10 and 30 day targets were above NICS averages. Explanations have been sought from ALBs where performance fell below the 90% level.

7.1.6 Rosalie Flanagan noted that a press release from DFP on 15 November had highlighted the ongoing difficulties in the construction sector and how it was therefore essential that government continued to meet its prompt payment targets. DCAL includes prompt payment targets in its Letters of Offer.

7.1.7 The Board agreed to note the paper. Further consideration would be undertaken as part of the December finance paper.

8.0 Papers to Note:

8.1.1 **Stadium Update (DB 116-12):** The Board noted the report.

8.1.2 **ESU Update (DB 117-12):** The Board noted the ESU update.

ACTION : Colin Watson to consider quality of PPEs received from Sport NI.

8.1.3 **Personnel Report (DB 118-12):** The Board noted the content of the Personnel Report. Deborah Brown provided an update on the position regarding sick absence targets.

8.1.4 **IMB Update – RFI Issues (DB 119-12):** The Board noted the content of the IMB Update.

8.1.5 **Staff Brief (DB120-12):** The Board noted the content of the Staff Brief.

9.0 Any Other Business

9.1 Rosalie Flanagan raised the issue of the NMNI Savings Delivery Plan.

9.2 Mick Cory provided an update on NMNI's ongoing consideration of proposals to include in a savings delivery plan.

10.0 Next Meeting

10.1 The Board noted that the next meeting will be held on 9.30 Tuesday 18th December 2012.

Paul Gamble

20 November 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 18th December 2012 – 9.30am – 1.00pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Aileen McClintock
Arthur Scott
Colin Watson
John West
Marie Mallon

In attendance: Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.

1.5 There were no apologies.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFNG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 20th November 2012. (DB M-12-12)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-12-12)

4.1 The action point table was reviewed.

4.1.1 **Action (9/8/11 – 7.3) Departmental Board Terms of Reference**
– Rosalie noted a formal written report would be provided to the next Departmental Board on the SMT Away Day

Action: Deborah Brown

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 Corporate Risk Register (BD 121-12 - Sinead McCartan)

5.1 Sinead McCartan spoke to the Corporate Risk Register and asked the Board to note the updates.

5.2 The Board noted the following:

Risk 1: Deborah Brown noted that the CIPFA report had been provided to the Department.

Risk 2: Mick Cory was noted that the risk had been updated and a number of actions had moved from the action plan into the “how risk is managed” column.

Risk 3: Mick Cory noted that the Minister had made a statement in the Assembly and a clear plan of action was in place to address this risk. The EU are monitoring how DCAL is addressing this matter.

Risk 4: Deborah Brown highlighted that considerable work has taken place in addressing the Ministerial priority on poverty and social inclusion. It was noted that Stephen McGowan was now in the lead in this area. A definition of poverty and social inclusion was being developed and a targeted approach was being considered.

Work is also being taken forward on developing an overall DCAL programme for this area.

The Board discussed the need to communicate this change in emphasis clearly to all ALBs.

Risk 5: Deborah Brown noted that a Business Continuity Plan (BCP) had been developed for MPSO, although this still needs to be tested. BCPs for PRONI and Fish farms are also being developed. John West noted that the testing and confirmation of BCPs is a crucial part of the process.

Risk 6: Colin Watson noted that an update report on the Stadium had been submitted to the Board as a paper to note.

Colin informed the Board that the contractor is on site for Ravenhill and work has begun.

Progress is being made on Windsor Park and the planning application has been submitted.

The Casement Park development is ongoing and the planning application is on track for submission in March 2013.

Risk 7: Arthur Scott noted that the risk remained red at this stage. The City of Culture Project Director had made a case for additional resources to meet unforeseen programme costs. The Department was considering this.

A revised financial profile has been received for January monitoring.

Arthur Scott noted that additional resource had been provided to the DCAL City of Culture Team.

The Board discussed a range of risks associated with the delivery of the City of Culture programme.

6.0 Quarterly Assurance Assessments – Revised Internal Templates(DB 122-12)

- 6.1 Sinead McCartan presented a paper asking the Board to note the work that had been undertaken to amend the QAS statements.
- 6.2 Cynthia Smith noted the work that had been undertaken to provide assurance to the Department in respect of governance within ALBs. This work included taking assurance from a wide range of areas including QAS, Accountability meetings and minutes of Boards.
- 6.3 John West noted that the audit committee should see and note the QAS, but that challenge and approval of the QAS is primarily the responsibility of the ALB Board.
- 6.4 The process for integrating and embedding the QAS into the control framework and risk assessment was discussed. It was noted that a letter is due to issue to ALBs and that flexibility may be required in respect of the role of the audit committee in the process of approving the QAS.
- 6.5 Following discussion on the process, it was agreed that the draft letter to ALBs from DCAL Permanent Secretary would be amended to reflect that the approval of the QAS was primarily the responsibility of the ALB Board.

ACTION: Sinead McCartan to amend the letter from DCAL permanent Secretary to DCAL ALBs to reflect that the challenge and approval of the QAS is primarily the role of the ALB Board.

7.0 Quarterly Assurance Assessments – Second Quarter Return (DB 123-12)

- 7.1 Cynthia Smith presented a paper on QAS second quarter returns.

- 7.2 Cynthia noted that following consideration of the QAS it was intended that a letter would issue from the Departmental Accounting Officer to all ALBs to remind them of the rationale for the assurance process and asking them to ensure that it is fully embedded within their organisation.
- 7.3 Cynthia noted that following previous concerns about inconsistency between divisional quarterly assurance statements further guidance had been put in place to address this.
- 7.4 It was highlighted that outstanding audit recommendations continued to be monitored and tracked through accountability review meetings.
- 7.5 The Board agreed that following the review of the ALB assurance statements provided by ALB Accounting Officers, Senior Sponsors should consider reviewing the current risk ratings for bodies as appropriate.
- 7.6 John West asked if the process of risk management was responsive enough. Changes to risk ratings and associated sponsorship arrangements should not need to await formal completion of the risk assessment process. Sinead McCartan advised that the risk assessment process is responsive in that sponsor branches through Senior Sponsors have the facility to amend the risk rating of an ALB based on their knowledge of the ALB through review of committee minutes and papers and disclosures in the QAS as well as through ongoing communications in accountability meetings etc.
- 7.7 Rosalie asked Senior Sponsors to provide an overview of the risk levels within their respective ALBs. Senior Sponsors provided their current assessments of the assurance levels for each of their ALBs to the Board..

8.0 World Police and Fire Games (DB 124-12 – Mick Cory)

- 8.1 Mick Cory presented a paper updating the Board on the World Police and Fire Games.
- 8.2 It was noted that an accountability meeting took place on 14th December and discussed a range of key issues.
- 8.3 Mick noted that as part of the accountability meeting a number of slippages against the programme plan had been highlighted. However, at this stage none of the slippages were considered critical.
- 8.4 Mick noted that the issue of accommodation had been raised by the CAL Committee. The Permanent Secretary along with John Tully had attended the CAL committee and discussed the WPFG approach to

accommodation. A paper was to be provided to the Committee in January. Reassurance was given to the Committee that there was no cap on the number of competitors.

ACTION : Mick Cory to circulate CAL Committee paper on accommodation to Board members for information.

- 8.5 Mick reported that registration has been steadily increasing. It is expected to accelerate in New Year when many participating bodies will determine annual leave arrangements. The number of athletes registered currently stands at over 1300 athletes from 30 countries.
 - 8.6 The position regarding sponsorship is still positive with £1.4m in place subject to contracts being finalised.
 - 8.7 Mick noted that the WPFM company is considering resource plans based on the total number of expected athletes registered. Work is also still ongoing to develop a paper on the position regarding VAT.
 - 8.8 It was noted that the first 65 volunteers are to be trained this week. The Board noted that in seeking volunteers neighbourhood renewal areas were specifically targeted as part of the process.
 - 8.9 Mick reported that Joanna McConway had been liaising with DSD to help establish social benefits that can be realised through the delivery of the Games.
 - 8.10 Some slippage was reported on specific sports venues, but this was not a major concern at this stage.
 - 8.11 Some additional costs had been identified in relation to possible opening and closing ceremonies and work is ongoing to establish the most appropriate way forward.
- 9.0 ARMC Update – (Verbal) (John West)**
- 9.1 John West provided a verbal update report on the ARMC.
 - 9.2 John highlighted the Internal Audit Progress report. He noted that since the last ARMC a number of internal audit reports had issued including Asset Management, Sport NI Project on the 50m Pool, Data Security and FOI, External Quality of NI Screen's IA Service and Gifts and Hospitality.
 - 9.3 John informed the board that the audit report on the 50m pool received only limited assurance. This was due to the inaccuracies in financial information provided to the Board of Sport NI.

- 9.4 John noted that the Governance Support Unit Paper has updated the ARMC on the review of the risk ratings of the Department's ALBs. All risk assessment questionnaires have issued to ALBs and branches for completion. It was noted that alignment of the risk assessment and quarterly assurance processes were being considered.
- 9.5 John noted that work had begun in preparation for the year end timetable in respect of completing DCAL Resource Accounts. Key dates agreed included meetings for ARMC and Departmental Board to agree the accounts. It was noted that a Governance Statement was replacing the Statement of Internal Control. Deborah Brown explained that the replacement Governance Statement would be wider in its remit than the SIC. DFP have not provided a standard template for the Governance Statement, although there is guidance in place. Deborah explained that the Department will be contacting DHSSPS who have developed a template for completion by their ALBs.
- 9.6 John noted that overall the number of priority one audit recommendations that had been outstanding for more than one year had increased since the last ARMC. This was due to eighteen outstanding recommendations moving past the one year threshold.
- 9.7 The Board discussed how this should be addressed. It was noted that there may be a need to review existing recommendations to ascertain if existing recommendations were correctly identified as priority one issues. Additionally, it was noted that some of the recommendations may no longer be relevant.
- 9.8 The Board also discussed the need to challenge audit recommendations appropriately at the point of creation. Consideration should be given to whether they are appropriately prioritised and whether they can be effectively remedied.
- 9.9 John also raised the issue of the Department considering closing some specific recommendations and accepting any risk that arose as a result of this. Rosalie asked that this area be given specific attention and would like to see a significant reduction in the number of priority one recommendations outstanding for more than one year before the next ARMC in March 2013.
- 9.10 John noted that the ARMC had received an update from Michael O'Dowd on the issue of legal title to Departmental Assets.
- 10.0 Presentation – new NI Direct Partnership (Kathryn Semple and Mark Gibson)**
- 10.1 Kathryn Semple and Mark Gibson joined the meeting to provide the board with a presentation on NI Direct. Stephen McGowan and Leander Harding also joined the meeting.

- 10.2 The presentation covered the ability of NI Direct to deliver efficient and effective services to the Northern Ireland public.
- 10.3 Kathryn Semple discussed the benefits that could be delivered through the NI Direct platform including improved access to government services, a shared platform for a range of services and value for money.
- 10.4 Mark Gibson highlighted a range of business development support that was available from the team including envisioning, scoping and feasibility, service modelling and the development of benefits and business cases.
- 10.5 The Board discussed a number of areas within the Departmental remit where the expertise of NI Direct could be useful. It was noted that the remit of NI Direct extended to both the core Department and its associated ALBs.
- 10.6 Mick and Aileen identified specific opportunities for their areas and they will follow these up directly with Kathryn and Mark.

11.0 Finance Report (DB125-12) (Michael O'Dowd)

- 11.1 Michael O'Dowd joined the meeting for the Finance Report. The Board noted the following main issues:

11.1.1 Spend Report:

Based on an assumption of even spend through the year an expected spend on administration of 67% could be expected. Actual spend on administration costs is currently running at 62%.

With respect to resource costs it was noted that Arts Branch have spent a total of £445k to date out of a total of £1096k. However it was noted that this level of spend was due to delays in Creative Industries Grants being made and Community Festivals grants being claimed. Full spend is anticipated.

It was noted that Derry City Council are confident that full spend will be achieved in relation to the City of Culture. This position will be monitored.

It was noted that only £277k had been spent of the £1026k linguistic/cultural diversity budget. However assurance had been received that full spend would be achieved despite a number of delays in initiating projects.

Full resource spend is anticipated in relation to NDPBs.

Capital spent was considered in relation to a number of projects.

It was noted that full spend in relation to the arts online ticketing spend was anticipated following approval of the business case.

Early indications including a revised spend profile for Kilkeel library had suggested there may have been an underspend in capital. However it is now anticipated that full spend will be achieved.

Approval has been received to purchase the Londonderry papers.

It was noted that there had been an easement of £451k in relation to the regional stadiums. Deborah Brown noted that it was essential to identify if this was an easement or slippage.

ACTION : Colin Watson to clarify the impact of the easement of £451k on the stadium future year budgets.

11.1.2 January Monitoring: Michael noted that the stage 2 deadline for moves that require Executive approval was 3rd of January. This would include Bids, Easements and Reclassifications.

It was noted that the Minister had been provided with a list of proposals to tackle poverty and social exclusion.

Net easements of £1004k were retained in January Monitoring to tackle poverty and social exclusion.

The Minister has identified and approved a number of poverty and social exclusion proposals, further proposals have been presented to the Minister for consideration.

With respect to capital, the Minister has identified capital bids of £2578k to be met.

A total of £451k which has been surrendered from the Stadiums programme will be used to meet bids in relation to ParkRun, Mountain Rescue and contribution towards the purchase of the Gold Torc and 'Northern Rhythm' Oil painting.

Bids will be submitted to DFP in relation to the purchase of Heron Road by NMNI and the replacement of boilers at the Ulster Folk and Transport Museum.

11.1.3 The remainder of the finance paper was noted.

- 11.2 The Asset Management paper was considered (due to time constraints). It would be brought back to the January Departmental Board.

ACTION : Asset Management Paper to be tabled for January Departmental Board.

12.0 Research Programme Update (DB126-12) (Orla Bateson and Patrick Neeson)

- 12.1 Orla Bateson and Patrick Neeson joined the meeting and presented an updated version of the DCAL Research Programme.
- 12.2 It was noted that a number of amendments had been made to reflect Ministerial priorities in relation to poverty and social exclusion.
- 12.3 The Board discussed the updated programme and agreed it in principle. It was noted that as policy work in relation to poverty and social exclusion is developed throughout the year it may be necessary to change and update the research programme. The need for this flexibility was acknowledged and agreed.
- 12.4 A seminar with business areas is being organised in the New Year on the Research Programme.
- 12.5 Rosalie Flanagan asked that the programme should be reviewed in February and asked that resource allocation against each area should be proposed to help future consideration.

Action: Orla Bateson & Patrick Neeson

13.0 Delivering Tomorrow's Libraries (DB127-12) (David Polley and Bronagh Ramsden)

- 13.1 David Polley and Bronagh Ramsden joined the Board and presented a paper on the ongoing review of Delivering Tomorrow's Libraries.
- 13.2 David discussed the process for reviewing the policy document. He highlighted that engagement would take place with a number of stakeholder groups including the Libraries NI Board, the CAL Committee the DCAL Board and colleagues from other Government Departments.
- 13.3 It was also noted that a range of data would be considered including statistical evaluation of Public Library Standards, comparative research from other jurisdictions, and evaluation of the impact of the Libraries NI Capital Programme.

13.4 The Board noted the presentation and discussed the importance of work of Libraries NI. It was noted by all that the work of Libraries was much broader than improving literacy and that the focus must be on the Ministers priority to tackle poverty and social exclusion. The Board highlighted that they felt it was essential that outreach work was undertaken to ensure that all sections of the community benefited from the services that libraries could offer. It was discussed that work could be undertaken to identify the social barriers which stopped people participating in activities within libraries.

13.5 Mick noted that the vision of Delivering Tomorrow's Libraries was flexible enough to address these concerns.

14.0 Papers to Note:

14.1.1 **Stadium Update (DB 128-12):** The Board noted the report.

14.1.2 **ESU Update (DB 129-12):** The Board noted the ESU update.

14.1.3 **Personnel Report (DB 130-12):** The Board noted the report.

14.1.4 **IMB Update– RFI Issues (DB 131-12):** The Board noted the IMB Update.

14.1.5 **Communications Summary (including Staff Brief) (DB132-12):** The Board noted the content of the Communications Summary including the Staff Brief.

15.0 Any Other Business

15.1 No other business was discussed.

10.0 Next Meeting

10.1 **The Board noted that the next meeting will be held on 9.30 Tuesday 29th January 2012.**

Paul Gamble

18 December 2012

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 29 January 2013 – 9.30am-1.00pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Aileen McClintock
Arthur Scott
Colin Watson
Marie Mallon
John West

In attendance: Philip Spotswood (minutes)
Kieran McGrattan (training)
Sinead McCartan (item 5)
Joanna McConway (items 5 and 6)
Michael O'Dowd (item 7)
Kim Orchard (item 7)
Hilary Harbinson (item 9)
Patrick Neeson (item 10)

1.0 Welcome and Apologies

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board
- 1.2 There were no apologies.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFGE) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Minutes from Meeting held on 18th December 2012 (DB M-1-13)

- 3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-1-13)

- 4.1 The action point table was reviewed.

4.1.1 **Action (24/5/11 – 5.5) Sponsorship Manual Review – this action to be removed from the table. 2 new actions were agreed –**

(1) **“to convene the Sponsorship Forum to ensure that sponsor branches have a common understanding of the new definition of and approach to Sponsorship in the department.”**

(2) **“to finalise our definition of sponsorship in consultation with the Sponsorship Manual review team and to produce a new Sponsorship Manual based on that definition and on the requirements of the MSFM.”**

Action: Deborah Brown

4.1.2 **Action (9/8/11 – 7.3) Board Effectiveness – discussed under item 13. Action point to be removed from table and replaced with new action.**

4.1.3 **Action (23/10/12 – 6.8) Quarterly Assurance Statements – discussed under item 5. Action point to be removed from table.**

4.1.4 **Action (18/12/12 – 6.5) Quarterly Assurance Assessment Templates – discussed under item 5. Action point to be removed from table.**

4.1.5 **Action (22/5/12 – 6.4) Digital Preservation Project - Action point to be removed from table.**

4.1.6 **Action (18/12/12 – 11.1.1) Spend Report - Action point to be removed from table.**

4.1.7 **Action (18/12/12 – 18.2) Asset Management - Action point to be removed from table.**

4.1.8 **Action (18/12/12 – 12.5) Research Programme – should take account of OFMDFM research on poverty and social exclusion.**

Action: Deborah Brown

5.0 Corporate Risk Register (DB 1-13 - Sinead McCartan)

5.1 Sinead McCartan joined the meeting and spoke to the Corporate Risk Register and asked the Board to note the updates.

5.2 The Board noted the following:

Risk 1 – ALB oversight:

Risk is still appropriate to retain on Corporate Risk Register.

**Action: Senior sponsors to meet with ALBs to reinforce governance arrangements;
Deborah Brown to assign ROs and completion dates to each element of Risk 1.**

Risk 2 – WPFG:

Risk is still appropriate to retain on Corporate Risk Register.

Action: Mick Cory to assign ROs and completion dates to each element of Risk 2.

Risk 3 – salmon conservation:

The Board agreed that this risk should be removed from the corporate risk register.

Risk 4 - resources:

Risk is still appropriate to retain on Corporate Risk Register.

Action: Deborah Brown to assign ROs and completion dates to each element of Risk 4.

Risk 5 – business continuity:

Risk is still appropriate to retain on Corporate Risk Register.

Action: Deborah Brown to assign ROs and completion dates to each element of Risk 5.

Risk 6 - stadiums:

Risk is still appropriate to retain on Corporate Risk Register.

Action: Colin Watson to assign ROs and completion dates to each element of Risk 6.

Risk 7 – City of Culture:

Risk is still appropriate to retain on Corporate Risk Register.

Arthur Scott noted that the risk remained red at this stage, with a key risk being affordability stemming from the inherent uncertainty around the amount of money available from variable sources such as ticket sales, sponsorship, etc.

There were some concerns around the quality of costing information provided to the Department.

Action: Arthur Scott to update action plan iro this risk.

6.0 World Police and Fire Games (DB 2-13 – Mick Cory)

- 6.1 Mick Cory presented a paper updating the Board on progress that WPFG Ltd was making in delivering the World Police and Fire Games.
- 6.2 Expanding accommodation capacity includes the provision of ‘pop-up’ hotels and work is in hand by the Company, with NITB, to explore the possibility of exempting these from certification requirements. One potential ‘pop-up’ hotel provider may not be able to deliver and this affects some 400 bed spaces.
- 6.3 Over 1900 athletes have registered as of 23 January. Plans are under development so that marketing drive in GB can be increased in the next few months. The Company have advised that recent flag protests have had no discernable impact on the rate of registration, although there have been some negative comments on social media sites. The Company continues to monitor the situation.
- 6.4 The foundation sponsor has not finally signed-up yet but the Company is hopeful of an announcement by the end of February.
- 6.5 The Titanic Quarter and Ravenhill were being explored by the Company, with the assistance of Belfast City Council, as possible venues for the opening ceremony.

7.0 Finance Report (DB 3-13 – Michael O’Dowd)

- 7.1 Michael O’Dowd and Kim Orchard joined the meeting for the Finance Report and Asset Management Strategy Report. The Board noted the following main issues:

7.1.1 Spend Report:

Actual spend on administration costs is currently running at 72% of budget.

Actual resource spend is currently running at 66% of budget. Areas where spend is most behind target are:

Arts Branch – while paperwork is slow in being submitted in some cases (for example relating to the creative industries and festivals), there is confidence that full spend will be achieved by year-end.

City of Culture – full spend will be achieved by year-end and assurances have been provided by Derry City Council that Stadiums/Governing bodies – cases are currently going through the approval process.

Inland Fisheries – spend normally occurs in the final quarter.

Linguistic Diversity – full spend anticipated by year-end.

In terms of NDPB resource spend, NI Screen and WCFG were furthest behind target but full spend by year-end is anticipated in both cases, and indeed for all NDPBs.

In terms of risks of overspend, modest pressures have been identified in places but these will be offset by easements in other areas.

Actual capital spend is currently running at 47% of budget. Areas discussed were:

Arts on-line ticketing system. The business case has been delayed.

Action: Arthur Scott to investigate and report back to Rosalie Flanagan.

Community sport – full spend is anticipated.

Museums – there is some doubt that full spend will be achieved but it is likely that money for routine maintenance will be fully spent.

7.1.2 Monitoring Report:

A Ministerial submission has been prepared detailing all capital and resource pressures/proposals and easements and asking Minister which she is minded to meet.

The Board was content with the proposals and recommendations made to Minister

**Action: Deborah Brown to finalise submission for Minister
Rosalie Flanagan to issue submission for Minister**

8.0 Asset Management (DB 4-13 – Kim Orchard)

8.1 Kim Orchard presented an update on asset management, including the Department's Asset Management Plan Implementation Actions.

8.2 Key issues raised were:

There is still a need to embed asset management into business planning guidance [Implementation Action 8];

The updated version of the Asset Management Plan is due by 30 June and must be approved by 30 September [IA 10];

The DCAL Asset Management Plan will be adjusted to reflect the NICS wide Strategy being developed by SIB [IA 12];

The strands of the Commercialisation Strategy are already contained in the DCAL Asset Management Plan [IA 15];

NMNI paper re proposals for Landseer St and Malone Buildings require further work. Updates will be provided in due course [IA 22, 23];

The business case for the purchase of Heron Road has been submitted to DFP [IA 24];

Other issues need to be considered re Armagh Observatory and Planetarium [IA 32,33];

SNI are preparing a business plan exploring commercial opportunities for Tollymore Centre [IA 35].

Rosalie Flanagan commended Kim Orchard for her work on asset management.

9.0 Personnel Report (DB 5-13 – Hilary Harbinson)

9.1 Hilary Harbinson joined the meeting for the Personnel Report. The Board noted the following main issues:

There are currently 18.5 FTE posts vacant;

The development of the leadership and management programme;

9.2 The Board discussed resourcing and concluded that given the high number of posts filled in DCAL in the last year through internal circulation, this provided evidence that opportunities were being provided for staff and this should be highlighted in the next Staff Brief.

Action: Hilary Harbinson to insert a note in Staff Brief highlighting opportunities for staff movement.

9.3 The Board discussed the target for sickness absence, the way in which the target had been set and the difficulties in achieving it.

Action: Deborah Brown to draft a letter to NISRA challenging the target set and requesting that DCAL is consulted on the achievability of future targets

9.4 The Board expressed concern around the issue of outstanding end of year reviews from 2010/11 and 2011/12. Hilary mentioned that HR Connect does not enable DHR to interrogate the system to establish the reason for outstanding reports and that this information has to be established from managers.

Action: HODs are to ensure that all outstanding/missing reviews in their Division are completed and submitted correctly to HR Connect without delay. Any issues should be discussed with HR Connect . DHR will provide lists of missing reports to HOD.

9.5 The Chair asked that the Board should in the near future consider the issue of managing poor performance.

10.0 Economic Services Unit Update (DB 6-13 – Patrick Neeson)

10.1 Patrick Neeson joined the meeting for the ESU update. The Board noted the ESU workstreams and the position regarding PPEs, in particular three outstanding PPEs relating to large projects in Derry.

10.2 The Board noted that work previously being done by consultants was now being done by ESU. The associated savings will be highlighted to Minister in the year-end return on consultancy.

Action: Deborah Brown to reflect consultancy savings in year-end return to Minister.

11.0 Monitoring of Corporate Strategy Targets (DB 7-13 – Philip Spotswood)

- 11.1 Philip Spotswood presented an update of progress against the targets in the DCAL balanced scorecard. The Board discussed all 'red' and 'amber' targets.
- 11.2 There was discussion around how to rate targets that could not be achieved by March 2013 and it was agreed that these would be allocated a 'red' rating. Targets 12 and 13 (Irish and Ulster Scots speakers) would therefore be re-coded to 'red' as no statistics will be available until 2014. Target 19 (Creative Industries Framework) would also be re-coded to 'red' as the target date of Autumn 2012 has now passed and the Framework is not yet operational.
- 11.3 Target 35 will be re-coded 'green' as the Commercialisation Strategy is already adequately reflected in the Asset Management Plan.
- 11.4 Target 3 will be re-coded as 'green' as the minor slippage on the stadiums should not mean that March 2013 milestones are missed.
- 11.5 Target 15 will be re-coded as 'green' if Libraries Branch can provide evidence that 70% of libraries will host quality assured class visits by end March 2013.
- 11.6 It was agreed that target 16 – compliance with salmon conservation limits – should be removed from the Balanced Scorecard Monitoring Report as this is not a performance issue.
- 11.7 Marie Mallon queried the definitions used for the RAG ratings and requested clarification on the application to ensure consistency.
- 11.8 The Chair reflected that the narrative contained in the monitoring document is more relevant than the colour coding of progress.

Action: Philip Spotswood to amend ratings as agreed above. Philip Spotswood to review definitions of colour-coding and implement this for next round of monitoring.

12.0 Minister's Priorities and SMT Strategy Day (DB 8-13 – Deborah Brown)

- 12.1 Deborah Brown presented an update on the SMT strategy day. A primary outcome from the event was reaching agreement that everything DCAL does should be based on the Minister's priorities. The

strategy day also considered the structure and modus operandi of DCAL, in particular to maximise its capacity to take forward work on tackling poverty and social exclusion.

- 12.2 The role of the Departmental Board was also discussed at the strategy day and it was agreed that more focus was needed on strategy and that time should be set aside at SMT meetings to discuss this.
- 12.3 The Leadership Programme was also discussed at the event.
- 12.4 The Board discussed board effectiveness in more detail. Marie Mallon mentioned that team synergy was an important enabler of good outcomes. The Board agreed that the board effectiveness exercise should be progressed and the exercise should be deliberately challenging and more than a 'tick box exercise' and should, for example, critically examine what is not working well or is absent altogether.

Action: Deborah Brown to consult Marie Mallon about approaches to the board effectiveness exercise.

Deborah Brown to write an article for the February Staff Brief on Ministerial Priorities, reflecting the discussions from the SMT strategy day and covering Stephen McGowan's work on Poverty and Social Exclusion.

Deborah Brown to write an article for March Staff Brief on the Leadership Programme.

13.0 Papers to note:

- 13.1.1 **2013/14 Business Plan (DB 9-13):** The Board noted the update.
- 13.1.2 **2013/14 Stadium Update (DB 10-13):** The Board noted the update.
- 13.1.3 **2013/14 IMB Update (DB 11-13):** The Board noted the update.
- 13.1.4 **2013/14 Communications Summary (DB 12-13):** The Board noted the update.

13.0 Any Other Business

- 13.1 No other business was discussed

14.0 Next Meeting

14.1 The Board noted that the next meeting will be held at 9:30 on Tuesday 26th February 2013.

Philip Spotswood

30 January 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 26th February 2013 – 9.30am – 12.15pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Aileen McClintock
Arthur Scott
Colin Watson
Marie Mallon

In attendance: Paul Gamble (minutes)

1.0 Welcome and Apologies:

- 1.1 Rosalie Flanagan welcomed everyone to the Departmental Board.
- 1.6 Apologies were received from John West.

2.0 Declaration of Conflicts of Interest

- 2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 WPFG Limited.

3.0 Minutes from Meeting held on 29th January 2013. (DB M-2-13)

- 3.1 The Board agreed the minutes subject to a minor amendment. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-2-13)

- 4.1 The action point table was reviewed.
 - 4.1.1 **Action (29/1/13 – 4.1.1) Sponsorship Manual Review** – Deborah Brown noted that the definition of Sponsorship has been agreed. However the manual has not yet been finalised. A version of the manual will be completed by the end of March.
 - 4.1.2 **Action (29/1/13 – 7.1.1) Spend Report** – Arthur noted that further work was being undertaken on developing a Service Level Agreement for the arts online ticketing system. The Arts Council

and Audiences NI are liaising with the Grand Opera House in order to finalise this agreement

4.1.3 **Action (29/1/13 – 9.3)** Discussions have been ongoing with NISRA in relation to the setting of sick absence targets. This work is ongoing.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 World Police and Fire Games (DB 14-13 – Mick Cory)

5.1 Mick Cory presented the Board with a paper updating them on the position on the World Police and Fire Games.

5.2 It was noted that following issues around the location of the opening Ceremony the Department was seeking further assurance about the successful delivery of the WPFG.

5.3 Mick advised that the Permanent Secretary has introduced weekly meetings with Chief Executive to seek assurance around key delivery issues.

5.4 It was noted that the Minister met the Chair and CEO of 2013 WPFG for the 5th Quarterly Accountability Meeting (18th February). Further meetings are scheduled to take place at 6-8 week intervals.

5.5 At the meeting the Minister stressed the importance that the Games deliver social benefits. The Company has developed an action plan based on the Social Benefits and Social Inclusion Policy and the Strategic Approach Document.

5.6 The Board noted that Registration is ongoing and by February over 2400 athletes had registered for the games from more than 40 countries.

5.7 Marie Mallon asked if contingency plans were in place in the event that the final number of competitors was either lower than or exceeded expectations.

5.8 Mick noted that a 'pause' was planned in registration in May. This will be used as an opportunity to consider contingency plans in relation to accommodation and events.

5.9 Rosalie Flanagan highlighted that the Department was not content with the current methodology for forecasting registrations and visitor numbers in respect of the games.

ACTION: Mick Cory to write to Chief Executive of the WPFG company asking them to clarify competitor and visitor number forecasts. Additionally an assessment of 'impacts' to be provided if competitor/visitor numbers do not meet expectations.

- 5.10 Rosalie noted that there was a need to ensure that the required benefits and legacy were delivered from the WPFG.

ACTION: Mick Cory to ensure that work is ongoing on development of WPFG Legacy and Benefits Realisation Plans.

- 5.11 The Department is developing a business case in respect of a 2013 complementary cultural programme to provide funding for events around the WPFG and City of Culture.

6.0 Finance Report (DB17-13) (Michael O'Dowd and Gillian McAfee)

- 6.1 Michael O'Dowd and Gillian McAfee joined the meeting for the Finance Report. The Board noted the following main issues:

6.1.1 **Spend Report:** There is currently a modest underspend forecast across DEL spend, including Administration, Resource and Capital.

6.1.2 **Administration Costs :** In Administration costs, assuming even spend throughout year we might currently expect a total spend of 83% against budget. Actual spend is 81%. An underspend of £96k has been identified.

6.1.3 **Resource Costs:** In respect of Resource a total underspend of £265k has been identified. Substantial spend is yet to be made from City of Culture funding, however assurances have been received from the Derry City Council that full spend is still anticipated.

6.1.4 IFG still have £1.2m to be spent post-January. However this spend profile fits with patterns from previous years. NI Screen have £847k left to spend. However they are confident of full spend.
WPFG have £778k left to be allocated, but have indicated they are confident that this will be achieved.

6.1.5 Overall it was noted that in terms of resource spend there are easements of £810k and pressures of £553k resulting in an anticipated underspend of £257k.

6.1.6 The Board discussed a range of risks which had the potential to lead to further underspend.

6.1.7 **Capital Costs:** It was noted that a current underspend of £265k has been predicted. However this figure is based on the assumption that the purchase of Heron Road is completed before the end of the financial year. Additionally it would also require an additional spend of £300k to be made by the GAA. This would have the effect of releasing budget in 2013/14

6.1.8 Arthur Scott indicated that spend in relation to arts online ticketing was dependant on the development of an SLA following discussions between Audiences NI and the Arts Council.

6.1.9 It was noted that £3.5m has yet to be spent in relation to Stadiums, but there was confidence that this would be achieved before year end.

6.1.10 **AME:** Spend to date is 50% of budget. However significant charges will be incurred later in the year (i.e. asset impairments). Full spend is anticipated.

6.2 **Prompt Payment Targets:** The Board reviewed Prompt Payment targets for both 10 and 30 day periods.

6.2.1 **Departmental Performance:** It was noted that the Department's performance on prompt payments exceeded the NICS average for all months except May 2012. However the 95% target for the year will not be attained.

Performance against the 30 day target has been better than 97% throughout the year.

An action plan is being developed to improve performance through 2013/14.

6.2.2 **ALB Performance:** The Board reviewed ALB performance against the 10 day target. NI Screen, NIMC, LNI and WCFG will fail to meet their 90% target for the year. These bodies have been asked to comment on their performance throughout the year and provide steps they will take to improve performance in 2013/14.

7.0 Stadium Update (DB16-13) (Colin Watson)

7.1 Colin Watson updated the Board on the Regional Stadium Development Programme.

- 7.2 The Board noted that Windsor Park had achieved its planning approval ahead of schedule. It was noted that the process had been handled efficiently and that lessons learnt in relation to process would be shared with the Casement Park project.
- 7.3 The Board discussed potential risks to the timely delivery of the Stadiums Programme.
- 7.4 It was noted that negotiations were ongoing with Belfast City Council to establish how Casement and Windsor Parks could be used to deliver further community and social benefits to the surrounding areas.

8.0 Corporate Risk Register (DB13-13) (Sinead McCartan)

- 8.1. Sinead McCartan joined the Board and presented a paper on the risk register.

- 8.1.1 **Risk 1** - The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.

ACTION: Senior Sponsors to arrange meeting with ALB Chairs to discuss QAS process. Following this meeting letters will be issued to ALBs.

- 8.1.2 **Risk 2** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan. Issues in relation to this risk were discussed under the WPFPG update paper.

- 8.1.3 **Risk 3** – The Board discussed the risk around additional Salmon Conservation measures and indicated they were satisfied that it was removed.

- 8.1.4 **Risk 4** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.

- 8.1.5 **Risk 5** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.

- 8.1.5 **Risk 6** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan. The rating of the risk will be reconsidered when a contractor has been appointed in respect of Casement Park.

- 8.1.5 **Risk 7** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.

8.2 The Board discussed additional risks and agreed that there were no additional risks which were material enough to be included on the Departmental Risk Register.

9.0 City of Culture Update (DB13-13) (Arthur Scott)

9.1. Arthur Scott talked to a paper provided by Joanna McConway on the City of Culture.

9.2 The paper highlighted the key showcase events that had taken place during January and February. DCAL officials had begun substantive work on a benefits realisation plan to assist Derry City Council.

9.3 Arthur Scott highlighted the key risks to the project including affordability and potential shortfalls. It was noted that any shortfall in funding would be the responsibility of Derry City Council.

9.4 It was noted that DCC had drawn down a total of £2.8m to the end of January 2013. A total of £3.7m remains to be committed by 31 March 2013. The SRO has provided assurance that the remaining funds will be committed by the end of March 2013.

10.0 Papers to Note:

10.1.1 **IMB Update – RFI Issues (DB 18-13):** The Board noted the content of the IMB Update.

10.1.2 **Personnel Report (DB 19-13):** The Board noted the report.

ACTION: Deborah Brown to provide a report to the next Departmental Board on absence statistics.

10.1.3 **ESU Update (DB 20-13):** The Board noted the ESU update.

10.1.4 **Communications Summary (DB21-13):** The Board noted the content of the Communications Summary.

ACTION: Colin Watson to work with Comms Branch to identify a simplified mechanism for the submission of feedback forms.

11.0 Any Other Business

11.1 No other business was discussed.

12.0 Next Meeting

**12.1 The Board noted that the next meeting will be held on 9.30
Tuesday 26th March 2013.**

Paul Gamble
27 February 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 26th March 2013 – 9.30am – 12.15pm

Present: Rosalie Flanagan
Cynthia Smith
Deborah Brown
Mick Cory
Heather Stanley
Arthur Scott
Marie Mallon
John West

In attendance: Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Rosalie Flanagan welcomed everyone to the Departmental Board. Apologies were received from Colin Watson.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFPG) as she is a company director for 2013 WPFPG Limited.

3.0 Minutes from Meeting held on 26th February 2013. (DB M-2-13)

3.1 The Board agreed the minutes subject to some minor amendment. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-2-13)

4.1 The action point table was reviewed.

4.1.1 **Action (29/1/13 – 4.1.1) Sponsorship Manual Review** – It was agreed that the Manual will be circulated to SMT as soon as possible. It is anticipated that this will be removed from the table in April.

4.1.2 **Action (22/2/13 – 8.1.1) Risk 1**– It was noted that letters in relation to the QAS process would be issued shortly following some minor amendments.

4.1.3 **Action (29/1/13 – 12.4) Leadership Programme** - It was noted that this action would be completed in April.

4.1.4 **Action (26/2/13 – 10.1.4) Feedback Forms** – Rosalie Flanagan asked for more detail on how this was being progressed. It was noted that this should be completed by April.

4.2 The Board agreed that any completed actions should be removed from the table.

5.0 World Police and Fire Games Update (DB 22-13 – Mick Cory)

5.1 Mick Cory presented the Board with a paper updating the position on the World Police and Fire Games.

5.2 It was noted that weekly accountability meetings were continuing. These meetings were proving useful in seeking assurance for the Department and helping to hold the company to account for delivery. These meetings were considered complimentary to the monthly meetings.

5.3 A meeting between the Minister and the Chair is scheduled for April. The frequency of these meetings is expected to increase as we approach the date for the games.

5.4 Mick Cory reported that work continued in relation to forecasting athlete and friends/family numbers. If athlete registration targets are not reached this will have an impact in relation to income generated. The company have been asked to produce a marketing action plan to address this issue.

5.5 Deborah Brown noted the importance of taking mitigating steps in relation to the shortfall and also maintaining a bank of evidence demonstrating actions taken. Mick Cory noted that he had met with DFP to highlight the Department's intention to review the business case. Work was ongoing within the Department with ESU to review the underlying assumptions used in developing the Business Case.

5.6 It was also noted that the original business case did not fully develop the wider social benefits that will be realised by the hosting of the WPFPG.

5.7 Mick Cory updated the Board on the Company Programme Dashboard. He noted there was some slippage around contracts. Although twelve are currently outstanding he noted that these were generally over matters of detail. It is not anticipated that this slippage would have any impact on delivery of the games.

- 5.8 It was noted that Joanna McConway and Joe Tully had briefed the CAL Committee on progress on the WPFPG.
- 5.9 Sponsorship targets for the company have now been achieved. The company is open to further sponsorship if opportunities arise, however their key focus is now on delivery of the Games.
- 5.10 Mick Cory noted that the Volunteering remained a very positive aspect of the games. Work is ongoing in developing a wider cultural programme around the games including the maximisation of benefits delivered from festivals which coincide with the games. Work in this area is being taken forward by Lorraine Conlon.
- 5.11 Mick Cory informed the Board that risk and contingency planning was continuing. In addition to work being carried on within the company Mick noted that he was working with NIO and OFMDFM on broader plans around this area.
- 5.12 Marie Mallon asked if lower attendance numbers could lead to a reduction in the delivery of the games. Mick Cory noted that depending on athlete registrations, some sports may not be offered. However it was not anticipated that this would have any effect on the levels of sponsorship.
- 5.13 John West asked if WPFPG marketing was targeted towards bodies or individuals. Mick Cory noted that work was ongoing with directors of various service sports associations to raise awareness. The company are also working with Tourism Ireland to promote the Games.
- 5.14 John West asked if entrants were subsidised. Cynthia noted that some of the events were supported through sporting bodies.
- 5.15 The Board discussed the need for marketing skills to drive the project forward. It was noted that the Company had sourced these skills directly.

6.0 City of Culture Update (DB 23-13 – Joanna McConway)

- 6.1 Joanna McConway joined the Board and presented an update on progress on the City of Culture.
- 6.2 Joanna McConway noted that since the launch of the programme there had been substantial activity and a number of major events had been sold out.
- 6.3 It was highlighted that a number of the events had involved community activity and had demonstrated social benefits. This was through the participation of local community groups and musicians in several events.

- 6.4 Joanna McConway noted that early feedback was positive and work was ongoing in relation to providing a statistical analysis of events to date.
- 6.5 It was noted that the business case is currently being updated to reflect a number of developments since its approval on 7 June 2012. The main reason for the required changes is that the anticipated income from sponsorship, tickets and merchandise and other funders which was set out in the original business case has not been realised.
- 6.6 The business case has been updated to present options which address the current budget position and impact on the programme. The options include varying degrees of scale back on the Culture Company's contribution to the cultural programme and marketing budget. The impact on the new options on benefits realisation, legacy and public perception/confidence are being considered and DFP are being kept informed and further approvals may be required.
- 6.7 Rosalie Flanagan highlighted the need to report on benefits realisation and the legacy of the project. Joanna McConway noted that Gerard Murray and Patrick Neeson were working directly with the company to come up with measures of potential benefits. It was also noted that the Derry City Council have appointed a legacy director.
- 6.8 John West noted that it was essential that officials ensured that the project delivered value for money in terms of Departmental funding. John asked if strong controls were in place of governance of funding. Deborah Brown stated that appropriate funding controls were in place with regard to the release of drawdowns, but the impact of changes to the business case and approvals will need to be addressed, including the shortfall in funding and the reduced marketing budget.

7.0 Stadium Update (DB 24-13 – Noel Molloy)

- 7.1 Noel Molloy joined the Board and presented an update on progress on Regional Stadiums.
- 7.2 It was noted that work was progressing well on Ravenhill. It was noted that there had been a steep learning curve in relation to developing social clauses for this project. Lessons learnt in this exercise will be used to help develop further social clauses.
- 7.3 It was noted that planning approval had been secured for Windsor Park ahead of schedule. Design has been developed to RIBA Stage D. Noel Molloy noted that invitation to tender documentation has been issued to shortlisted contractors.

- 7.4 John West asked what assurances the Department had that tenders would be assessed effectively. Noel provided the Board with detail of how tenders were assessed and highlighted the close working relationship with CPD to provide assurance that the process was in line with best practice.
- 7.5 Noel noted that work was progressing on the planning application for Casement Park. It was noted that there may be a slight delay in relation to the submission of the application, however this will not impact the critical path.

8.0 Corporate Risk Register (DB25-13) (Sinead McCartan)

- 8.1. Sinead McCartan joined the Board and presented a paper on the risk register.

8.1.1 **Risk 1** – The Board noted that work was ongoing to help embed the revised QAS process across the Department. The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.

8.1.2 **Risk 2** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan. Issues in relation to this risk were discussed under the WPFG update paper.

8.1.3 **Risk 3** – The risk around additional Salmon Conservation measures has been removed from the register.

8.1.4 **Risk 4** – The Board confirmed that the risk should remain on the register. The Board discussed work ongoing to mainstream actions to tackle poverty and social inclusion within the Department's offering. It was agreed that the action plan would be updated to reflect the work of the Strategic Team. The board requested a separate agenda item on equality and tackling poverty and social exclusion

ACTION : Strategic Team to consider bringing forward an Agenda item on Equality and Tackling Poverty and Social Exclusion in line with the monthly update being prepared for Minister.

Rosalie Flanagan requested that following the Gateway review the Stadium Management meetings should be changed to a Programme Board.

- 8.1.5 **Risk 5** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.
- 8.1.5 **Risk 6** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.
- 8.1.5 **Risk 7** – The Board confirmed that the risk should remain on the register and that they were content with the updated action plan.
- 8.2 The Board discussed additional risks and agreed that there were no additional risks which were material enough to be included on the Departmental Risk Register.
- 8.3 The Senior Management Team agreed to review the risks assigned to them on the register and ensure that the information provided was succinct and focused.
- 9.0 Quarterly Assurance Assessments – Third Quarter Return (DB26-13) (Sinead McCartan)**
- 9.1. Cynthia Smith presented a paper to the Board on the third quarter return of ALB and Divisional QASs.
- 9.2 It was noted that while retrospective assurance had been accepted during 12/13, it was expected that in the 2013/14 financial year assurance statements would be cleared through ALB ARMCS and Boards prior to submission to the Department.
- 9.3 Cynthia noted that advice had been provided on the completion of divisional assurance statements. Therefore a higher degree of consistency had been achieved in the recent statements. Particularly with reference to the disclosure of exceptions.
- 9.4 The Board discussed issues raised through the QAS process in relation to divisional and ALB performance.
- 9.5 The Board discussed the level of confidence that was placed in the ALB Assurance Statements. It was agreed that the process was working effectively but it is important that in highlighting areas of concern, details are provided on actions being taken and an assessment of the assurance this provides. However it was agreed that the structure of the report should be revisited with one statement from the director covering the QAS and post assurance issues with a section for each body. An overall statement should also be provided by the G3.

10.0 ARMC Verbal Update (John West)

- 10.1 John West provided the Board with a verbal update from the ARMC.
- 10.2 John West noted that the ARMC met without representatives of the Department present. He agreed to provide the Department with a written read out of key outcomes from this meeting.
- 10.3 It was noted from the Internal audit progress report that there had been some drift in terms of completion of some audit work and the impact on the 13/14 plan needs to be provided.
- 10.4 John West stated that the Internal Audit Strategy had been noted and endorsed.
- 10.5 John West noted that assurances provided by HoBs in the ARMC Governance report varied in quality.
- 10.6 John West asked that the Sponsorship Manual should be provided to the ARMC when complete.
- 10.7 The ARMC asked that the PPE report be updated to include detail of completed evaluations.

11.0 Finance Report (DB27-13) (Michael O'Dowd)

- 11.1. Michael O'Dowd joined the Board and presented the finance report.
 - 11.1.1 **Spend Report and Forecast Outturn:** There are currently underspends forecast across Administration, Resource and Capital.
 - 11.1.2 **Administration Costs:** In respect of Administration costs, assuming even spend throughout year we might currently expect a total spend of 99% against budget by year end. Actual spend is 89%. An underspend of £96k has been identified.
 - 11.1.3 **Resource Costs:** In respect of Resource a total underspend of £1214k has been identified. The increase from last month has arisen due to additional underspends being identified in relation to the Language Body, Waterways Ireland and Commemorations.

It was noted that full drawdown had been achieved in respect of the City of Culture. Further consideration will take place in relation to causes of underspend.
 - 11.1.4 **Capital Costs :** It was noted that an overall current underspend on capital of £269k by year end has been predicted.

11.2 **Prompt Payment Targets:** The Board reviewed Prompt Payment targets for both 10 and 30 day periods.

11.2.1 **Departmental Performance:** It was noted that although performance had significantly improved throughout the year, targets for 2012/13 would not be achieved, due to below standard performance in the early part of the year.

It was noted that one of the possible reasons for this was that delays occurred when trained staff were on leave. Finance Branch are developing a plan and will visit branches and provide training as appropriate.

An action plan is being developed to improve performance through 2013/14.

11.2.2 **ALB Performance:** The Board reviewed ALB performance against the 10 day target. NI Screen, NIMC, LNI and WPFPG will fail to meet their 90% target for the year. These bodies have been asked to comment on their performance throughout the year and provide steps they will take to improve performance in 2013/14.

12.0 **Sickness Absence Target (DB28-13) (Hilary Harbinson)**

12.1 Hilary Harbinson presented a paper to the Board on Sick Absence.

12.2 It was noted that DCAL had written to NISRA previously over concerns about the achievability of the Departmental Sick Absence target.

12.3 The Board discussed current interventions to help lower sick absence levels and agreed to continue to monitor the situation.

13.0 **Papers to Note:**

13.1.1 **IMB Update – RFI Issues (DB 29-13):** The Board noted the content of the IMB Update.

13.1.2 **Personnel Report (DB 30-13):** The Board noted the report.

13.1.3 **ESU Update (DB 31-13):** The Board noted the ESU update.

13.1.4 **Communications Summary (DB32-13):** The Board noted the content of the Communications Summary.

14.0 Any Other Business

14.1 John West noted that this was Rosalie's last Board meeting. On behalf of the independent Board members John thanked Rosalie for her support over his time as a Board member.

14.2 Cynthia echoed John's comments and thanked Rosalie on behalf of the Executive team.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on 9.30 Tuesday 23rd April 2013.

Paul Gamble

3 April 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 21st May 2013 – 9.30am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Aileen McClintock
Arthur Scott
Colin Watson
John West

In attendance: Michael O'Dowd
Sinead McCartan
Joanna McConway
Peter Neeson
Orla Bateson
Kieran McGrattan (minutes)

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board. Apologies were received from Marie Mallon. Deborah Brown advised that she would need to leave the Board meeting early but that Michael O'Dowd would remain in her absence.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFNG) as she is a company director for 2013 World Police & Fire Games Limited.

3.0 Finance Report (DB 47-13 – Michael O'Dowd)

3.1 Michael O'Dowd presented the Finance report. The Board noted the following main issues:

3.1.1 **Outturn for year:** The provisional outturn exercise was completed on 14 May, with the final outturn due to take place in September. Across DEL the underspend was equal to 1%. The Board acknowledged the work that had been completed across the Department and ALBs to achieve this level of spend. A discussion took place around the 14% underspend for AME, as a result of different asset valuations generated by indexation and by individual exercises by LPS.

ACTION: Michael O'Dowd to liaise with LPS to query quality of indices provided given significant difference with final valuations.

- 3.1.2 **Current and Future Year Pressures:** The Board noted Paper 1, which provided an update of pressures and easements which had been identified to date along with recommendations which would be made to Minister, and the 'Call Off' List of Spending Proposals, should further easements occur. A further pressure has been identified for a budget relating to 'Action Zones' which was considered inescapable and would be recommended to Minister.
- 3.1.3 It was recommended that a bid should also be placed for libraries capital of £1.55m, while not directly targeting poverty and social exclusion it was considered a priority to maintain the library estate. This proposal would be made to the Minister.
- 3.1.4 **Prompt Payment Target:** It was noted that DCAL payments for both 10 and 30 day targets had performed to at least the NICS average. Some issues had been identified with ALB's performance but plans are in place to address these.

4.0 Minutes from Meeting held on 23rd April 2013. (DB M-5-13)

- 4.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

5.0 Matters Arising/Action Points (DB A-5-13)

- 5.1 The action point table was reviewed. The main points to note were as follows:
- 5.1.1 **Action (26/3/13 – 8.1.4) Strategic Team** – Deborah Brown advised that a number of actions were being taken forward by the Strategic Team. She advised that a paper would be presented to the Board on the Departmental approach to promoting equality and tackling poverty and social exclusion, and what had been completed to date by the team.
- 5.1.2 **Action (26/2/13 – 10.1.4) Feedback Forms** – Colin Watson confirmed that this would be completed by the next Board meeting in June.

Deborah Brown left the meeting.

6.0 Stadium Update (DB 51-13 Colin Watson)

- 6.1 Colin Watson presented an update on progress on Regional Stadiums.
- 6.2 It was noted that the outcome of the application for the adjournment of the Leave Hearing for the Judicial Review brought by Crusaders FC would be delivered this week and would determine the next steps for the Department in relation to the Windsor Park development.
- 6.3 The Ravenhill development remains on target with full spend expected within the CSR period. Completion of the construction work was anticipated in September 2014.
- 6.4 Development at Windsor Park remained on target, with full spend expected and completion of the construction work in June 2015, but this depended on the outcome of the Judicial Review. John West queried what planning had taken place should the review find in favour of Crusaders FC. Colin Watson advised that delays had been considered and what potential impact they could have. Peter May noted that it would be useful to have a high level outline of the possible consequences and outcomes of the Judicial Review for the June Board.

ACTION: Colin Watson to provide a high level outline of possible consequences and outcomes of the Judicial Review.

- 6.5 The development of the Casement Park stadium continued. Work with local residents groups was continuing in order to address their concerns around the stadium development.

7.0 Inland Fisheries Group Strategy (DB 48-13 – Mick Cory – Presented by Aidan Cassidy and Seamus Connor)

- 7.1 Aidan Cassidy and Seamus Connor joined the meeting. Mick Cory provided a brief background to the strategy and the impact of this over the next 5 – 10 years.
- 7.2 Seamus Connor began the presentation outlining the importance of fisheries management and how/why the review of the Inland Fisheries Group (IFG) strategy was instigated. He provided detail on the income generated by IFG over the past 3 years and the costs attributed to IFG in 2011/12.
- 7.4 Aidan Cassidy provided a high-level outline of the strategy and what it was expected to achieve, resulting in a number of strategic projects. He explained how staff and stakeholders would be engaged throughout the process and the next steps to implement the strategy.

- 7.5 Peter May welcomed the strategy and asked what would be different in IFG in 3 years time as a result of the strategy. Aidan Cassidy advised that, for example, it would be hoped that they would be leaders in inland fisheries, the industry would be encouraged to diversify, an Angling Strategy would be delivered and the organisation would be fit for purpose. Seamus Connor advised that sustainability was key and there was a need to put actions into place, along with stakeholder engagement.
- 7.6 Mick Cory advised that inland fisheries had a number of historic issues, which the strategy hoped to address to ensure there is greater coherence within this area in the future. The business plan behind the strategy would articulate clearly what actions would be taken forward.
- 7.7 Cynthia Smith noted the excellent work carried out to date. She stated that inland fisheries had huge potential and was an area that the Department had direct control over. She noted that there would be further work required on how the strategy was presented to the public and to ensure that there was due focus on north-south issues.
- 7.8 Arthur Scott noted that there was an opportunity to link the IFG strategy to the DCAL Learning Strategy, in line with education targets.
- 7.9 The Board welcomed the draft strategy and supported engagement with staff and stakeholders. It asked that more work be done to develop the outcomes from the strategy. Peter May noted that further refinement would be needed before presentation to the Minister and agreed to discuss this detail outside of the meeting.

8.0 World Police and Fire Games Update (DB 49-13 – Mick Cory)

- 8.1 Mick Cory presented the Board with a paper updating the position on the World Police and Fire Games.
- 8.2 It was noted that the Company's Board had begun to meet every 2 weeks and the Department would continue to meet with the Company on a weekly basis.
- 8.3 The Board was provided with an update on athlete registration numbers and visitor numbers with a formal checkpoint on registrations to take place at the end of May, which would inform accommodation and event requirements. Work was progressing on the Opening Ceremony and on Sports Delivery. Over 2600 offers had been made to volunteers for specific Games time roles and this would continue into June. A programme for cultural activity was well advanced.
- 8.4 A review of the Business Case was ongoing which and would focus on the wider social benefits of the Games, as well as athlete numbers. Peter May felt it would be useful to clarify the benefits to be realised

and asked that a Benefits Realisation Plan be presented at the next Board.

ACTION: Mick Cory to present a WPFGB Benefits Realisation Plan at June Board.

- 8.5 The Board discussed the impact of reduced athlete numbers on income. Mick Cory advised that plans had been designed to address such a scenario.

9.0 City of Culture Update (DB 50-13 – Arthur Scott)

- 9.1 Joanna McConway updated the Board on progress on the City of Culture.
- 9.2 The Board noted major events that had been held in early May and those that were upcoming in late May / early June. Joanna advised that expenditure as well as income from sponsorship, tickets, merchandise and other funders was being robustly managed.
- 9.3 Joanna McConway informed the Board that there was a clear focus on embedding a sustainable and lasting legacy, and that a Director of Legacy had been appointed. Work was ongoing on the Legacy Plan framework which would hopefully be delivered in June 2013. She also advised that work was ongoing to fill the Project Coordinator role.

10.0 Corporate Risk Register (DB52-13 – Sinead McCartan)

- 10.1. Sinead McCartan joined the Board and presented a paper on the risk register.
- 10.2 Peter May asked if any further risks should be added to the register or if there were any comments on the risks presented. The Board was content with the risks identified and the updated action plan for each risk.
- 10.3 Peter May advised that it would be useful if a one-page summary of all the risks could be inserted into the Departmental Risk Register so that those with a high risk could be easily identified and discussed at future Board Meetings.

ACTION: Sinead McCartan to insert a summary of all risks into the Departmental Risk Register.

11.0 Research Programme (DB 53-13 - Patrick Neeson & Orla Bateson)

- 11.1 Patrick Neeson and Orla Bateson presented a paper to the Board detailing the research programme for 2013/14 which reflected the priority of promoting equality and tackling poverty and social exclusion.
- 11.2 Patrick Neeson explained that the programme was based on Departmental and ALB priorities, as well as requirements from Branches.
- 11.3 Peter May asked if there was a business owner for each project. Orla Bateson explained that the research cut across a number of business areas but each project had a Steering Group and a plan behind it to ensure that it met the needs of the Department.
- 11.4 John West queried if DCAL had access to research conducted by other Departments. Orla Bateson confirmed that there was. For example, OFMDFM is conducting research on poverty which would be useful for the Department.
- 11.5 The Board was content with the research programme.

12.0 Papers to Note:

12.1.1 **DCAL Information Systems Strategy (DB 54-13)**. The Board noted the content of the paper and agreed that given the detail of the strategy that a presentation on it should be provided at a future board.

ACTION: Hugh Campbell to arrange a presentation on ISS at a future board.

12.1.2 **IMB Update – RFI Issues (DB 55-13)**: The Board noted the content of the IMB Update.

12.1.3 **Personnel Report (DB 56-13)**: The Board noted the report.

12.1.4 **ESU Update (DB 57-13)**: The Board noted the ESU update. Peter May commented on the challenge presented in ensuring PPEs which were due in the next 3 months were completed in time. He asked the Heads of Division to consider whether timescales were realistic and if not to reprofile to deliverable timescales.

ACTION: Heads of Division – To speak to their teams about whether timescales for PPEs were realistic.

12.1.5 **Communications Summary (DB 58-13):** The Board noted the content of the Communications Summary.

13.0 Any Other Business

13.1 No other business was raised.

14.0 Next Meeting

14.1 The Board noted that the next meeting will be held on 9.30 Tuesday 25th June 2013.

Kieran McGrattan
22 May 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 25th June 2013 – 9.30am – 12.00pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Marie Mallon
Stephen Scarth (on behalf of Aileen McClintock)
Arthur Scott
Colin Watson
John West

In attendance: Noel Molloy
Michael O'Dowd
Philip Spotswood

Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board. Apologies were received from Aileen McClintock. Stephen Scarth attended in her place.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 WPFG Limited.

3.0 Minutes from Meeting held on 21st May 2013 (DB M-6-13)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-6-13)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (29/1/13 – 10.2) ESU Update** - Deborah Brown noted that the estimated savings in respect of work previously done by consultants had been calculated.

- 4.1.2 **Action (26/2/13 – 10.1.4) Communications** - Colin Watson noted that a new feedback form had been developed and would shortly be put onto the intranet.

5.0 Accounting Officer's Overview

- 5.1 Peter May provided an overview of some of the key work streams currently ongoing within the Department.
- 5.2 The Board discussed the leadership programme. It was identified that the leadership programme was an opportunity both for individuals to develop their leadership skills but also to help develop a strong and robust corporate culture.
- 5.3 The Board discussed how the programme would be rolled out across the Department following on from feedback from recent participants. Peter May asked that a staff conference is considered for 2014.

ACTION: Deborah Brown to scope arrangements/date for a staff conference in 2014.

6.0 Board Effectiveness (DB 60-13 and DB 61-13 Philip Spotswood)

- 6.1 Philip Spotswood joined the Board and presented a paper on the proposed Board Effectiveness exercise.
- 6.2 Deborah Brown highlighted that this work would be used to help inform the assessment of the Department's compliance with the Corporate Governance Code 2013.
- 6.3 The Board discussed the proposed exercise and agreed that a tailored and simplified version of the questionnaire presented should be used as the basis for the review which will be scheduled for a half day in November. Peter will also discuss with the non executive directors their role in helping to lead discussions on the day.

ACTION: Deborah Brown/Philip Spotswood to tailor and edit questionnaire as agreed. Board Effectiveness Exercise to be scheduled for November.

- 6.4 The Board noted a paper recommending meetings of the Departmental Board to be scheduled outside Causeway Exchange. The Board agreed to some future meetings being arranged at Departmental locations outside Causeway Exchange.

7.0 Creative Industries Update (DB 59-13 Stephen McGowan)

- 7.1 Stephen McGowan presented an update on progress against the Department's creativity agenda.
- 7.2 Stephen McGowan noted that by March 2013 the fund had supported 98 projects against the target of 200 projects by March 2015. The CIIF assessment panel met on June 17th to finalise awards for the 2013/14 round of funding.
- 7.3 Stephen McGowan reported that creativity month had taken place in March 2013 and a number of projects were supported across the Department's Arms Length Bodies. This included a substantial programme of events delivered across the Library network.
- 7.4 The Board discussed the clear benefits that could be realised through the Department's work in the creative and cultural sectors. In particular opportunities were highlighted in the areas of promoting equality, tackling poverty and social exclusion and stimulating the economic sector through the introduction of social clauses in the funding to require participation in W5 Stemnet programme. The importance of knowledge generation, knowledge exchange and knowledge exploitation was raised by Stephen McGowan.
- 7.5 The Board discussed the importance of ensuring that a joined up approach was achieved involving all stakeholders across government departments, local councils and the private sector.
- 7.6 The Board requested that Stephen's next report on the creative industries included evaluation of CIIF that could be used to inform bids in the next budget rounds – 2015/16 and the CSR.

8.0 Corporate Risk Register (DB 62-13 – Deborah Brown)

- 8.1. Deborah Brown presented an update of the risk register.
- 8.2 Arthur Scott identified a new risk in respect of the Weir at Carnroe. The Board discussed the risk including consideration of advice received from Waterways Ireland. It was agreed that subject to any changes in the nature of the risk, it should be managed at Divisional level.
- 8.3 The Board discussed the risk in relation to the City of Culture. It was agreed that the risk should be redefined in order to ensure there was a clear focus on the delivery of the associated CoC legacy.

ACTION: Arthur Scott to redraft City of Culture risk to reflect ongoing work to ensure the delivery of legacy.

- 8.4 The Board discussed possible additional risks and agreed that a generic risk on capacity to deliver should be included.

ACTION: Deborah Brown to draft additional risk for register regarding DCAL's capacity to deliver its core functions.

- 8.5 Peter May noted the one-page summary of risks that had been developed for the risk register. The most appropriate way to review the risk register at future Board meetings was discussed by the Board.

ACTION: Deborah Brown to discuss with Peter May consider how Risk Register is to be presented at future Boards.

- 8.6 Peter May asked if the Board were content with the risks presented. Subject to the discussions noted above, the Board was content with the risks identified and the updated action plan for each risk.

**9.0 Audit Risk and Assurance Committee (ARAC) Annual Report (DB 63-13 – John West)
Audit Risk and Assurance Committee (ARAC) Update (DB 65-13 – John West)**

- 9.1 John West updated the Board on the progress made by the ARAC.
- 9.2 John West noted that the Internal Audit Annual Report had issued and concluded an overall Satisfactory Opinion. It was highlighted that there had been sustained progress in the area of sponsorship control and compliance with DFP requirements for financial monitoring.
- 9.3 John West highlighted a number of areas where limited opinions/concerns were raised.
- 9.4 It was noted that Annual Assurance Statements had been received from all ALBs except Sport NI and the Arts Council. Work was continuing to embed and strengthen the level of assurance available.
- 9.5 John West noted that the Draft Annual Report and Accounts were reviewed and that the ARAC was content to recommend that the Board provided them to NIAO.
- 9.6 The draft Governance Statement for the year ended 2013 has been reviewed by ARAC. It was noted that this replaces the Annual Statement on Internal Control.
- 9.7 Progress was noted on the closure of outstanding audit recommendations. Since the March ARMC, 37 recommendations have been closed and 13 new ones opened.

ACTION: Deborah Brown to circulate list of outstanding audit recommendations to HoDs.

10.0 ARAC Terms of Reference (DB 64-13 – Deborah Brown)

- 10.1 Deborah Brown presented revised terms of reference for the ARAC to the Board for approval.
- 10.2 The Board agreed the terms of reference and approved their publication on the DCAL internet.

11.0 Compliance on Corporate Governance Code (DB 66-13 – Deborah Brown)

- 11.1 Deborah Brown presented the Board a paper detailing the Department's compliance with the 2005 Corporate Governance Code.
- 11.2 It was noted that a more detailed exercise on Corporate Governance would be undertaken to assess compliance in line with the 2013 Corporate Governance Code. This will be presented to the October Board.
- 11.3 The Board endorsed the disclosure in the Annual Governance Statement.

12.0 Finance Report (Including Annual Report and Accounts) (DB 67-13 – Deborah Brown)

- 12.1 Michael O'Dowd joined the Board and presented the Finance Report. The Board noted the following main issues:
 - 12.1.1 **Spend Report:** The Board reviewed the spend report and noted that there were no significant pressures or reduced requirements.
 - 12.1.2 **Report and Accounts:** The Board noted that the ARAC had recommended that the accounts were suitable for the Permanent Secretary's signature.
John West noted that the Audit Office had commended the Department on the preparation of its Accounts.
 - 12.1.3 **Report to those charged with governance:** It was noted that the draft RTTCWG had been received from NIAO. The management response was being drawn up and a further report will be provided to the September ARAC.

12.1.4 **June Monitoring:** The Board noted that all of the Department's bids had been recommended in June Monitoring with the exception of the Stadium bid. It was noted that the Stadium bid could be resubmitted in a future round.

12.1.5 **Prompt Payment Performance:** The Board noted the Department's performance against prompt payment targets.

12.1.6 **Strategic Partnership Forum:** The Board noted that a zero based budgeting exercise for 2014/15 has been commissioned and will be discussed at the Strategic Partnership Forum on 1st July.

13.0 Stadium Update (DB 70-13 – Colin Watson)

13.1 Colin Watson presented an update on the delivery of the Regional Stadium Development Programme.

13.2 The Board noted progress made against each of the three individual projects.

13.3 The Board discussed a number of issues that had the potential to cause timeline delays in relation to these projects. The Board agreed that they were content that these risks were being managed appropriately.

14.0 City of Culture Update (DB 68-13 – Arthur Scott)

14.1 Arthur Scott presented an update on the City of Culture.

14.2 The Board noted that City of Culture events continue to be delivered successfully. Recent major showcase events have included Radio 1's Big Weekend, the European Business Network Conference and the Colmcille event.

14.3 It was noted that a number of risks remained in relation to the programme. However it was noted that the Department continues to manage this process as fully as it could and that the overall role profile was starting to diminish as a greater proportion of the programme was delivered.

15.0 World Police and Fire Games Update (DB 69-13 – Mick Cory)

15.1 Mick Cory presented an update on the World Police and Fire Games.

- 15.2 The Board noted the work that has been ongoing in respect of delivering benefits from the World Police and Fire Games. This work has focused on both monetary and non-monetary benefits.
- 15.3 It was highlighted that a range of social benefits would be delivered including around the areas of volunteering and skills, restorative justice, young people and services engagement in the community and charity engagement.
- 15.4 The Company has advised that registrations were on target for 7,000+ participants, and that there were no budgetary implications for the games as long as 7000 participants registered.
- 15.5 It was noted that more than 6400 applications were received from volunteers for the games. Almost 50% of which had come from people who had not previously volunteered.

16.0 Papers to Note:

- 16.1.1 **Overview of ongoing work on promotion of equality and tackling poverty and social exclusion (DB 71-13).** The Board noted the content of the paper and agreed that a more detailed update should be provided to the Board later in the year.

ACTION: Deborah Brown to provide a further update on Departmental actions to promote equality and tackle poverty and social exclusion.

- 16.1.2 **IMB Update – RFI Issues (DB 72-13):** The Board noted the content of the IMB Update.
- 16.1.3 **Personnel Report (DB 73-13):** The Board noted the report.
- 16.1.4 **ESU Update (DB 74-13):** The Board noted the ESU update.
- 16.1.5 **Communications Summary (DB 75-13):** The Board noted the content of the Communications Summary.

17.0 Any Other Business

- 17.1 John West noted that the Forum for ALB Audit Chairs had taken place in Lisburn Library. In particular it was noted that Noel Molloy had provided a talk on the approach to social clauses. It was noted that ALBs were encouraged to adopt an innovative and flexible approach to the implementation of social clauses.

18.0 Next Meeting

18.1 The Board noted that the next meeting will be held on 9.30 Tuesday 6th August 2013.

Paul Gamble
26 June 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 6th August 2013 – 9.30am – 12.00pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Marie Mallon
Stephen Scarth (on behalf of Aileen McClintock)
Angela McAllister (on behalf of Arthur Scott)
Colin Watson
John West

In attendance: Hugh Campbell
Gary Hall
Seamus McLean
Hilary Harbinson
Kim Orchard
Michael O'Dowd
Gilliam McAfee
Bronagh Ramsden

Paul Gamble

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board. Apologies were received from Arthur Scott and Aileen McClintock. Angela McAllister and Stephen Scarth attended in their places.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 WPFG Limited.

3.0 Minutes from Meeting held on 25th June 2013. (DB M-8-13)

3.1 Subject to some minor amendments the Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-8-13)

4.1 The action point table was reviewed. The main points to note were as follows:

- 4.1.1 **Action (21/5/13 – 12.1.4) ESU Update** – It was noted that progress had been made in relation to some PPEs and this was reflected in the ESU Update paper.
- 4.1.2 **Action (25/6/13 – 5.3) Staff Engagement** – It was noted that initial discussion had taken place at the staff engagement forum in relation to a staff conference. Further details are to be scoped at the September Staff Engagement Forum.
- 4.1.3 **Action (25/6/13 – 6.3) Board Effectiveness** – it was noted that work was ongoing in relation to Board Effectiveness and a date for the Board to meet would be scheduled for November.

5.0 Permanent Secretary's Overview

- 5.1 Peter May provided an overview of some of the key work streams currently ongoing within the Department.
- 5.2 Peter May paid tribute to the work that was ongoing on the World Police and Fire Games and the associated cultural programme. Peter also noted the recent success of the PRONI family history event.
- 5.3 Peter May thanked the DCAL staff whose work had helped deliver the World Police and Fire Games. He noted the excellent work done by Cynthia Smith, Mick Cory, Joanna McConway and the team who supported them.
- 5.4 The Board noted that the success of the World Police and Fire Games demonstrated the ability of Northern Ireland to deliver world class events.

6.0 DCAL Information Systems Strategy (DB 76-13 Paul McAllister, Hugh Campbell, Gary Hall, Seamus McLean)

- 6.1 Paul McAllister, Hugh Campbell, Gary Hall and Seamus McLean joined the Board and presented a paper on the review of DCAL Information Systems (IS) Strategy.
- 6.2 Gary Hall provided an overview of the draft IS Strategy. It was noted that the strategy contained 41 individual recommendations.
- 6.3 The Board discussed the IS Strategy and stated that it would be necessary to develop a mechanism within the Department to review and prioritise the recommendations.
- 6.4 The benefits of each need to be clearly explained and decisions taken on how and when these are implemented. A SMT discussion is

required in order to take this forward. The IGB needs re-established and the assistance of DRD clearly set out.

ACTION: Deborah Brown and Cynthia Smith to re-establish the Departmental Information Governance Board to prioritise recommendations and provide an assessment of how, when and who will implement these.

7.0 World Police and Fire Games Update (Joanna McConway)

- 7.1 Joanna McConway provided a verbal update detailing progress on the World Police and Fire Games.
- 7.2 Joanna McConway noted that nearly 7000 competitors had registered and that numbers were still rising. It was felt that the games had proved to be successful and that there was anecdotal evidence of positive economic benefits for local traders.
- 7.3 Joanna McConway thanked her team for the work they had undertaken in the run up to the games. Joanna also noted the key support that had been provided to the team by Noel Molloy particularly with reference to the opening ceremony.
- 7.4 The success of the WPFPG aligned cultural programme was also acknowledged.
- 7.5 Peter May asked that the Board's appreciation would be conveyed to the WPFPG team.

8.0 City of Culture Update (DB 77-13 Joanna McConway)

- 8.1 Joanna McConway presented an update detailing progress in relation to the 2013 City of Culture.
- 8.2 It was noted that the revised business case had been completed and had received approval from DFP. Joanna McConway thanked Gerard Murray for his work on this.
- 8.3 The Board noted that the project is now deemed to be fully funded.
- 8.4 A number of major upcoming events were highlighted including the Fleadh, the Turner Prize and the Lumiere festival.
- 8.5 The Board noted that further work was underway in relation to defining the project's legacy. Emerging outcomes are being collated which will provide an overview of the project in its first six months.

9.0 Stadiums Update (DB 78-13 - Colin Watson)

- 9.1 Colin Watson presented an update detailing progress on the Regional Stadiums.
- 9.2 The Board noted progress made against each of the three individual projects. Due to significant progress at Ravenhill two new stands should be operational for a friendly match scheduled for the end of August. The position regarding the Judicial Review lodged by Crusaders Football Club was discussed and potential risk assessed.

10.0 Finance Report (DB 79-13 – Michael O’Dowd and Gillian McAfee)

- 10.1 Michael O’Dowd and Gillian McAfee joined the Board and presented the Finance Report. The Board noted the following main issues:

- 10.1.1 **Spend Report** : The Board reviewed the spend report.

- 10.1.2 **June Monitoring Allocations to PEPSE** : The Board discussed the Department’s successful bids in the June monitoring round. Peter May noted that many projects were at an early stage and that further development would be necessary to ensure that the money was spent effectively. Progress on these allocations would be reported to the Minister in September and Directors were asked to ensure actions were being taken to progress these projects. Any changes will need to be reported to Minister.

- 10.2 The Board noted that a capital bid exercise was currently ongoing. These bids will be prioritised and presented to Minister to meet DFP deadline of 31st August.

- 13/14 resource easement of £459k and capital easements of £803k were reported. Contingency lists are needed to ensure we maximise the use of these easements and ALBs will be asked for proposals which will be considered and presented to Minister for approval.

- 10.3 Peter May updated IBMs in relation to the ongoing zero based budgeting exercise that is being carried out across the Department.

11.0 Overview of ongoing work on promotion of equality and tackling poverty and social exclusion (PEPSE) (DB 80-13 – Paul Gamble)

- 11.1 Bronagh Ramsden joined the Board and a paper was presented in relation to the PETPSE agenda.
- 11.2 The Board discussed the need for the Department to develop clear deliverables in relation to PETPSE. It was agreed that it was necessary for the Board to develop a clear strategic approach to PETPSE in order to ensure that it achieved value for money in delivery.
- 11.3 It was agreed that a Board should be set up to oversee the delivery of the PETPSE agenda. Peter May agreed that he would be the chair the PETPSE Board.

ACTION: Paul Gamble to establish a PETPSE Board including appropriate terms of reference.

12.0 DCAL Learning and Development Strategy and Plan (DB 81-13 – Hilary Harbinson)

- 12.1 Hilary Harbinson joined the Board and presented a paper in relation to the DCAL Learning and Development Strategy and Plan (LDSP).
- 12.2 The Board discussed the LDSP and agreed that it detailed the right approach of aligning the strategy with business objectives.
- 12.3 The Board discussed the need to consider existing structures and skill sets and then map these against business objectives in order to ensure the capacity to deliver.
- 12.4 It was agreed that in order to progress this area a piece of work was needed to consider the necessary skill sets required to deliver results against DCAL's priorities. It was agreed that this piece of work could be initiated as part of an SMT away day and brought back to the Board in October.

ACTION: Peter May to lead on SMT away day.

13.0 Corporate Risk Register (DB 82-13 – Kim Orchard)

- 13.1. Kim Orchard presented an update of the risk register.
- 13.2 The Board noted that risk 7 was to be removed from the register and managed at divisional level.
- 13.3 The Board noted that risk 3 had been updated in order to reflect a focus on the Department's capacity to deliver on its key priorities. Further detail was requested on how this is being managed.

ACTION: Deborah Brown to update risk as appropriate.

- 13.4 Peter May asked if the Board were content with the risks presented. Subject to the discussions noted above, the Board was content with the risks identified and the updated action plan for each risk.

14.0 Papers to Note:

14.1.1 **IMB Update – RFI Issues (DB 83-13):** The Board noted the content of the IMB Update.

14.1.2 **Personnel Report (DB 84-13):** The Board noted the report and requested that further information be provided in relation to completion of end of year reviews.

ACTION: Deborah Brown to provide further detail in relation to progress on completion of end of year reviews with explanations on why individual reports have not been completed

Poor Sickness Absence levels were highlighted, despite actions being taken. The importance of early engagement by line managers was highlighted and that appropriate action is needed.

14.1.3 **ESU Update (DB 85-13):** The Board noted the ESU update.

14.1.4 **Communications Summary (DB 86-13):** The Board noted the content of the Communications Summary.

15.0 Any Other Business

- 15.1 Aileen McClintock joined the Board. The Board thanked Aileen, who was retiring, for her contribution to the Board, the Department and PRONI throughout her career.

16.0 Next Meeting

- 16.1 The Board noted that the next meeting will be held on 9.30 Tuesday 17th September 2013, venue PRONI, Titanic Quarter.

Paul Gamble

9 August 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 17th September 2013 – 9.30am – 12.00pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Marie Mallon
Maggie Smith
Arthur Scott
Colin Watson
John West

In attendance:

Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board to the PRONI building. Peter welcomed Maggie Smith to her first Board meeting.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFPG) as she is a company director for 2013 WPFPG Limited.

3.0 Minutes from Meeting held on 6th August 2013. (DB M-9-13)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-9-13)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (25/6/13 – 5.3) Staff Engagement** – Deborah Brown noted that the staff engagement forum was due to meet in September and agreed to provide an update at the October Board.

4.1.2 **Action (25/6/13 – 6.3) Board Effectiveness** – It was noted that the IBMs would be leading on the Board Effectiveness programme.

4.1.3 **Action (6/8/13 – 11.3) PETPSE** – An initial terms of reference has been developed in respect of the PEPSE Programme Board and a first meeting is scheduled for early October.

4.1.4 **Action (6/8/13 – 6.4) DCAL Information System Strategy** – It was noted that the Departmental Information Governance Board was to be reconstituted.

ACTION: Cynthia Smith to provide update following initial meeting of the DIG Board.

4.1.5 **Action (6/8/13 – 14.1.2) Personnel Report** – Deborah Brown provided an update to the Board on completion of end of year reviews.

ACTION: Deborah Brown to provide HoDs with details of individual reports that are still outstanding.

4.2 The Board agreed that completed actions were to be removed from the table.

5.0 Permanent Secretary's Overview

5.1 Peter May provided an overview of some of the key work streams currently ongoing within the Department.

5.2 The Board discussed the recent Senior Management Team Strategy Day and discussed how this would be used to develop approaches on Departmental priorities.

5.3 It was noted that a further update would be provided at the October Departmental Board meeting. The Board noted that projects taken forward as a result of June Monitoring had a focus on delivering services on the ground.

6.0 2012/13 Test Drilling Exercise Report (DB 88-13 - Patrick Neeson)

6.1 Patrick Neeson joined the Board and presented a paper on the 2012/13 Test drilling exercise.

6.2 Patrick provided assurance to the Board that the exercise had shown that business cases were being regularly undertaken in line with agreed proformas. However a number of areas where improvement could be achieved were highlighted. The responsibility of ALB Boards to ensure PPEs are completed was highlighted and the need to ensure assurances provided in QAS reflect this accurately.

6.3 The Board considered the possibility of including a section to the Business case proforma focusing on tackling poverty and social exclusion.

- 6.4 Colin Watson noted that in some cases it might be appropriate for a Post Project Evaluation to be undertaken at Programme level. Patrick Neeson noted that this had been taken forward recently in respect of the ACNI Annual Funding Programme.
- 6.5 The Board agreed that it was content that the report be issued to DFP. It was agreed that ESU and Senior Sponsors should acknowledge the progress that had been made in this area with ALBs and highlight areas for future development.

ACTION: Patrick Neeson to offer to meet with ALBs to discuss PPEs and Business Cases.

7.0 City of Culture Update (DB 89 - 13 Joanna McConway)

- 7.1 Joanna McConway presented an update detailing progress in relation to the 2013 City of Culture.
- 7.2 It was noted that a range of large projects had been delivered over the summer period including the Fleadh, Foyle Pride and the Walled City Tattoo. A number of smaller community based projects are currently ongoing.
- 7.3 The potential of the Turner prize and Lumiere to draw tourists was noted.
- 7.4 The Board noted that considerable work was ongoing in relation to the legacy of the City of Culture and the benefits that were being delivered. Initial figures in relation to participation and perceptions of the city were positive.

ACTION: Joanna McConway to provide an update to the Departmental Board on CoC Legacy for November.

8.0 Stadiums Update (DB 91 - 13 Colin Watson)

- 8.1 Colin Watson presented an update detailing progress on the Regional Stadiums.
- 8.2 The Board noted progress made against each of the projects. It was noted that excellent progress has been made on Ravenhill and two stands had been used at a recent friendly match. It was noted that work was ongoing with the IFA on their governance arrangements in advance of the funding agreement. Work with the GAA on Casement Park continued.

9.0 Corporate Risk Register (DB 93-13 – Deborah Brown)

- 9.1 Deborah Brown presented an update of the risk register.
- 9.2 The Board noted that the risk in respect of the WPFG had been removed from the register. Any risks associated with the WPFG will now be managed at a branch level.
- 9.3 Deborah explained that risk 3 in relation to the Department's capacity to deliver had been updated to reflect ongoing work on TBUC, June Monitoring progress and the zero based budgeting exercise.
- 9.4 It was agreed that the RAG rating in relation to delivery of the stadia programme should be reviewed.

ACTION: Colin Watson to review stadia programme RAG rating.

9.5 Peter May asked if the Board were content with the risks presented. Subject to the discussions noted above, the Board was content with the risks identified and the updated action plan for each risk.

10.0 Finance Report (DB 94-13 – Deborah Brown) Gillian McAfee

10.1 Gillian McAfee joined the Board and presented the Finance Report. The Board noted the following main issues:

10.1.1 **Spend Report** : The Board reviewed the spend report and noted that there were no significant pressures or reduced requirements other than those noted in October monitoring.

10.1.2 **June Monitoring** : The Board noted an update on progress against projects recommended June Monitoring.

ACTION: Deborah Brown to reissue update paper for review by HoDs.

10.1.3 **October Monitoring** : The Board agreed the recommendations arising out of the October Monitoring paper.

10.1.4 **Prompt Payment Performance** : The Board noted the Department's performance against prompt payment targets.

10.1.5 **Final Outturn:** The Board noted that the final outturn return was submitted to DFP on 16th August. It was noted that performance was slightly improved on the previous year.

10.1.6 **Ongoing exercises:** The Board noted the financial exercises ongoing in the Department including the 14/15 and 15/16 Capital Exercises, the Zero based budgeting exercise and the HMRC VAT Risk Assessment.

11.0 DCAL Internal Audit Strategy 2012/13 (DB 94-13 – Michelle Anderson)

11.1 Michelle Anderson joined the Board and presented the DCAL Internal Audit Strategy 2012/15 and the Internal Audit Plan 2013/2014.

11.2 The Board noted that the Strategy and Plan had been endorsed by the ARAC at the end of May and the Board formally approved the papers.

12.0 Audit Risk and Assurance Committee Update (John West)

12.1 John West presented a verbal update on the work of the ARAC.

12.2 It was noted that progress had been made in a number of areas. Considerable progress had been demonstrated in reducing the number of outstanding audit recommendations across the Department.

12.3 It was noted that some business areas were slow on delivering PPEs. Division Heads indicated that engagement had taken place with Chief Executives as appropriate to address this matter.

12.4 John West indicated that the Report to Those Charged with Governance was largely positive in nature. Issues from the report were being managed as appropriate. Financial Statements remain qualified because of the known issue around land titles.

13.0 Papers to Note:

13.1.1 **IMB Update – RFI Issues (DB 95-13):** The Board noted the content of the IMB Update.

13.1.2 **Personnel Report (DB 96-13):** The Board noted the report.

13.1.3 Workplace Health Improvement Programme Update (DB 97-13): The Board noted the report.

13.1.4 ESU Update (DB 98-13): The Board noted the ESU update.

13.1.5 Communications Summary (DB 99-13): The Board noted the content of the Communications Summary. It was agreed that the Communications Summary did not need to be provided at future Board meetings.

13.1.6 DCAL Learning – Resource Allocation (101-13): The Board noted the content of the report.

17.0 Any Other Business

17.1 The Board discussed a range of items for possible inclusion on future Board Agendas. It was noted that a focus should be put on items relating to delivery of Departmental priorities.

18.0 Next Meeting

18.1 The Board noted that the next meeting will be held on 9.30 Tuesday 22nd October 2013.

Paul Gamble

27 September 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 22nd October 2013 – 10.00am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Marie Mallon
Maggie Smith
Arthur Scott
John West

In attendance:

Colin Lewis
Grace Nesbitt
Noel Molloy
Phillip Spotswood
Gillian McAfee
Michael O'Dowd
Clodagh Rodgers
Kim Orchard
Paul Gamble (minutes)

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared an interest in the agenda item relating to the World Police and Fire Games (WPFG) as she is a company director for 2013 WPFG Limited.

3.0 Minutes from Meeting held on 17th September 2013 (DB M-10-13)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-10-13)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (25/6/13 – 5.3) Staff Engagement** – Deborah Brown noted that she has a paper to SMT on the staff engagement forum.

4.1.2 **Action (25/6/13 – 6.3) Board Effectiveness** – The IBMs provided an update on Board Effectiveness. John West explained that a questionnaire on Board Effectiveness would be distributed to Board Members in due course. As part of the process opinions would be sought from ALBs. It was agreed that this engagement would be at a strategic level.

4.1.3 **Action (6/8/13 – 14.1.2) Personnel Report** – it was noted that the update of completed appraisals had issued and that colleagues were following up on finalisation of reports as appropriate.

4.1.4 **Action (17/9/13 – 10.1.2) Finance Report** – The Board noted an update on progress against projects funded in June Monitoring had been completed.

4.2 The Board agreed that completed actions were to be removed from the table.

5.0 Presentation on NICS People Strategy 2013-16 & Annual People Plan 2013-14 (DB 102-13 - Colin Lewis & Grace Nesbitt)

5.1 Colin Lewis and Grace Nesbitt joined the meeting to present the NICS People Strategy.

- 5.2 Colin explained that the Strategy had already been formally launched. The Strategy describes the NICS approach to its relationship with its staff. The Strategy covers areas including leadership, resourcing, management roles, development, culture and reward. The Strategy sets out the NICS approach to delivering a high quality service through the valuable resource of its staff.
- 5.3 Grace Nesbitt explained how the document focused on delivering the Executive's priorities through the provision of an excellent service. The Strategy sets out commitments around four key themes – effective leadership, high performance, an enabled workforce and improved skills and resourcing.
- 5.4 Peter May asked how the balance of work, between CHR and Departments, in implementing the strategy would be developed. Colin explained that it was a partnership – it was essential that the wider civil service took ownership of the Strategy as well as CHR. The strategy needed cultural and behavioural change, more than an operational change to be fully effective.
- 5.5 The Board discussed the most effective way to implement the strategy. Marie Mallon noted that it was essential that the Strategy was adopted by line management and not seen as a document for implementation by Departmental HR alone. John West asked how the message was being delivered to all staff. Grace explained that a short video was made available to all staff with internet access. It was noted that it would be made available to all staff online and through hard copy as appropriate.

Cynthia Smith left the meeting.

Arthur Scott left the meeting.

- 5.6 Peter thanked Colin and Grace for their presentation and noted the strong support for the Strategy from the Board. The Board committed to

ensuring the NICS People Strategy would be effectively embedded within the Department.

5.7 Peter noted that the Department intended to seek liP reaccreditation.

6.0 Stadiums Update (DB 103-13 Noel Molloy)

6.1 Noel Molloy presented an update detailing progress on the Regional Stadiums.

6.2 It was noted that excellent progress was being made in respect of the Ravenhill project.

6.3 The Board discussed the challenges in relation to progress in respect of the Casement Park and Windsor Park projects, and Noel outlined steps being taken to manage this.

Joanna McConway joined the meeting.

7.0 Monitoring of Business Plan Targets 2013-14 Quarter 1 & 2 (DB 104-13 Paul Gamble/Philip Spotswood)

7.1 Philip Spotswood joined the meeting and presented a paper on the monitoring of business plan targets.

7.2 The Board discussed progress and challenged the ratings against targets.

ACTION: HoDs to ensure that the progress section sets out progress against the agreed targets.

7.3 The Board discussed how the process could be refined to ensure that the Department delivered effectively in future years.

7.4 The Board agreed that at the end of the next quarterly update, focus would be put on those targets where remedial action was necessary (red and amber RAG indicators).

8.0 Corporate Risk Register (DB 105-13 – Deborah Brown/Gillian McAfee)

8.1 Gillian McAfee joined the meeting. Deborah presented an update of the risk register.

8.2 The Board discussed the risk in relation to the effective oversight of ALBs. Deborah noted ongoing work in respect of the review of compliance against the 2013 Corporate Governance Code and how this would feed into the Board Effectiveness review. Deborah also outlined work on the Review of Governance. The objective is to free up resource to focus on delivery against the priority to PETPSE while maintaining similar levels of assurance.

8.3 Deborah updated the Board on progress against the risk on delivery of Departmental objectives against resource outlay. The Board agreed that the risk should be expanded to include non-financial issues (e.g. capacity, skills, training).

8.4 The Board noted the risk in relation to the City of Culture.

8.5 The Board noted that the Risk Register would be reviewed as part of the next Business Planning Cycle.

ACTION: Peter requested a separate exercise on risk in early 2014 which will be considered against the 14/15 Business Plan.

9.0 Finance Report (DB 106-13 – Deborah Brown) Michael O’Dowd

9.1 Michael O'Dowd and Clodagh Rodgers joined the Board and presented the Finance Report. The Board noted the following main issues:

9.1.1 **Spend Report:** The Board reviewed the spend report.

9.1.2 **October Monitoring:** Michael O'Dowd updated the Board in relation to the outcome of October monitoring. It was noted that bids in relation to the City of Culture Legacy and TBUC had been supported of £1m resource and £1m capital.

There are easements arising in capital and resource below de-minimus level and we are currently looking at opportunities to redirect this to the priority to PETPSE.

WPFGE currently showing an overspend as income has not yet been reflected. Action was being taken to ensure the appropriate arrangements for income were in place.

Marie Mallon left the meeting.

10.0 Asset Management Plan Approval (DB 107-13 – Deborah Brown) Kim Orchard

10.1 Kim Orchard joined the Board and presented the Asset Management Plan.

10.2 Kim noted that the Executive had agreed the Asset Management Strategy in September and this was reflected in DCAL's plan. Kim also noted that the plan had been shared with ALBs.

10.3 The Board discussed issues in relation to the more effective management of the Core Department's assets.

10.4 The Board approved the DCAL Asset Management Strategy and noted the broader NICS Strategy.

11.0 Papers to Note:

11.1.1 **IMB Update – RFI Issues (DB 108-13):** The Board noted the content of the IMB Update.

11.1.2 **Personnel Report (DB 109-13):** The Board noted the report.

11.1.3 **ESU Update (DB 110-13):** The Board noted the ESU update. The Board discussed the PPE in relation to the Waterside Theatre.

ACTION: Patrick Neeson to provide a ‘lessons learnt’ report on the Waterside Theatre PPE.

12.0 Any Other Business

12.1 The Board discussed a range of items for possible inclusion on future Board Agendas. It was noted that an update on the City of Culture would be provided for the next Board meeting.

13.0 Next Meeting

14.1 The Board noted that the next meeting will be held on 10.00am Tuesday 19th November 2013 in Portadown Fisheries Station.

Paul Gamble

22 October 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 19th November 2013 – 10.00am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Stephen McGowan
Marie Mallon
Maggie Smith
Arthur Scott
John West

In attendance:

Patrick Neeson
Ryan Phillips
Joanna McConway
Gillian McAfee
Philip Spotswood (minutes)

1.0 Welcome and Apologies:

1.1 Peter May welcomed everyone to the Departmental Board, in particular Stephen McGowan, newly appointed Director of Strategic Delivery Unit.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared she is a company director for 2013 WPFGL Limited.

3.0 Minutes from Meeting held on 22nd October 2013 (DB M-11-13)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB A-11-13)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (25/6/13 – 5.3) Staff Engagement** – Deborah Brown noted that a sub-group of the Staff Engagement Forum has been formed to take forward delivery of the 2014 Staff Conference. Deborah also mentioned that DCAL Communications Office would be formulating ideas to showcase DCAL activities at suitable events.

4.1.2 **Action (25/6/13 – 6.3) Board Effectiveness** – Marie Mallon and John West have been finalising preparations for the workshop which will take place on 26 November. Preparations have included meeting with some ALB Chairs and CEOs. All Board Members have returned their questionnaires.

4.1.3 **Action (6/8/13 – 6.4) IS Strategy** – The Departmental Information Governance Board has been re-established and met on 15th November. It was agreed that the IT resource in PRONI would become the Departmental IT resource. A further meeting is scheduled for end December. The focus of the group will be to support business needs and a prioritised action plan will be drawn up to facilitate this.

4.1.4 **Action (17/9/13 – 7.4) City of Culture** – covered under item 8 of these minutes.

4.1.5 **Action (22/10/13 – 7.2) Monitoring of Business Plan Targets 2013-14 Quarter 1 & 2** - this action will be taken forward from January 2014 onwards.

4.1.6 **Action (22/10/13 – 8.5) Corporate Risk Register** – this action will be taken forward in March 2014.

4.1.7 **Action (22/10/13 – 11.1.3) ESU Update** – covered under item 13.1.3 of these minutes.

5.0 Permanent Secretary’s Overview

Peter May mentioned that the Department would develop a Memorandum of Reply in respect of the Public Accounts Committee’s Report into DCAL’s capital projects. This will be presented to the ARAC. Peter also outlined Minister’s forthcoming announcement on the City of Culture.

6.0 CAL Committee Report – Investigation into Gaps in Child Protection and Safeguarding (DB 111-13 – Deborah Brown)

6.1 Deborah Brown presented the above paper, outlining that the CAL Committee’s report contained 22 recommendations, many of which were cross-cutting and some of which extended beyond DCAL’s remit.

Safeguarding arrangements are already embedded in DCAL’s practices and ETI’s Review of Child Protection Report in 2010 (which deemed DCAL’s practices as satisfactory) will be repeated in 2014.

DCAL will scrutinise all of the CAL Committee’s recommendations and will consult with other Departments, seeking their assistance as appropriate. DCAL will also engage with the Children’s Commissioner and ensure that all good practice is rolled out to DCAL ALBs and the organisations they fund.

Action: Deborah Brown to review CAL Committee recommendations and provide response by 6th January. This will be followed up with an action plan to be

presented at the January Board. This will include an assessment of whether any aspects should be covered in the Departmental Risk Register. It was agreed there was no need to include this at this stage.

7.0 Lessons Learned Report (DB 112-13 – Patrick Neeson & Ryan Phillips)

7.1 Patrick Neeson and Ryan Phillips joined the meeting and presented a paper on lessons learned from Post Project Evaluations carried out in 2012/13

The Board discussed the findings and it was concluded that the report was very useful in highlighting a number of areas for improvement.

The Board was informed that key messages from the report will be disseminated at the Finance Forum in December. The Board requested that these be conveyed in a way which clearly draws out both the strengths of the PPEs conducted and areas for development in conducting future PPEs.

Action: Deborah Brown to arrange for key messages from Lessons Learned Report to be brought to the Finance Forum as part of their discussion on the PAC report on 4th Dec.

8.0 City of Culture (DB 114-13 - Joanna McConway)

8.1 Joanna McConway joined the meeting and presented an update on the City of Culture. The update discussed the position on optimum bias, transitional legacy arrangements for January to March 2014, longer

term legacy issues, and the closure arrangements for the Culture Company.

- 8.2 The Board thanked Joanna and her team for their contribution to the success of the City of Culture.

9.0 Corporate Risk Register (DB 116-13 – Gillian McAfee)

- 9.1 Gillian McAfee joined the meeting and presented an update of the risk register.
- 9.2 The Board discussed all risks on the register and agreed with the assessments provided.

Action: Deborah Brown to amend risk on register to “Management of Major Capital Projects”.

10.0 Finance Report (DB 113-13 – Deborah Brown)

- 10.1 Deborah Brown presented the Finance Report. The Board noted the following main issues:

In respect of the January budget monitoring exercise:

No bids above the de minimis (£1m) to be put forward to DfP;
No reduced requirements above de minimis had been identified;
Easements below de minimis were available to fund proposals from contingency spend lists;
Minister has been invited to prioritise proposals.

Total underspend at end of year is anticipated to be around 1%.

11.0 Stadiums Update (DB 115-13 Cynthia Smith)

- 11.1 Cynthia Smith presented an update detailing progress on the Regional Stadiums.
- 12.2 The Board noted that progress was being made but the programme was entering a critical phase. It was important to sustain momentum

as a number of risks and issues had the potential to threaten project timelines (Casement Park and Windsor Park) if not proactively managed in the coming weeks.

12.3 The Board noted the excellent progress with the Ravenhill project.

13.0 Papers to Note:

13.1.1 **IMB Update – RFI Issues (DB 117-13):** The Board noted the content of the IMB Update.

13.1.2 **Personnel Report (DB 118-13):** The Board noted the report.

13.1.3 **ESU Update (DB 119-13):** The Board noted the ESU update.

13.1.4 **Single Tender Action 2012/13 (DB 120-13):** The Board noted the report.

Action: Deborah Brown to provide explanations on the increase in the Waterways Ireland STAs.

13.1.5 **Quarter 1 2013-14 Quarterly Assurance Statements (DB 121-13):** The Board noted the paper.

Action: Deborah Brown to arrange for the paper on the 2nd quarter QASs to be presented for substantive discussion.

14.0 Any Other Business

14.1 Peter sought suggestions from Board Members for papers for further meetings.

The following were suggested:

Community Planning after RPA
PRONI and Digital Preservation
Regional Arts and Culture Strategy
PETPSE

Information Systems Governance

14.2 Peter will liaise with Board Secretariat re venues for 2014 meetings.

Action: Peter May to liaise with Philip Spotswood

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on 10.00am Tuesday 17th December 2013 in DCAL Boardroom Level 9.

Philip Spotswood

19 November 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 17th December 2013 – 09.45am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Stephen McGowan
Marie Mallon
Maggie Smith
John West
Michael Willis (for Arthur Scott)

In attendance: Noel Molloy
Hilary Harbinson
Heather Stanley
Gillian McAfee
Orla Bateson
Patrick Neeson
Philip Spotswood (minutes)

1.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting. Apologies were received from Arthur Scott.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared she is a Company Director of 2013 WPFGL Limited.

3.0 Minutes from meeting of 19 November 2013 (DB-M-12-13)

3.1 The Board agreed the minutes. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB-A-12-13)

4.1 The action point table was reviewed. The main points to note were as follows:

- 4.1.1 **Action (25/6/13 – 5.3) Staff Engagement** –the conference sub-group met on 22 November and will meet again on 10 December. Detailed proposals from the sub-group will be discussed by the Staff Engagement Forum and forwarded to SMT for consideration.
- 4.1.2 **Action (25/6/13 – 6.3) Board Effectiveness** – Action points emerging from the 26 November exercise will be discussed under item 7 of this meeting.
- 4.1.3 **Action (6/8/13 – 6.4) IS Strategy** – A further meeting is scheduled for end December. A prioritised action plan will be developed.
- 4.1.4 **Action (22/10/13 – 7.2) Monitoring of Business Plan** – This action will be taken forward from January 2014 onwards.
- 4.1.5 **Action (22/10/13 – 8.5) Review of Risk Register** – This action will be included in the January Board agenda.
- 4.1.6 **Action (19/11/13 – 9.1) Stadia/Capital Projects Risk** – still under review.
- 4.1.7 **Action (19/11/13 – 9.1) Access to PRONI Files Risk** – to be discussed under item 8 of this meeting.
- 4.1.8 **Action (22/10/13 – 11.1.3) Waterside Theatre PPE** – to be discussed under item 12 of this meeting.

4.1.9 Action (19/11/13 – 6.1) CAL Committee Report on Child Protection and Safeguarding - DCAL is preparing its formal reply.

4.1.10 Action (19/11/13 – 7.1) PPE Lessons Learned Report – key messages from report discussed at Finance Forum on 4 December.

4.1.11 Action (19/11/13 – 13.1.4) Single Tender Action – Deborah to issue note to Board Members.

4.1.12 Action (19/11/13 – 13.1.5) Quarterly Assurance Statements – to be discussed at January meeting.

4.1.13 Action (19/11/13 – 14.2) Venues for 2014 Board Meetings – February meeting to be held at SNI. Cynthia to liaise with ALBs re other venues during current round of governance meetings.

5.0 Permanent Secretary's Overview

Peter May drew attention to the successes of the past year referring to high profile outcomes like City of Culture and the World Police and Fire Games as well as important progress made in a range of less visible areas.

6.0 Finance Report (DB 122-13 – Deborah Brown)

6.1 Deborah Brown presented the Finance Report. The Board noted that there were no significant pressures or easements in addition to those reported through the January Monitoring process. Small easements which have been identified will be deployed against contingency projects.

6.2 The Board was also informed that reallocations from January Monitoring have been agreed by the Minister and that it is expected that the Minister will meet with ALBs early in the new year to discuss zero based budgeting issues.

6.3 The Board noted prompt payment performance.

7.0 Board Effectiveness Issues (DB 121-13 – Philip Spotswood)

7.1 Philip Spotswood's three papers relating to the recent Board Effectiveness Exercise were discussed.

Board Effectiveness Actions

- 7.1.1 The Board agreed that the paper summarising the actions agreed at the exercise was accurate. The Board discussed the importance of having the right amount and balance of engagement with ALBs.
- 7.1.2 The Board agreed that the best approach for taking the actions forward would be to, as far as possible, brigade them under themes. Two main themes were identified: ALB engagement and engagement within DCAL.
- 7.1.3 It was agreed that Cynthia Smith would lead on ALB engagement and produce an ALB Engagement Plan which articulates the Board's view of how DCAL wants to engage with ALBs. The Plan would look at what additional engagement is needed and what engagement might be adjusted or stopped.

Action: Cynthia Smith to produce ALB Engagement Plan and oversee its implementation. Progress to be reviewed periodically by Board.

- 7.1.4 It was agreed that Deborah Brown would lead on engagement within DCAL and produce a DCAL Engagement Plan. This would involve matters such as promoting values, strengthening engagement via the Staff Brief, visibility of the Board.

Action: Deborah Brown to produce DCAL Engagement Plan and oversee its implementation. Progress to be reviewed periodically by Board.

7.1.5 It was also agreed that Arthur Scott would take forward, on a pilot basis, a strategic programme of policy evaluation, starting with the evaluation of a sample of recent policies.

Action: Arthur Scott to assemble an evaluation team and take forward pilot review.

7.1.6 It was agreed that the Board Terms of Reference would be amended to reflect points raised at the Board Effectiveness Exercise and to ensure compatibility with the Governance Code of Practice.

Action: Philip Spotswood to revise Board ToR for January meeting.

7.1.7 It was also agreed that Peter May and Philip Spotswood would set up agendas at least one month in advance.

Action: Peter May and Philip Spotswood to discuss.

Departmental Grid

7.2.1 The draft Departmental Grid, which depicts a high level summary of progress in key operations, was discussed. The Board agreed that the Grid should focus on deliverables, as opposed to measuring performance of business areas. It was agreed that ratings would be supplied by business areas and that the Grid would be reviewed at each Board meeting.

7.2.2 The Board was content with the performance aspects to be measured and with the projects/programmes included on the draft Grid. Some additional candidate projects/programmes were discussed.

Action: Peter May and Philip Spotswood to develop a further version of the Grid and consider treatment of PETPSE.

Philip Spotswood to liaise with business areas on an ongoing basis to ensure ratings are kept up to date.

Values

7.3.1 The Board discussed ways of further promoting the DCAL Values. It was agreed that corporate documents, the staff brief, team briefs and leadership programme events would all be used to further promote them.

8.0 Corporate Risk Register (DB 123-13 – Gillian McAfee)

8.1 Gillian McAfee joined the meeting and presented an update of the risk register.

9.0 Stadiums Update (DB 124-13 – Noel Molloy)

9.1 Noel Molloy joined the meeting and presented an update detailing progress on the Regional Stadiums.

9.2 The Board noted major progress in the last few weeks and was informed that the Programme is entering a critical phase and that there continues to be a number of significant risks and issues that require proactive management. The Board noted the position with spend profiles.

10.0 Internal Audit of Managing Attendance (DB 125-13 – Hilary Harbinson)

- 10.1 Hilary Harbinson joined the meeting and presented the above paper. She informed the Board that the report highlighted a good degree of compliance by DCAL HR. Five recommendations related to DHR record keeping and these have been implemented immediately and a further three recommendations apply to line managers.
- 10.2 The Board agreed that HoDs must ensure line managers are aware of their roles and responsibilities in managing attendance. The Board further agreed that DHR is to provide details of non-compliance to HoDs on a monthly basis and that HoDs are to be responsible for taking appropriate action on any instances of non-compliance.
- 10.3 The Board considered whether all line managers should have a 'managing absence' objective in their PPAs. It was agreed that a wider 'performance management' target – which includes managing attendance - would be more appropriate.

Action: Deborah Brown to draft a sample of this part of a PPA to be circulated to the senior team.

11.0 Digital Preservation (DB 126-13 – Heather Stanley)

- 11.1 Heather Stanley joined the meeting and presented an update of PRONI's Digital Preservation Project. The presentation outlined the principles underpinning the system, its high level system architecture, progress with its main workstreams, risk management and targets.
- 11.2 The Board noted that the project would be completed by the PRONI in-house development team and not (as had previously been envisaged) by STERIA; the estimated costs had decreased and a Business Case Addendum had been prepared for DFP approval.

Action: Cynthia Smith to liaise with Maggie Smith to arrange a follow-up presentation for the Board at a suitable time in 2014.

12.0 Waterside Theatre PPE (DB 127-13 – Patrick Neeson)

12.1 Due to time constraints this Item was deferred to a future Board meeting.

13.0 Research Programme Update (DB 128-13 – Orla Bateson & Patrick Neeson)

13.1 Orla Bateson and Patrick Neeson presented an update on the proposed DCAL Research Programme 2014/15. Orla outlined the extensive consultation which had taken place in developing the Programme and highlighted the impacts of the Programme.

13.2 The Board noted the close alignment of the Programme with DCAL's key objective of Promoting Equality, Tackling Poverty and Social Exclusion. There was a general discussion about the Research Programme where Orla highlighted how each project will add to the evidence base overall. Any gaps in the current programme can be addressed in future years.

13.3 The Board agreed the proposed Research Programme.

13.4 The Board requested an update of the 2013-14 Research Programme be provided in May/June 2014.

Action: Philip Spotswood to liaise with Orla Bateson re presenting an update.

13.6 The Board thanked Orla and Patrick for developing the Programme, commending them on the level of engagement they had employed. The Board thanked Patrick for his contribution to the Department ahead of his promotion and move to a new department.

14.0 Papers to Note:

14.1.1 **IMB Update – RFI Issues (DB 129-13):** The Board noted the content of the IMB Update.

14.1.2 **Personnel Report (DB 130-13):** The Board noted the report.

14.1.3 **ESU Update (DB 131-13):** The Board noted the ESU update.

15.0 Any Other Business

15.1 Deborah Brown provided feedback from the Leadership Programme session held on 16 December. Feedback was positive and the need to develop support mechanisms, such as a suite of complementary training, and to integrate the DCAL Values into the Programme was highlighted.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 10.00am Tuesday 28th January 2014 in DCAL Boardroom Level 9.

Philip Spotswood

19 December 2013

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
Tuesday 28th January 2014 – 10.00am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Stephen McGowan
Maggie Smith
John West
Sinead McCartan (for Mick Cory)
Arthur Scott (to 11am)
Michael Willis (from 11am)

In attendance: Gillian McAfee
Noel Molloy
Michael O'Dowd
Clodagh Rodgers
Ian Davidson
Jim Magee
Philip Spotswood (minutes)

5.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting. Apologies were received from Marie Mallon and Mick Cory.

6.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared she is a Company Director of 2013 WPFGL Limited.

7.0 Minutes from meeting of 17 December 2013 (DB-M-1-14)

3.1 An amendment will be made to para 11.2. The Board agreed the minutes otherwise. Minutes will be published on the Departmental internet and intranet sites.

8.0 Matters Arising/Action Points (DB-A-1-14)

4.1 The action point table was reviewed. The main points to note were as follows:

4.1.1 **Action (17/12/13 – 7.1.3) ALB Engagement Plan** – Cynthia Smith and Philip Spotswood will meet in February to develop an action plan and take it forward.

4.1.2 **Action (17/12/13 – 7.1.5) A Strategic Programme of Policy Evaluation** – Arthur Scott will develop an evaluation programme and will take this forward.

4.1.3 **Action (17/12/13 – 7.1.6) Board Terms of Reference** – Philip Spotswood will present a new Board Operating Framework at the February Departmental Board.

4.1.4 **Action (6/8/13 – 6.4) DCAL Information Systems Strategy** – this will be covered under item 10 of today's meeting

4.1.5 **Action (22/10/13 – 7.2) Monitoring of Business Plan Targets 2013-14 Quarter 3** – this will be presented at the February Board.

4.1.6 **Action (19/11/13 – 14.2) Board Secretariat** - Peter May and Philip Spotswood will meet in February to finalise the structure and content of the Grid and will discuss future venues and agendas.

5.0 Corporate Risk Register (DB1-14)

5.1 The Board reviewed the current Risk Register (January update).

6.0 Risk Appetite and Draft 2014-15 Risk Register (DB 2-14 – Deborah Brown)

6.1 Deborah Brown outlined the DCAL Risk Management Framework and the Board discussed in detail and agreed levels of risk appetite for each category of risk. It was agreed to tighten the definitions of ‘open’ appetite for each category of risk and that the risk appetite should be amended to ‘hungry’, given our current drive to focus on the priority to PETPSE. The Board agreed the Framework subject to agreed amendments.

6.2 The Board then reviewed the draft 2014-15 Risk Register and agreed that a risk owner and date for actions was required in column 3 in respect of all risks. It was also agreed that risk owners should review residual risks.

Action: Gillian McAfee to co-ordinate.

6.3 The Board agreed that the draft 2014-15 Risk Register contained the appropriate corporate level risks and provides an accurate reflection of the risk profile across the Department.

Action: Risk owners to review risks and provide updates in light of board discussion. Gillian McAfee to present final version of 2014-15 Risk Register to March Board.

7.0 Q2 2013-14 Quarterly Assurance Statements (DB 3-14 – Deborah Brown)

7.1 The Board agreed that the QAS paper would be brought to the attention of the Board as a ‘to note’ paper and considered in light of current risk management. The paper is also considered by the Audit and Risk Assurance Committee and John West reports findings to the Board.

8.0 2014-15 Business Plan (DB 4-14 – Philip Spotswood)

8.1 The Board discussed the latest draft of the 2014-15 Business Plan. It was agreed that the volume of narrative would be reduced and some of the suggested targets would be re-worded. It was agreed to remove some targets from the draft and some alternative targets were suggested.

8.2 A timeline for completion was agreed involving clearance at SMT on Monday 11th February with a view to issuing the final draft to Minister on 15th February.

8.3 It was agreed that the draft would not be shared with ALBs until cleared by the Minister.

Action: Directors to revisit target and amend in light of board discussion. Philip Spotswood to make final amendments and bring to SMT on 11th February.

9.0 Departmental Grid – Peter May

9.1 It was agreed that the Departmental Grid would be reviewed and finalised.

Action: Peter May and Philip Spotswood to discuss in February.

10.0 Departmental IS Strategy Update (DB 5-14 – Maggie Smith)

10.1 Maggie Smith presented an update on the Departmental IS Strategy and informed the Board that John McIntyre will be implementing the high priority actions as soon as possible. The Board agreed that there would be merit in identifying a small number of core principles which can be exemplified by a manageable number of priority actions.

Action: Maggie Smith to amend strategy document and present a 2014-15 action plan to the Board in April.

Maggie Smith to invite John McIntyre to SMT in February.

10.2 The issue of accessing video streaming was raised and it was suggested that there are sound business reasons for staff in DCAL to be able to access this and that DCAL should be availing of opportunities to use this technology, for example on its website.

Action: Maggie Smith to refer this matter to John McIntyre for consideration.

11.0 Stadium Update (DB 6-14 – Noel Molloy)

11.1 Noel Molloy joined the meeting and presented an update detailing progress on the Regional Stadiums.

11.2 The Board noted the progress, discussed the key actions which will be taking place in the weeks ahead and the management of key risks. The Board was also informed of progress with sourcing a successor to Noel Molloy.

11.3 The Board expressed its gratitude to Noel for his work on the Regional Stadiums Programme and the wider supporting work he undertook for DCAL.

12.0 Finance Report (DB 7-14 – Michael O’Dowd)

12.1 Michael O’Dowd and Clodagh Rodgers joined the meeting and Michael presented the Finance Report. The Board noted that there were no significant pressures or easements for the remainder of 2013/14 and any emerging easements will be managed through redeployment to other areas.

12.2 The Board was informed of pressures emerging in 14/15 and that a submission on the capital implications had been issued to the Minister and a submission on the resource position would follow. The board will be kept updated.

12.3 The Board noted prompt payment performance.

13.0 Audit and Risk Assurance Committee Update (DB 8-14 – John West)

13.1 John West provided an update to the Board on the ARAC meeting of 8th January. The update included progress on the following: addressing outstanding audit recommendations; the Internal Audit Progress Report; the revised Internal Audit Charter; the Internal Audit Protocol for Reports; Quarterly Assurance Statements; NIAO Audit Strategy; NIAO Report; Review of Governance Project; and PAC Report on Major Capital Projects.

13.2 The Board indicated they were content to approve the Internal Audit Charter.

14.0 Waterside PPE (DB 9-140 - Ian Davidson)

14.1 Ian Davidson joined the meeting and presented the findings of Economics Unit's post-project evaluation of the Waterside Theatre project. The key outcomes of costs, objectives, user numbers, and income and expenditure were examined. The Board identified the need to assure robust cost estimates and the importance of objectively considering sustainability of grant funded business models in a fiscally difficult environment.

14.2 The board sought ACNI views on the lessons learned and actions being taken.

Action: Arthur Scott to follow up with ACNI.

14.3 Reference was also made to the An Gaelaras PPE that ESU is currently undertaking. John West asked for assurance on the value for money of the £300k included in the construction contract for social clauses.

Action: Ian Davidson to report back to next board.

15.0 Corporate Manslaughter and Corporate Homicide Act 2007 (DB 10-14 – Jim Magee)

15.1 Jim Magee joined the meeting and provided briefing on the above. The Board agreed that a memo should be issued to all DCAL ALBs which outlines responsibilities under the CMCHA 2007 and reminds ALBs of their duty of care to their workforce and to any persons using or visiting premises.

Action: Jim Magee to arrange for memo to be issued to all DCAL ALBs including North-South Bodies.

16.0 IIP Review (DB 15-14 – Jim Magee)

16.1 The Board was informed that the review would commence w/c 10 February.

16.2 The Board noted Jim's forthcoming retirement and thanked him for his contribution to DCAL and to the Board.

17.0 Papers to Note:

17.1.1 **Revised Internal Audit Charter (DB 11-14):** The Board approved the Charter.

17.1.2 **IMB Update (DB 12-14):** The Board noted the report.

17.1.3 **Personnel Report (DB 13-14):** The Board noted the report.

17.1.4 **ESU Update (DB 14-14):** The Board noted the ESU update.

18.0 Any Other Business

18.1 There was no other business.

19.0 Next Meeting

19.1 The Board noted that the next meeting will be held on 10.00am Tuesday 25th February 2014 in House of Sport.

Philip Spotswood

29 January 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 25th February 2014 – 10.00am – 12.50pm

Present: Peter May
Cynthia Smith
Deborah Brown
Stephen McGowan
Maggie Smith
Aidan Cassidy (for Mick Cory)
Arthur Scott
Antoinette McKeown (Sport NI)

In attendance: Linda MacHugh (DoE)
Gillian McAfee
Paul McAllister (DCAL, observer DB 16-14)
Andrew Sloan (Sport NI, observer DB 16-14 and DB 17-
14)
Nick Harkness (Sport NI, observer DB 16-14 and DB 17-
14)
Shaun Ogle (Sport NI, observer DB 16-14 and DB 17-
14)
Philip Spotswood (minutes)

9.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting and thanked SNI for agreeing to host today's meeting. Apologies were received from Mick Cory, Marie Mallon and John West.

2.0 DoE's Local Government Reform Programme (DB 16-14 – Linda MacHugh, DoE)

Linda McHugh delivered a presentation on the Local Government Reform Programme. The key elements of the Local Government Bill were outlined, in particular finance, governance arrangements, powers, functions and duties on councils and government departments. Specific DCAL considerations were covered in the presentation, in particular finalising arrangements for transfer to local government of Armagh County Museum and a number of water recreational facilities, opportunities for performance management/oversight, policy

development considerations, community planning and possible implications for ALB delivery models.

- 2.1 The Board discussed possible implications for DCAL and its ALBs in detail and it was recognised that while they will continue to have essential engagement with the local government sector (through both their own programmes and as part of wider Executive programmes), the changes will introduce many further opportunities for engagement and this will require careful management.

Action: Paul McAllister to provide a short paper summarising functions and assets to be transferred, what arrangements will be made to effect the transfer and any issues that may arise.

Maggie Smith to write to all councils advising them of PRONI's availability to assist with archiving records.

Philip Spotswood to analyse relevant culture, arts and leisure related legislation to establish areas where new councils may have a service delivery role and to consider appropriate performance measures.

Stephen McGowan to develop the local government/ALB (including MAG A+BE) interface in order that the new local government arrangements benefit DCAL's key objectives to the maximum possible extent.

3.0 Sport NI Strategic Update (DB 2-14 – Antoinette McKeown)

- 3.1 Antoinette McKeown delivered a presentation on strategic issues relevant to Sport NI. The presentation covered the interdependencies associated with sport, Sport NI's corporate and business planning, the

role of the *Sport Matters* strategy, governance, engagement with DCAL, enabling partners and managing change. The Board was informed that in regard to change management, work was ongoing with DFP's Business Consultancy Service and that SNI wished to engage with DCAL in this work, in particular in relation to governance issues.

- 3.2 Issues relating to strategic coherence, layering of priorities, and demarcation of roles were discussed and it was agreed that work on SNI's forthcoming Corporate Plan would provide an opportunity for DCAL and SNI to engage closely with a view to bringing greater clarity to these issues.

Action: Mick Cory to discuss 2015/16 financial issues with Antoinette McKeown.

4.0 Declaration of Conflicts of Interest

- 4.1 Cynthia Smith declared she is a Company Director of 2013 WPFGL Limited.

5.0 Minutes from meeting of 28 January 2014 (DB-M-2-14)

- 5.1 An amendment will be made to para 14.3. The Board agreed the minutes otherwise. Minutes will be published on the Departmental internet and intranet sites.

6.0 Matters Arising/Action Points (DB-A-2-14)

- 6.1 The action point table was reviewed. Directors provided assurance that all outstanding actions were progressing.
- 6.2 It was confirmed that action point 28/01/14 – 14.3 (VfM for social clauses) related to the An Gaelaras project.

7.0 Stadium Update (DB 18-14 – Cynthia Smith)

- 7.1 Cynthia Smith provided an update detailing progress on the Regional Stadiums.
- 7.2 The Board noted the progress, discussed key actions which will be taking place in the weeks ahead and the management of key risks. Cynthia informed the Board that DCAL has secured immediate-term support in construction expertise and project management through Rory Miskelly from the Strategic Investment Board and that consideration is being given to the resources required as the Programme enters the next phase.
- 7.3 The Board was updated on progress in relation to social clauses, socio-economic returns and community benefits across all three projects and were informed of the ongoing discussions in relation to the official opening of Ravenhill.

8.0 Corporate Risk Register (DB 19-14 – Gillian McAfee)

- 8.1 Gillian McAfee informed the Board of the work she has carried out on enhancing the Corporate Risk Register, ie reassessment of residual risk ratings, content of action plans, and allocating assignees and action dates.
- 8.2 The Board was content with the ratings provided for each individual risk, but as the Risk Register is currently in transition form, the Board deferred substantive discussion on individual risks until the next Board meeting.

9.0 Compliance 2013 Corporate Governance Code including Board Operating Framework (DB 20-14 – Deborah Brown, Gillian McAfee & Philip Spotswood)

- 9.1 Deborah Brown outlined the findings of the compliance review against the 2013 Corporate Governance Code and informed the Board that DCAL is largely compliant with it though there are some sections of our compliance that can be strengthened. Comments received from John West will be taken on board. The Board endorsed the findings of this exercise.
- 9.2 The Board also discussed how performance of ALBs should best be monitored. It was agreed that the Quarterly Assurance Statement and accountability meetings process were integral parts of ALB performance management as was the fact that DCAL's own Business Plan monitoring requires scrutiny of performance data from ALBs.
- 9.3 Deborah Brown then presented the Board Operating Framework to the Board. Remaining work on the BOF will reflect comments received from John West and will include process maps to clarify areas of delegation of Board activity to relevant committees. Subject to these amendments, the Board was content with the BOF.

Action: Deborah Brown to provide a paper to March Board meeting assessing quality of information provided to the Board and final assessment on compliance against Corporate Governance Code 2013.

Philip Spotswood to provide finalised BOF to March Board meeting.

10.0 DCAL Business Plan 2014-15 Board Sign-Off (Philip Spotswood)

- 10.1 It was agreed that the draft Business Plan would be issued to the Minister on Thursday 27th February and that Directors should submit any final amendments before then.

11.0 Business Plan Monitoring 2013-14 Q3 (DB 21-14 – Philip Spotswood)

11.1 The Board discussed each target where progress was assessed as amber or red. It was agreed that progress against all of these targets was less than anticipated due to factors outside DCAL's control. It was noted that substantive work will be completed on the ALB Review by end March and it was agreed that the Board would discuss the Arts Strategy at its March meeting.

Action: Arthur Scott to prepare a paper on the Arts Strategy for the March Board meeting.

Philip Spotswood to enquire about LNI funding of *Health In Mind* programme.

Philip Spotswood to amend Target 2 to red.

12.0 Papers to Note:

12.1.1 **Finance Report (DB 22-14):** The Board noted the report. Deborah Brown informed the Board that a paper is being prepared in relation to the forthcoming meeting between DCAL Minister and Finance Minister.

The Board noted the Memorandum of Reply in respect of Management of Major Capital Projects.

Action: Deborah Brown to distribute MoR to DCAL ALBs.

12.1.2 **IMB Update (DB 23-14):** The Board noted the report.

12.1.3 **Personnel Report (DB 24-14):** The Board noted the report. The Board was informed that the IIP assessment is now at the data quality assurance stage.

12.1.4 **ESU Update (DB 25-14):** The Board noted the ESU update.

13.0 Any Other Business

13.1 It was agreed that the Board meeting after the next one will be held at ACNI, MacNeice House.

14.0 Next Meeting

14.1 The Board noted that the next meeting will be held on 9.30am Tuesday 25th March 2014 in DCAL, Causeway Exchange.

Philip Spotswood

26 February 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Tuesday 25th March 2014 – 9.30am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Paul Gamble (for Stephen McGowan)
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Angela McAllister
Patricia McCann
Kim Orchard
Michael O'Dowd
Philip Spotswood (minutes)

10.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting. Apologies were received from Stephen McGowan.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared she is a Company Director of 2013 WPFGLimited.

3.0 Minutes from meeting of 25 February 2014 (DB-M-3-14)

3.1 An amendment will be made to para 2.0. The Board agreed the minutes otherwise. Minutes will be published on the Departmental internet and intranet sites.

4.0 Matters Arising/Action Points (DB-A-3-14)

- 4.1 The action point table was reviewed. Directors provided assurance that all ongoing actions were progressing.

5.0 Permanent Secretary's Overview and Departmental Grid

The Board considered the recently updated Departmental Grid and discussed the individual ratings assigned to each key project.

Action: Arthur Scott to provide a short paper to the Departmental Board in May on progress and issues with the Irish Language Bill and Language Strategies.

6.0 Arts & Culture Strategy (DB 26-14 – Angela McAllister)

- 6.1 Angela McAllister and Patricia McCann joined the meeting for this item. Arthur Scott provided the context for this work and outlined the rationale for an Arts and Culture Strategy as a means of furthering the potential of the arts and culture sector as a driver for the broader social and economic goals to which DCAL is committed.
- 6.2 Angela McAllister provided the Board with an update on progress to date, including an assessment of evidence analysed during the initial scoping stage. The fit with other strategies (Departmental and Executive and the CAL Committee's Inquiry into Social Inclusion in the Arts) was outlined and potential benefits of the Strategy were outlined. The Board was invited to comment and to agree to the proposed approach to development of the Strategy.
- 6.3 After discussion, the Board concluded that the Strategy should be 'slim and focused'. Objectives should be clearly set out and the Strategy should also articulate a set of principles which reflect key Departmental objectives, in particular PETPSE. The Board felt it best that the Strategy should act as an overarching framework under which more specific arts and culture strategies developed by others could be accommodated. It

was recommended that the Strategy should also consider relevant activities from other departments and that structural elements of the *Sport Matters* model might be adopted in the development of the Strategy.

7.0 Stadium Update (DB 27-14 – Cynthia Smith)

7.1 Cynthia Smith provided an update detailing progress on the Regional Stadiums.

7.2 The Board noted the progress, discussed key actions which will be taking place in the weeks ahead and the management of key risks and challenges, in particular the work ongoing to ensure that work can commence at Casement Park and Windsor Park. Cynthia informed the Board that the EU decision on State Aid is expected to be issued on 9th April.

8.0 Review of Governance (DB 28-14 – Deborah Brown)

8.1 Cynthia Smith reminded the Board of the background to the Review and the approach taken. The Board commented that the bilateral meetings were a good example of engagement and that continuous engagement with ALBs on these and related issues would be important.

8.2 Deborah Brown outlined the various issues raised during the Review and progress with actions to date. The Board was informed that a new advanced timetable for information requests will be issued to all ALBs w/c 31 March.

8.3 The Board considered detailed proposals to reduce the frequency of assurance statements, proposals to amend the drawdown process, and proposals to streamline the risk assessment review process. The Board endorsed the proposals

Action: Cynthia Smith to write to ALBs regarding the proposals.

8.4 The Board then considered risk assessment for ALBs. It was agreed that on an annual basis senior sponsors will bring forward risk assessments of their ALBs for the Board to scrutinise. It was agreed that this would be tabled at the Board before end 2014 and that GSU would develop a suitable process for this.

Action: Deborah Brown to update guidance and notify ALBs of process;
Deborah Brown to ensure this is reflected in the Sponsorship Guide;
Deborah Brown to present ALB risk assessment paper to Board in late 2014.

8.5 The Board thanked Kim Orchard and the representatives of the participating sponsorship branches.

9.0 Compliance 2013 Corporate Governance Code including Board Operating Framework (DB 29-14 – Deborah Brown)

9.1 Deborah Brown presented a final version of the Review of Compliance with the Corporate Governance 2013 Code. This concluded that DCAL is largely compliant with the Code though there are still some sections of compliance that require strengthening and will be addressed on an ongoing basis. Deborah also presented the final version of the Board Operating Framework. This too will be strengthened during 14/15, in particular to incorporate reference to the Managing Resources Committee and the schedule of delegations. On this basis the Board signed off the Review and the BOF.

9.2 The Board also discussed whether there was appropriate oversight of ALB performance.

It was agreed that an ALB Performance monitoring should be incorporated in end of year assurance statements. This will be included in the guidance. Senior sponsors will then have a formal opportunity assess each ALB's achievement against objectives and their assessment can be relayed to the Board.

Action: Deborah Brown to include paragraph in year-end assurance statements on ALB performance and update guidance.

10.0 ARAC Update (DB 30-14 – John West)

10.1 John West provided an update to the Board on the ARAC meeting of 20th March. The update included progress on the following: appointment of Ciaran Doran; oversight of St Colman's project; outstanding audit recommendations; revised ARAC ToR; Review of Governance, compliance against Corporate Governance Code and new BOF; review of ALB and Divisional QAS; IA Progress Report; PPE Monitoring Report; departmental assets; Use of external consultants.

10.2 The Board was informed that while no formal assurance is provided in respect of North/South bodies, ARAC take comfort from the regular monitoring and engagement frameworks in place.

10.3 The following were noted by ARAC and recommended for endorsement by the Departmental Board:

Revised Risk Management Framework
Revised Audit Strategy
The 2014/15 Annual Audit Plan

10.4 Peter May expressed thanks to John and Marie in respect of their work on the ARAC.

11.0 Risk Register (DB 31-14 – Deborah Brown)

11.1 Deborah reported that each division has now reviewed the new Risk Register and Directors are content with the risks covered, the ratings and risk ownership.

11.2 The Board then considered the 2014-15 Risk Register in detail.

**Action: Deborah to reflect DCAL more in Risk 1;
Deborah to amend rating of treated risk in Risk 2;
Deborah to consider whether any other treated risk ratings require amendment;
Philip Spotswood to ensure that risk ratings are consistent with ratings on Departmental Grid.**

12.0 Finance Report (DB 32-14 – Michael O’Dowd)

12.1 Michael O’Dowd joined the meeting and presented the Finance Report. The Board noted the position regarding the likely final outturn and prompt payment performance. The Board was also informed that the Minister will be meeting the Finance Minister at the end of March to discuss 2014/15 budget matters and potential bids in 2014/15 and 2015/16. The Board noted that the 2015/16 budget planning exercise was already underway.

13.0 Engagement Issues

ALB Engagement Plan (DB 33-14 – Cynthia Smith)

13.1 Cynthia Smith updated the Board on progress with ALB engagement and Philip Spotswood discussed proposals for a series of discussion

events with senior representatives from ALBs and business planning event where sponsor branches and ALBs could work together in the Autumn on laying the foundations for the DCAL and ALB 2015-16 business plans. The Board was also informed that a timetable which will give ALBs advanced notice of routine information requests is nearing completion and will soon be issued.

Action: Philip to further refine proposals and refer to a future SMT.

Staff Conference (DB 34-14 – Deborah Brown)

13.2 Deborah provided the Board with a brief outline of the DCAL Staff Conference to be held on 15th May. The Board were content with the proposals.

14.0 Papers to Note:

14.1.1 **North West Cultural Development (DB 35-14):** the Board noted that the business case is still under development.

14.1.2 **IMB Update (DB 36-14):** The Board noted the report.

**Action: Philip to liaise with IMB to ensure conflict related requests are included in the tables;
Philip to arrange for IMB to present to the Board annually.
Report to include PRONI in future reports.**

14.1.3 **Personnel Report (DB 37-14):** The Board noted the report.

**Action: Philip to liaise with Personnel re correction to PRONI entry in Table A;
Philip to arrange for Personnel Report to presented above the line to the Board annually in addition to the usual monthly reports.**

14.1.4 **ESU Update (DB 38-14):** The Board noted the ESU update.

14.1.5 **Overview DCAL Functions Transferring to Local Government (DB 39-14):** The Board noted the report and it was confirmed that there were no industrial relations issues.

15.0 Any Other Business

15.1 The Board was updated with the latest news on TRIM performance issues.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 13.30pm Thursday 8th May 2014 at MacNeice House, Malone Road Belfast.

Philip Spotswood

28 March 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Thursday 8th May 2014 – 13.30pm – 15.40pm

At Arts Council HQ

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West
Roisin McDonough (Arts Council NI)

In attendance: Trudy Creane
Nick Livingstone (ACNI observer DB 40-14)
Noirin McKinney (ACNI observer DB 40-14)
Lorraine McDowell (ACNI observer DB 40-14)
Philip Spotswood (minutes)

11.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting and thanked ACNI for agreeing to host today's meeting.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith declared she is a Company Director of 2013 WPFGL Limited.

3.0 Permanent Secretary's Overview

3.1 Peter made reference to DCAL's recent IIP Bronze Accreditation, the Creative Industries conference in Derry, the new Special Adviser, and the importance of keeping Minister and SPAD informed of issues as they arise.

4.0 Arts Council NI Strategic Update (DB 40-14 - Roisin McDonough)

4.1 Roisin McDonough delivered a presentation on strategic issues relevant to Arts Council NI. The presentation covered ACNI's 5 Year Plan and its 3 strategic themes; outlined North-South co-operation; organisational and individual grant programmes; organisational performance; communications; and challenges.

4.2 The discussion covered issues of linking with the Department of Education; complementing the school curriculum; interfacing with local government; opportunities for ACNI to support major events; the standard of artistic output organisations funded by ACNI; and Creative Youth Partnerships. Self-sustainability of regularly funded organisations was also discussed.

5.0 Minutes from meeting of 25 March 2014 (DB-M-4-14)

5.1 The minutes from the meeting of 25 March 2014 were agreed.

6.0 Matters Arising/Action Points (DB-A-4-14)

6.1 The action point table was reviewed. Directors provided assurance that all ongoing actions were progressing. It was confirmed that the Waterside PPE is now fully investigated.

Progress against the Board Effectiveness Action Plan to be provided at June Board.

Action: Philip Spotswood

7.0 Departmental Grid

7.1 The Board considered the recently updated Departmental Grid and discussed the individual ratings assigned to each key project.

Correlation with the Departmental Risk Register and the representation of language related projects on the Grid will be reviewed.

Action: Philip Spotswood to review correlation with Risk Register
Arthur Scott to review representation of language related projects

8.0 Departmental IS Strategy (DB 41-14 – Maggie Smith)

8.1 Maggie Smith presented a paper on the Amended IS Strategy. The paper outlined operational arrangements for the delivery of ICT to DCAL; the ICT Governance Board; exploiting ICT opportunities and five core principles of the Strategy. The Board reviewed the proposed DCAL ICT Action Plan for 2014-15 which comprised a selection of actions with a focus on key priorities and innovation. The Board was provided with an assurance that the Action Plan - in detailed format – will be reviewed monthly by the Departmental IT Manager.

8.2 The Board agreed the Amended IS Strategy, including the principles and Action Plan.

Action: Mick Cory to provide a below the line paper for June Departmental Board meeting re DCAL's '16 by 16' commitment (digital provision of fishing licences and permits).

Maggie Smith to report to Departmental Board in April 2015 on progress against 2014-15 Action Plan and provide a 2015-16 Action Plan.

9.0 Stadium Update (DB 42-14 – Cynthia Smith)

9.1 Cynthia Smith provided an update detailing progress on the Regional Stadiums.

9.2 The Board noted the progress with each stadium, and discussed the following: key actions which will be taking place in the weeks ahead; skills capacity; the management of key risks and challenges; social clauses; and spend profiles.

10.0 Internal Audit Strategy and Annual Plans 2012-2015 (DB 45-14 – Trudy Creane)

10.1 Trudy Creane joined the meeting and presented a paper on review of the Audit Strategy and development of the 2014/2015 Internal Audit Plan. The Board was informed that the review resulted in no change to the Strategy (from when it was last approved in September 2013) but the 2014-15 Audit Plan has now been developed. Both documents have recently been endorsed the Audit Committee. The Board considered the amendments and approved the Audit Strategy and 2014-15 Audit Plan.

11.0 Finance Report (DB 43-14 – Deborah Brown)

11.1 Deborah Brown presented the Finance Report. The Board noted the good performance regarding the likely final outturn and with prompt payments. The Board was updated regarding progress with June Monitoring and the 2015-16 planning exercise.

12.0 2014-2015 Risk Register (DB 44-14 – Deborah Brown)

12.1 Deborah Brown reported that the 2014-15 Corporate Risk Register has been updated following the March Board. The Board reviewed the Risk Register.

Action: Stephen McGowan to review Creative Industries risk and assess whether it needs to remain on the Corporate Risk Register.

Stephen McGowan to circulate latest CIIF Evaluation to Peter May for review.

Peter May advised next CIIF Evaluation should be tabled as a Board paper in November.

Stephen McGowan to ensure that future CIIF evaluations are illustrated with case studies in addition to statistical content.

Deborah Brown to ensure all actions listed in the Risk Register are timebound.

12.0 Risk Management Framework (DB 46-14 – Deborah Brown)

12.1 Deborah Brown informed the Board that, in line with other NICS departments, the risk appetite in relation to information management should be 'open', with the caveat that for managing sensitive information the risk appetite will be 'cautious'. The Board approved this approach.

13.0 Departmental Assurance Statements (DB 47-14 – Deborah Brown)

13.1 Deborah Brown informed the Board that during the review of governance statements the frequency of ALB assurance statements was reduced to twice a year. In line with this, it is recommended that the Department follow the same approach.

13.2 The Board considered the proposal and agreed that the frequency of divisional/branch assurance statements be changed from quarterly to biannually.

14.0 Update on Key Language Issues (DB 48-14 – Arthur Scott)

14.1 Arthur Scott updated the Board on progress made on proposals for the Irish Language Bill, the draft Language strategies and the Language Academies.

14.2 The Board noted the progress made, the next steps and likely resource implications.

15.0 Papers to Note:

15.1.2 **Guidance Update on Gifts & Hospitality and Conflicts of Interest (DB 49-14):** The Board noted and endorsed the updated guidance for distribution to Departmental officials and publication on the internet and intranet.

15.1.3 **North West Cultural Development (DB 50-14):** The Board noted the report.

15.1.4 **IMB Update – RFI Issues (DB 51-14):** The Board noted the update.

15.1.5 **Personnel Report (DB 52-14):** The Board noted the report.

15.1.6 **ESU Update (DB 53-14):** The Board noted the update.

16.0 Any Other Business

16.1 There was no other business.

17.0 Next Meeting

17.1 The Board noted that the next meeting will be held on 13.00pm
Wednesday 28th May 2014 at DCAL Boardroom, Level 9 Causeway
Exchange.

Philip Spotswood

13 May 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Wednesday 28th May 2014 – 13.00pm – 15.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Gillian McAfee
Michael O'Dowd
Damien Rea
Orla Bateson
Gillian Callan
Hilary Harbinson
Philip Spotswood (minutes)

12.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting. Apologies were received from Stephen McGowan.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith's status as Company Director of 2013 WPFGL Limited was noted.

3.0 Minutes from meeting of 8 May 2014 (DB-M-5-14)

3.1 The minutes from the meeting of 8 May 2014 were agreed.

4.0 Matters Arising/Action Points (DB-A-5-14)

- 4.1 The action point table was reviewed. It was agreed that the two action points relating to local government reform (consideration of monitoring and interfacing with the new councils) would be combined.

Action: Philip Spotswood to liaise with Stephen McGowan and produce a paper covering these issues for September Board meeting.

5.0 Permanent Secretary's Overview and Departmental Grid.

- 5.1 Peter May provided the Board with a brief analysis of wider political issues and the Board noted the latest ratings contained in the Departmental Grid.

6.0 Audit & Risk Assurance Committee Update (John West)

- 6.1 John West provided an update to the Board on the ARAC meeting of 27th May. The update included progress on the following: the Internal Audit Annual Assurance Statement; analysis of fraud; Governance Statement; Quarterly Assurance Statements; DCAL Annual Report and Accounts; PPEs; ARAC Review of Effectiveness; Policy on Hospitality and Conflicts of Interest.

- 6.2 John reported that ARAC reviewed the DCAL Annual Report and Accounts (except for the management commentary section) and recommended them to the Board. Finance Branch was commended for completing the accounts within the deadline.

7.0 DCAL Annual Report and Accounts – Board Sign Off (DB 54-14 – Philip Spotswood/Gillian McAfee/Michael O'Dowd)

- 7.1 Philip Spotswood outlined the coverage of the Management Commentary section. The Board reviewed the commentary and discussed the following: layout and visual representation; inclusion of

context in the narrative; mention of complaint outcomes; commentary on social clauses target; sequencing of narrative sections.

- 7.2 Subject to making the above improvements, the Board was content with the Management Commentary section.
- 7.3 Gillian McAfee outlined the Governance Statement. The Board reviewed this and discussed minor amendments suggested by ARAC. It was noted that this will be further updated before finalisation to reflect the most recent position on stadiums and N/S bodies.
- 7.4 The Board was content with the amendments to the Governance Statement.
- 7.5 Michael O'Dowd outlined the structure and purpose of the annual accounts.
- 7.6 The Board was content with the Annual Accounts subject to any finalization amendments which may need to be made.

8.0 The Gaeltacht Quarter Programme (DB 55-14 – Damien Rea)

- 8.1 Arthur Scott outlined the background to this Programme, then Damien Rea presented a paper detailing the Programme's main capital projects, other projects, partnership working, governance arrangements, and funding issues.
- 8.2 The Board discussed how the Programme might best act as a catalyst for further developing business, culture, arts and sport in Belfast and examined in particular the following aspects: the challenge of making progress while managing expectations; identification of a 'critical few' actions; sequencing and integration of programme strands; sustainability; relationship with community planning.

9.0 Annual Report of the Deputy Keeper of the Records 2013-14 (DB 56-14 – Maggie Smith)

9.1 Maggie Smith outlined to the Board the draft PRONI Report of the Deputy Keeper of the Records for 2013-14 and sought comments from the Board. The Board reviewed the draft Report and discussed the following: the prominence of north-south and PETPSE work; the Londonderry Papers; disposal schedules; and the use of technical language.

9.2 Subject to these minor amendments, the Board was content that the Report be submitted to DCAL Minister, then to the First Minister and Deputy First Minister.

10.0 Research Programme Update (DB 57-14 – Orla Bateson and Gillian Callan)

10.1 Orla Bateson and Gillian Callan joined the meeting and Orla provided an update on the DCAL Research Programme to the Board. The update covered the following: background; output; engagement; uses of the Research Programme; and potential ways of increasing the use of research in DCAL.

10.2 In the discussion which followed, Gillian pointed out that the evidence base around PETPSE is major growth area. Other possible projects/uses were discussed including: the economic value of culture, arts and leisure; the impact of culture, arts and leisure in the Executive's wider objectives; the needs section of business cases; evaluations; performance management; and policy assurance.

10.3 The Board noted the greater integration of research and statistics into Departmental business; the importance of user engagement; the balance between research and statistics; the need to be able to

demonstrate success or failure through statistics; and the frequency of reviews of the Research Programme.

11.0 Sickness Absence Management (DB 61-14 – Hilary Harbinson)

11.1 Hilary Harbinson joined the meeting and provided an overview of DCAL’s performance on sickness absence management during 2013-14, including: the estimated outturn; line management compliance; an update on the implementation of the audit recommendations; and an evaluation of the effectiveness of DCAL workplace health initiatives.

11.2 The Board discussed these issues and identified that an innovative approach was best to tackling this issue.

Action: Hilary Harbinson to:

Continue with management action and draw on good practice from elsewhere; and

Issue a note on managing attendance to all DCAL staff, recognising good performance to date and drawing attention to the targets for 14/15.

12.0 Finance Report (DB 58-14 – Michael O’Dowd)

12.1 Michael O’Dowd presented the Finance Report. The Board noted the good performance regarding the likely final outturn and with prompt payments. Issues relating to the June monitoring exercise, the 2015-16 Planning Exercise and the Capital Planning Exercise were noted.

13.0 2014-2015 Risk Register (DB 59-14 – Deborah Brown)

13.1 Deborah Brown reported the recent amendments to the Corporate Risk Register following the May 8 Board meeting. The removal of the CIIF risk was agreed.

13.2 The Board discussed an issue raised at yesterday's ARAC about whether a risk exists around the number of DCAL ALBs. The Board was satisfied that risk relating to governance controls is adequately covered in the CRR as it currently stands.

14.0 Fraud Risk Analysis (DB 60-14 – Deborah Brown)

14.1 Gillian McAfee presented a short paper on the above and outlined how fraud risk would be considered at the start of each financial year and managed throughout the year, rather than reviewed at year-end.

14.2 The Board endorsed this approach. The Board considered findings from the May 2014 analysis and noted that any significant fraud risks had been escalated appropriately.

15.0 Stadium Update (DB 62-14 – Cynthia Smith)

15.1 Cynthia Smith provided an update detailing progress on the Regional Stadiums.

15.2 The Board noted the progress with each stadium and discussed the key actions which will be taking place in the weeks ahead and the management of key risks and challenges, including the Judicial Review which is now scheduled for September.

16.0 Papers to Note:

16.1.2 **Summary of Conflicts of Interest (DB 63-14):** the Board noted this paper.

16.1.3 **Proposed Policy Evaluation Programme (DB 64-14):** The Board noted the report, and the contribution made by Orla Bateson and Michael Willis. The Board noted that PEPSE and creative industries should be included as policies, while some of the items mentioned in the report were programmes rather than policies.

16.1.4 **IMB Update – RFI Issues (DB 65-14):** The Board noted the update.

Action: Philip Spotswood to ensure future IMB Updates list the volume of outstanding requests made to PRONI.

16.1.5 **Personnel Report (DB 66-14):** The Board noted the report. The Board noted that preparations were underway for roll-out of the Leadership Programme to the remainder of DCAL staff. The Board also noted performance with completion of performance appraisals.

Action: All Directors to ensure annual reports are completed.

16.1.6 **ESU Update (DB 67-14):** The Board noted the update and list with outstanding PPEs. Grouping of the MAGUS PPEs - as many are small scale - was suggested.

Action: Gillian Callan to group, where possible, related MAGUS PPEs in next ESU Update.

17.0 Any Other Business

17.1 There was no other business.

18.0 Next Meeting

18.1 The Board noted that the next meeting will be held on 9.30am Thursday 24th June 2014 at Libraries NI, Lisburn City Library, 23 Linenhall Street, Lisburn.

Philip Spotswood

2 June 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

LISBURN CITY LIBRARY

Tuesday 24 June 2014 – 10.00am – 12.30pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West
Irene Knox (Libraries NI)

In attendance: David Huddleston
Aidan Cassidy
Michael O'Dowd
Gillian McAfee
Philip Spotswood (minutes)

13.0 Welcome and Apologies

1.1 Peter May thanked Libraries NI for acting as hosts and welcomed everyone to the meeting.

2.0 Declaration of Conflicts of Interest

2.1 Cynthia Smith's status as Company Director of 2013 WPFGL Limited was noted.

3.0 Minutes from meeting of 28 May 2014 (DB-M-6-14)

3.1 The minutes from the meeting of 28 May 2014 were agreed.

4.0 Matters Arising/Action Points (DB-A-6-14)

4.1 Progress against all action points was noted.

5.0 Libraries NI Strategic Update (DB 68-14 - Irene Knox)

5.1 Irene Knox delivered a presentation on strategic issues relevant to Libraries NI. The presentation covered the following: an outline of operational changes since 2009; an overview of LNI's Corporate Plan 2015-20 key strategic issues; participation metrics; LNI's approach to promoting equality, tackling poverty and social exclusion; improvements to delivery (including e2); the Belfast Central Library Redevelopment Project; funding; and sustainable delivery.

5.2 The discussion covered issues relating to the unifying of organisational culture; funding and whether there was potential to contract out services; the cost/benefits of outreach; e2 and IT infrastructure succession planning; LNI's partnership agenda.

5.3 The Board thanked Irene for her presentation.

6.0 Permanent Secretary's Overview and Departmental Grid.

6.1 Peter May provided the Board with a brief analysis of wider financial issues, including the latest news from the June monitoring round which has not yet been finalised. The Board discussed the financial risks around key Departmental projects. The Board noted the latest ratings contained in the Departmental Grid.

7.0 PRONI Conflict Related Material DB 69-14 – David Huddleston)

7.1 David Huddleston joined the meeting. Maggie Smith provided an introduction to the issues around PRONI releasing conflict related material and explained the complex reasons leading to the current backlog of requests being processed, and the need to exercise care and sensitivity with disclosure.

7.2 David Huddleston informed the Board of the volume of requests for conflict related material currently being processed, the protocol for releasing the information, how electronic scanning and redaction were employed, and recent engagement with the Information Commissioner's Office.

7.3 The Board discussed the options of disclosing the information under the Fol Act and moving outside the Fol Act. The implications for disclosure and processing time under each approach were considered.

8.0 DCAL'S '16 by 16' Commitment (DB 70-14 – Aidan Cassidy)

8.1 Aidan Cassidy joined the meeting. Mick Cory provided an introduction to digital modernisation of the fishing licence and permit system.

8.2 Aidan Cassidy informed the Board of the current volume and value of transactions regarding licences and permits, engagement with NI Direct and DRD Information Systems Branch in scoping the project, resourcing the project, outline timetable, and work ongoing with the Loughs Agency and Inland Fisheries Ireland to assess the potential of an all-Ireland electronic licensing system.

8.3 The Board discussed the likely benefits of digitisation and marketing opportunities.

9.0 Board Effectiveness / Engagement Issues (DB 71-14 – Philip Spotswood)

9.1 This paper was rescheduled to the August Board meeting as it was not circulated in time to the Board.

10.0 Finance Report (DB 72-14 – Michael O'Dowd)

10.1 Michael O'Dowd and Gillian McAfee joined the meeting. Deborah Brown provided a brief synopsis of the June monitoring position and Michael O'Dowd presented the Finance Report. The Board noted the main issues arising from June monitoring which is yet to be finalised and were informed of interim measures being taken in the Department in light of these. The Board also noted progress with 2015-16 Planning Exercise, the Reform of Property Management Project and prompt payment performance.

Action: Michael O'Dowd to provide paper on the 2015-16 exercise to the Board in September.

11.0 Final DCAL Annual Report & Accounts (DB 73-14 –Gillian McAfee/ Michael O'Dowd)

11.1 Deborah Brown informed the Board of DFP's view of grant payments to North-South bodies by departments. The Board agreed that the Department's Governance Statement and Accounts should reflect this spend as irregular.

11.2 The Board identified some minor amendments to be made and subject to these being made were content to sign-off the Annual Report and Accounts.

11.3 The Board recorded its thanks to those involved in compiling the Annual Report and Accounts.

12.0 Chair of ARAC's Annual Report (DB 75-14 – John West)

12.1 John West presented an overview of the ARAC Annual Report. He informed the Board that the report concluded that governance was strong in the Department, and risk control and assurance arrangements were working effectively. The good support from Governance Support Unit was noted, as was the useful function performed by Internal and

External Audit. The Board was advised that further options to strengthen assurance should be considered for North/South bodies.

12.2 John also informed the Board that ARAC fully supports the Governance Statement.

13.0 2014-2015 Risk Register (DB 74-14 – Gillian McAfee)

13.1 This was not discussed due to pressures of time and will be next discussed at the August Board meeting.

14.0 Papers to Note:

14.1.2 **NICS Live (DB 76-14):** the Board noted this paper.

14.1.3 **Development of an Arts Strategy (DB 77-14):** the Board noted this paper.

14.1.4 **IMB Update – RFI Issues (DB 78-14):** The Board noted the update.

14.1.5 **Personnel Report (DB 79-14):** The Board noted the report.

14.1.6 **ESU Update (DB 80-14):** The Board noted the update.

15.0 Any Other Business

15.1 There was no other business.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 9.30am Tuesday 5th August 2014 at DCAL Boardroom, Level 9 Causeway Exchange.

Philip Spotswood

27 June 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

CAUSEWAY EXCHANGE

Tuesday 5 August 2014 – 9.35am – 12.45pm

Present: Peter May
Cynthia Smith
Deborah Brown
Mick Cory
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Patrick McMeekin (SIBNI)
Michael O'Dowd
Clodagh Rodgers
Stephen Fitzgerald
Paul Gamble
Philip Spotswood (minutes)

14.0 Welcome and Apologies

1.1 Peter May welcomed everyone to the meeting. There were no apologies.

2.0 Financial Transactions Capital (FTC) (DB 81-14 - Patrick McMeekin)

2.1 Patrick McMeekin of the Strategic Investment Board NI delivered a presentation on Financial Transactions Capital. The presentation covered the following: outline of the concept; availability; benefits and challenges; legal, state aid and procurement issues; possible opportunities for DCAL.

- 2.2 The Board discussed the potential to harness FTC in respect of major recent and current projects, in particular focusing on the added procurement and administration complexities, risk matrix and ability of potential recipients to repay.

Complexities in the use of FTC for DCAL initiatives was recognised although there are some discussions taking place on specific issues. Patrick highlighted that where more than 50% is funded through FTC the asset will need to come onto the Department's books.

3.0 Declaration of Conflicts of Interest

- 3.1 Cynthia Smith's status as Company Director of 2013 WPFGL Limited was noted.

4.0 Minutes from meeting of 24 June 2014 (DB-M-7-14)

- 4.1 The minutes from the meeting of 24 June 2014 were agreed.

5.0 Matters Arising/Action Points (DB-A-7-14)

- 5.1 Progress against all action points was noted.

6.0 Permanent Secretary's Overview and Departmental Grid.

- 6.1 Peter May informed the Board that Mick and Deborah would be leaving DCAL to take up senior posts in other departments. He thanked them - on behalf of the Board - for their lengthy and excellent service to the Board. This was seconded by Marie and John who thanked Mick and Deborah for their experience and helpfulness.

- 6.2 Peter provided a brief overview of the outcomes to June Monitoring and the Departmental Grid was reviewed in light of these outcomes.

7.0 2015-16 Business Plan (DB 83-14 – Philip Spotswood)

- 7.1 Philip Spotswood provided the Board with a proposed outline approach to the 2015-16 business planning process. This combined both ‘top-down’ and ‘bottom-up’ elements. Central to the proposed approach was greater engagement with all staff in the Department (in the form of a series of HoB-led branch meetings) and with ALBs (in the form of supporting ALBs in compiling their business plans through bilateral engagement between ALBs, sponsor branches and Corporate Strategy Unit in the autumn). The DCAL Business Plan would again have a focus on delivering the PETPSE agenda, in particular through partnership working. It was envisaged that the Business Plan would be signed-off by the Board in December.
- 7.2 The Board discussed the proposed approach, in particular the following: the need for the Board to lead the process (in particular in signing-off on the planning assumptions and providing support at key stages); the importance of full and meaningful engagement; the importance of striking a balance between the proposed ‘top-down’ and ‘bottom-up’ approaches; involvement of sponsor branches when engaging with ALBs; and the importance of communicating principles/high level objectives and planning assumptions to ALBs in September. The Board agreed that it should review ALB business plans.
- 7.3 The Board agreed that the final draft of the Plan should not be issued to the Minister until the budget is clear. It is expected that consultation on 2015/16 budget will be taken forward by DFP in the autumn.
- 7.4 Processing of North-South Body business plans – drafts of which are due to be submitted to DFP by end August - was also discussed. It was

agreed that Corporate Strategy & North South Unit will review these and engage with the relevant sponsor branches as appropriate.

Action: Philip Spotswood to provide paper to September Board covering planning assumptions, outline structure and priorities, and other related matters for DCAL Business Plan 2015-16.

Action: Directors to inform HoBs that branches should meet in late September/October to discuss the structure, content and related matters of the DCAL Business Plan and again in November. CS&NSU will issue a note on these in due course.

Action: Philip Spotswood to make arrangements for Board to review ALB Business Plans

8.0 2015-16 Budget and Update on In-Year Position (DB 84-14 – Michael O’Dowd)

8.1 Michael O’Dowd and Clodagh Rodgers joined the meeting. Deborah Brown informed the Board of the outcomes of the June Monitoring Round, outlining the resource and capital implications for the 2014/15 budget and how ALBs will be informed of these. The Board also noted position on the 2015/16 budget planning exercise and prompt payment performance.

8.2 Deborah thanked Michael O’Dowd, Clodagh Rodgers, Helen Warrington and the rest of the finance team for the detailed work carried out to date on budgeting.

Action: Michael O’Dowd to provide a paper to the September Board, detailing how the Department plans to meet the 4.4% savings required and further pressures.

9.0 2014-2015 Risk Register (DB 85-14 – Deborah Brown)

9.1 The Board considered each item in the risk register in detail. The Board was content that there were no additional risks to be added to the register, nor any to be removed.

Action: Deborah Brown to include N-S business plans in Risk 1 and update elements of action plans for Risks 2 and 3;

Maggie Smith to review actions for Risk 8;

Stephen McGowan to outline how we are developing a coherent programme on City of Culture Legacy.

Mick Cory to review actions for Risk 9;

Cynthia Smith to reflect delivery risks for Risk 10;

Arthur Scott to specify deliverables for Risk 11.

10.0 Stadiums Update (DB 86-14 –Cynthia Smith)

10.1 Cynthia Smith provided an update detailing progress on the regional stadiums.

10.2 The Board noted the progress with each stadium and discussed the key actions which will be taking place in the weeks ahead and the

management of key risks and challenges, including the Judicial Review which is scheduled for September.

Rory Miskelly has now taken up the full-time post of Stadium Director.

11.0 Board Effectiveness/Engagement Issues (DB 82-14 – Philip Spotswood)

11.1 Stephen Fitzgerald and Paul Gamble joined the meeting. Philip Spotswood presented a brief update on progress with engagement initiatives, both within DCAL and with ALBs. Stephen McGowan highlighted that the Learning Strategy can provide further opportunities for engagement and that he and Paul Gamble are in the process of identifying further opportunities for cross-cutting work, in particular in support of the PETPSE agenda. A formal paper on collaboration will be provided by Stephen McGowan.

12.0 Staff Engagement Forum – Action Plan (DB 90-14 – Stephen Fitzgerald & Paul Gamble)

12.1 Stephen Fitzgerald presented a paper outlining the Staff Engagement Forum's Action Plan which draws on findings from the most recent staff survey and feedback from the Leadership Programme, staff conference, and IIP assessment. The Plan focuses on areas where the evidence suggests DCAL can improve. Stephen outlined various initiatives – already underway or planned - listed in the Plan under the following headings: internal communication; corporate purpose and objectives; work; organisational culture and efficiency; reward and recognition; learning and career development; senior management; managing change; taking action; and working in DCAL.

12.2 The Board welcomed the suggested actions but pointed out that some of them need to be more definitive and specific. The Board noted the importance of providing engagement opportunities so that engagement

can grow organically in a sustainable way and considered actions that it and senior managers might be able to take. Attendance by SMT members at HOB meetings was suggested and SMT agreed that individuals should feel empowered and supported to promote innovation and encourage collaboration. This is also a continuation of FED and examples already exist where this has been successful, such as AQs. This could also be formalised along the lines of the previous NICS Ideas Scheme.

- 12.3 The Board thanked Stephen and Paul and the wider Staff Engagement Forum for their work on the Action Plan.

Action: Stephen McGowan and Peter May to discuss development of an “Ideas Lab”.

13.0 Papers to Note:

- 13.1 **IMB Update – RFI Issues (DB 87-14):** The Board noted the update.

- 13.2 **Personnel Report (DB 88-14):** The Board noted the report.

- 13.3 **ESU Update (DB 89-14):** The Board noted the update.

Action: Mick Cory to enquire about 2008 SNI PPEs.

14.0 Any Other Business

- 14.1 There was no other business.

15.0 Next Meeting

- 15.1 The Board noted that the next meeting will be held on 9.30am Tuesday 16th September 2014 at National Museums NI.

Philip Spotswood

August 2014

**MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
CAUSEWAY EXCHANGE**

Tuesday 16 September 2014 – 10.00am – 12.45pm

Present: Peter May
Cynthia Smith
David Carson
Fergus Devitt
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Tim Cooke (NMNI)
Jude Helliker (NMNI item 2)
Pamela Baird (NMNI item 2)
Paul Sheridan (NMNI item 2)
Paddy Gilmore (NMNI item 2)
Rory Miskelly
Michael O'Dowd
Gillian McAfee
Philip Spotswood (minutes)

15.0 Welcome and Apologies

1.1 Peter May thanked NMNI for acting as hosts and welcomed everyone to the meeting, in particular to DCAL's new Directors Fergus Devitt and David Carson, and to Rory Miskelly, head of DCAL's Capital Delivery Unit. There were no apologies.

16.0 National Museums NI Strategic Update (DB 90-14) Tim Cooke

2.1 Tim Cooke delivered a presentation on strategic issues relevant to National Museums NI. The presentation covered the following: performance; funding; link to Executive and DCAL priorities; social

inclusion; learning; tourism; current and future challenges; new strategies; potential longer term future strategies.

2.2 The discussion covered issues relating to clarity of priorities; partnership working; structure of the expenditure profile; audience development; resourcing constraints.

2.3 The Board noted the good work carried out by NMNI in respect of social inclusion.

3.0 Declaration of Conflicts of Interest

3.1 Cynthia Smith's status as Company Director of 2013 WPFGL Limited was noted.

4.0 Minutes from meeting of 5 August 2014 (DB-M-8-14)

4.1 The minutes from the meeting of 5 August 2014 were agreed.

5.0 Matters Arising/Action Points (DB-A-8-14)

5.1 Progress against all action points was noted. Peter thanked Directors for ensuring a high completion rate in respect of staff appraisals. He asked that all remaining reports and Personal Performance Agreements be completed as a matter of urgency.

Action: David Carson to arrange for letter to issue to Directors re outstanding PPAs.

David Carson to inform November Board meeting of completion rates for Mid-Year Reviews.

6.0 Permanent Secretary's Overview and Departmental Grid.

6.1 Peter mentioned that the dominant issue was finance and that this would be discussed at an extended Board meeting in October. The Board was content with the assessments contained in the Departmental Grid.

Action: Cynthia Smith to provide paper to November Board on TBUC progress.

Philip Spotswood to ensure TBUC is further embedded in business planning process.

7.0 Stadiums Update (Verbal – Rory Miskelly)

7.1 Rory Miskelly provided a verbal update detailing progress on the regional stadiums.

7.2 The Board noted the progress with each stadium and discussed the key actions which will be taking place in the weeks ahead and the management of key risks and challenges, including the Judicial Review.

8.0 New Local Government Arrangements – Preparations for Community Planning (DB 91-14 – Stephen McGowan)

8.1 Stephen McGowan outlined the arrangements for community planning and its relevance to DCAL's strategic aims. A process for engaging with councils was proposed which involves promoting the DCAL Family 'offering' to the councils and demonstrating how DCAL operations can be relevant to each new council. This will be based on DCAL keeping itself informed of emerging community plans, strategic priorities and business plans of the new councils.

8.2 The discussion examined the need to create a framework to facilitate engagement, NMNI's relationship with community planning, learning from the Scottish experience, how to develop the DCAL 'Family' concept, and the role of the Ministerial Advisory Group on Architecture and the Built Environment which is already successfully engaging with councils.

9.0 Finance Report & Addressing 2014-15 Budget Pressures (DB 92-14 & DB 93-14 – Michael O'Dowd)

9.1 Michael O'Dowd joined the meeting and informed the Board that the Minister had approved the allocation of all additional funding received through June monitoring. The Board was also informed of the October monitoring arrangements.

9.2 The Board discussed the reductions likely to be required in the remainder of 2014-15 and those to be planned for 2015-16.

Action: Michael O'Dowd to conduct a further in-year exercise to manage 2014-15 reductions.

10.0 Business Planning Assumptions for Agreement (DB 94-14 – Philip Spotswood)

10.1 The Board considered this paper and agreed that business planning assumptions, including an assumption on available funding, would be finalised for SMT on Monday 22 September. It was agreed that PETPSE would remain the key objective and that the forthcoming business plan would be more strategic in outlook and contain fewer targets. It was also agreed that planning assumptions would be shared with ALBs.

Action: Philip Spotswood to provide a short paper to SMT covering the above and related matters.

11.0 Audit & Risk Assurance Committee (Verbal – John West)

11.1 John West provided an update to the Board on the ARAC meeting of 11th September. The update summarised ARAC's deliberations on the following: the Internal Audit progress report; audit recommendations target dates; NI Audit Office qualifications; gaps in compliance with the corporate governance code (ARAC noted this); fraud prevention policy, fraud response plan and raising concerns policy (ARAC recommended these policies); post project evaluation update; single tender actions; budget pressure impacts. He highlighted the need to show greater progress in a timely fashion against outstanding audit recommendations. The Board discussed the number of overdue priority one audit recommendations and because the majority of these belonged to Sport, Museums and Recreation Division, ARAC has requested that the Director of SMR attend the next ARAC to provide an update on what is being done to address these outstanding recommendations. He confirmed that the Committee's new member - replacing Julie Thompson - is Heather Cousins of the Department of Employment and Learning.

12.0 2014-2015 Risk Register (DB 95-14 – Gillian McAfee)

12.1 Gillian McAfee joined the meeting. Pending further discussions on finance, the Board limited its review to an assessment of treated risks contained in the Register. The Board was content that these are accurately reflected in the Risk Register. The Risk Register will be scrutinised in more detail after next month's Board meeting.

13.0 Review & Action Plan on Gaps in Compliance with 2013 Corporate Governance Code (DB 96-14 – Gillian McAfee)

13.1 Gillian McAfee presented an update on the Action Plan and progress was noted by the Board.

14.0 Papers to Note:

14.1 **Revised Fraud Policies (DB 97-14):** The Board endorsed these policies.

Action: Gillian McAfee to arrange for key lessons document to be issued alongside finalised documents.

14.2 **Operation Delivery Profession (DB 98-14):** The Board noted the progress report.

14.3 **North West Cultural Development (DB 99-14):** The Board noted the update.

14.4 **IMB Update – RFI Issues (DB 100-14):** The Board noted the update.

14.5 **Personnel Report (DB 101-14):** The Board noted the report.

14.6 **ESU Update (DB 102-14):** The Board noted the update.

Action: Ian Davidson to review format for future reports

14.7 **2013/14 Test Drilling (DB 103-14):** The Board noted the report.

14.8 **Single Tender Action (DB 104-14):** The Board noted the report.

15.0 Any Other Business

15.1 There was no other business.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 9.30am Tuesday 28th October 2014 at PRONI (now changed to the Glasshouse, Stormont).

Philip Spotswood

17 September 2014

28 October 2014 – DCAL Departmental Board

A budget planning workshop was held on Tuesday 28 October involving the Departmental Board. The Board agreed that as the workshop was unable to conclude in time for the October Departmental Board scheduled for 1pm on the day, October Board business would be subsumed to November and December Departmental Boards as necessary.

**MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
CAUSEWAY EXCHANGE**

Tuesday 18 November 2014 – 10.00am – 12.45pm

Present: Cynthia Smith (Chair)
Barney McGahan
David Carson
Fergus Devitt
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West
Richard Williams (NI Screen)

In attendance: Paul Wickens, Enterprise Shared Services - Presentation
Caron Alexander, Enterprise Shared Services -
Presentation
Johnny Davis, (DB 117-14)
Joanna McConway, (DB 118-14)
Michael O'Dowd, (DB 119-14)
Gillian McAfee, (DB 120-14)
John Hinds
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Cynthia Smith thanked Richard for NI Screen acting as hosts and welcomed everyone to the meeting, in particular Barney McGahan, the Department's new Deputy Secretary.

1.2 Due to urgent and unforeseen Departmental business Cynthia, David, Arthur and Maggie were required to leave the meeting. Barney chaired the meeting in Cynthia's absence.

2.0 NI Screen Strategic Update (Richard Williams)

2.1 Richard Williams delivered a presentation on strategic issues relevant to NI Screen. The presentation provided insight into NI Screen's

integrated strategy covering themes of economy, culture and education: sectoral priorities; the animation sector; developing a rounded 'ecosystem' in respect of local screen industry; nurturing local talent; education and outreach (including targeting poverty and social exclusion); resourcing; challenges for the local screen sector.

- 2.2 The ensuing discussion covered issues relating to costs; managing talent in the sector; and NI Screen's role in the wider creative pipeline.

3.0 Digital Transformation Programme

- 3.1 Paul Wickens and Caron Alexander joined the meeting and delivered a presentation on Enterprise Shared Services' NI Digital Transformation Programme. The presentation covered: governance structures; achievements to date; progress with the '16 by 16' initiative; the Digital Transformation Service.

- 3.2 The ensuing discussion covered issues relating to the future of face-to-face service; the need to maintain telephone enquiry lines; working with service providers; evaluation of business cases; and implications for workforce.

- 3.3 Fergus Devitt thanked Paul and Caron for the support provided in respect of Inland Fisheries' 16 by 16 project.

4.0 Declaration of Conflicts of Interest

- 4.1 No conflicts of interest were declared.

5.0 Minutes from meeting of 16 September 2014 (DB-M-10-14)

- 5.1 The minutes from the meeting of 16 September were agreed.

6.0 Matters Arising/Action Points (DB-A-10-14)

6.1 Progress against all action points was noted.

7.0 Departmental Grid

7.1 The Board was content with the assessments contained in the Departmental Grid.

8.0 2014-15 Business Plan Monitoring – Q1 and Q2 (DB 116-14)

8.1 Philip Spotswood presented a paper outlining progress against the Department's Business Plan targets during quarters 1 and 2 of 2014-15. The Board queried several of the RAG ratings and noted that the reporting against some of the targets did not provide sufficient detail to provide the Board with an assurance that progress was as stated. It was also noted that overall there was too much material contained within the paper and its appendices.

Action: David Carson and Barney McGahan to consider content and format of the Business Plan monitoring paper.

9.0 Together Building a United Community (TBUC) (DB 117-14)

9.1 Fergus Devitt provided the Board with background to the TBUC initiative. Johnny Davis described the Cross-Community Sports Programme, outlined the format, content and anticipated outcomes of the Programme and informed the Board of progress to date.

9.2 The ensuing discussion covered issues of TBUC as an Executive and Departmental priority, funding, sustainability, and identification of possible further partners. The significant work and engagement to date, and the potential of the pilot programme, were noted by the Board.

10.0 North West Cultural Development Update (DB 118-14)

10.1 Stephen McGowan provided the Board with background to the North West Cultural Development Programme. Joanna McConway described the work completed to date, resourcing, and progress in developing of interventions which promote longer term impacts.

10.2 The ensuing discussion covered issues of the longer-term support for the programme, allocation of responsibility regarding thematic interventions (e.g. sport), risks to the programme, and relationships with district councils. The Board agreed that the programme is a good example of bringing together multiple Departmental interventions and working in partnership with a wide range of stakeholders.

11.0 Finance Report (DB 119-14)

11.1 Michael O'Dowd presented the finance report which included analysis of year to date spend, October monitoring update, proposals for January monitoring, capital, and progress with the 2015/16 draft budget. The Board noted the prompt payment performance.

12.0 2014-2015 Risk Register (DB 120-14)

12.1 Gillian McAfee informed the Board that the Corporate Risk Register had undergone its monthly update. The Register was not discussed in detail as key risk owners were not at this part of the Board meeting.

Action: John West to correspond with risk owners in relation to specific issues.

13.0 Papers to Note:

13.1 **Asset Management Plan 14/15 (DB 121-14):** The Board approved the Asset Management Plan.

- 13.2 **IMB Update – RFI Issues (DB 122-14):** The Board noted the update.
- 13.3 **Information Charter and Records Management Policy (123-14):**
The Board noted the update.
- 13.4 **Personnel Update (124-14):** The Board noted the update and commented that the performance management completion rate was significantly behind target.
- 13.5 **ESU Update (DB 125-14):** The Board noted the update.

14.0 Any Other Business

- 14.1 The Board was informed that Information Management training would be rolled-out (online) in the next couple of weeks
- 14.2 Timetabling of future meetings would be examined to try to avoid clashes with Oral Questions.

Action: Philip Spotswood to investigate feasibility of this.

15.0 Next Meeting

- 15.1 The Board noted that the next meeting will be held on 9.30am Tuesday 16th December 2014 at PRONI, Titanic Quarter, Belfast.

Philip Spotswood

21 November 2014

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

PRONI

Tuesday 16 December 2014 – 10.00am – 1.30pm

Present: Cynthia Smith (Chair)
Barney McGahan
David Carson
Fergus Devitt
Stephen McGowan
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Rory Miskelly (DB 127-14)
Pat Wilson (DB 130-14)
Gillian McAfee (DB 132-14)
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Cynthia Smith thanked PRONI as hosts and welcomed everyone to the meeting.

2.0 Declaration of Conflicts of Interest

2.1 No conflicts of interest were declared. Cynthia Smith advised that as 2013 World Police and Five Games Ltd was dissolved on 21 November 2014 she was removed from the register of Directors.

3.0 Minutes from meeting of 18 November 2014 (DB-M-11-14)

3.1 The minutes from the meeting of 18 November were agreed.

4.0 Matters Arising/Action Points (DB-A-11-14)

4.1 Progress against all action points was noted.

5.0 Strategic Overview and Departmental Grid

- 5.1 Cynthia provided an overview of the steps being taken in the Department in preparation for the 2015-16 budget. This included robust analysis of savings delivery plans, managing key risks, modifying business models, workforce planning, formation of a Grade 7 Forum and utilising the ALB Strategic Forum to develop relevant strategic workstreams.

Cynthia asked the Board if it felt the Departmental Grid was still useful as an aid to strategic overview. The Board agreed that it was time to reconsider this and it should be done as part of the review of the Business Plan reporting arrangements.

6.0 2015-16 Business Plan Progress (DB 126-14)

- 6.1 Philip Spotswood presented a paper based on his recent consultation with Heads of Branches which outlined a framework for the 2015-16 Business Plan.
- 6.2 The Board noted that the Department's key objective should clearly convey what DCAL does and that the Departmental Balanced Scorecard should flow from this. The Board discussed the proposed targets and suggested that the "Priority Deliverables" quadrant of the scorecard should be titled "Results" or "Outcomes" and underlined the importance of targets in this quadrant covering the key results the Department is seeking to deliver. The Board also suggested that the "Internal Processes" quadrant should contain targets relating to risk management and delivering to budget.

Action: Philip Spotswood to progress drafting on the above basis.

Action: Directors to seek two key objectives and associated targets from each business area.

Action: Philip Spotswood to collate the above and consult with Directors re wording of key Departmental objective.

Action: SMT to review objectives and targets and finalise content of balanced scorecard in January 2015.

7.0 Stadiums Update (DB 127-14)

7.1 Rory Miskelly joined the meeting and provided an update on the Regional Stadiums Programme. The Board noted the good progress with Ravenhill and Windsor Park and the effectiveness of the partnership model in adding value to these investments.

7.2 The Board discussed in detail the 15th December ruling of the Judicial Review of the planning approval for Casement Park and considered options for a way forward.

8.0 Disaster Recovery Plan (DB 130-14)

8.1 Pat Wilson joined the meeting and presented an overview of the Department's Disaster Recovery Plan. Pat outlined the origins of the Plan; its objectives; the business critical operations to be protected; triggers for activation; response; communication. The importance of validation and testing was highlighted as was awareness training in the business critical areas. Pat informed the Board that the Plan was a 'living document', subject to revision and adjustment as appropriate.

8.2 The Board suggested that key information in the document might be summarised in laminated aide memoire cards to be used in an emergency and that text messaging might be usefully adopted. The Board also suggested that relevant training might be provided in-house.

8.3 The Board commended Pat for this work and, subject to minor final amendments, agreed the Plan.

Action: Pat Wilson to consider feasibility of the suggestions in 8.2 above.

Pat Wilson to make final amendments and circulate Plan as appropriate.

9.0 Corporate Governance Framework (DB 132-14)

9.1 Gillian McAfee joined the meeting and presented a revised Corporate Governance Framework which set out the Department's governance arrangements and roles and responsibilities of the Board, sub-committees and individuals such as the Minister, Accounting Officer, and Board Members.

9.2 The Board discussed the document and noted that while the update was welcome, further updating might be required. Subject to inclusion of reference to the HR Committee into the document, the Board agreed the Framework. The Board thanked Gillian for revising the document.

Action: Philip Spotswood to develop a mechanism and timetable for all Committees to more formally report to the Board.

10.0 Finance Report (DB 128-14)

10.1 David Carson presented the finance report which included analysis of year to date spend, January monitoring update, and progress with the 2015/16 draft budget. The Board noted the prompt payment performance. The Board investigated options for taking action this financial year to ease pressure in 2015/16.

11.0 ARAC Update (DB 129-14)

11.1 John West provided the Board with an update of the Audit and Risk Assurance Committee meeting of 20th November. He informed the Board that Heather Cousins had replaced Julie Thompson on the Committee. The update included the following issues discussed by ARAC: 'Raising concerns'; rate of progress with audit recommendations; North/South Business Plans; Bi-annual Assurance Statements; internal audit arrangements in Sport NI; the connectivity of the assurance process with Departmental objectives and risk management; LIOFA website security; overdue PPEs; risks arising from budgetary pressures; and the Departmental Risk Register.

11.2 The Board noted John's update.

12.0 Miscellaneous Board Issues (DB 131-14)

12.1 Philip Spotswood tabled three issues for discussion: exploring the potential for timetabling future Board meetings around the oral Assembly Questions timetable; board effectiveness; and Board out-meetings.

12.2 The Board agreed that the timetable for 2015 Board meetings should remain unchanged. The Board agreed it would be worthwhile to conduct a Board Effectiveness exercise within the next few months and considered the merits of sourcing an external facilitator. The Board recognised that testing performance would be an important aspect of

the exercise. It was agreed that specific objectives for an effectiveness exercise would be formulated, which will inform the format and facilitation arrangements.

Action: Board to discuss objectives for a Board effectiveness exercise at its February meeting

12.3 The Board agreed that the bi-monthly out-meetings were valuable both for the Board and the ALBs and therefore should continue.

Action: Philip Spotswood to organise the following Board meetings:

**Ulster-Scots Agency, Gordon St – February
Foras na Gaelige – April (at Causeway Exchange)
Armagh Observatory/Planetarium – June
Waterways Ireland, Enniskillen – September
Bushmills Salmon Station - November**

13.0 Papers to Note:

13.1 ALB Review (DB 133-14):

The Board noted the usefulness of the efficiency benchmarking exercise carried out in Sport NI.

13.2 Shared Service Feasibility Report (DB 134-14):

The Board discussed whether there would be merit in including an objective relating to financial savings. It was agreed that this would not be necessary at this stage as the exercise is only at the feasibility stage.

13.3 Stadium Programme Board Minutes (DB 135-14):

The Board agreed that these need not be issued to it as the regular Stadiums Update provides sufficient coverage of strategic issues.

13.4 IMB Update – RFI Issues (DB 136-14):

The Board noted the update. The Board agreed that quarterly reporting of IMB issues would be sufficient. The Board also requested that there should be better dissemination of learning points in relation to information management issues.

Action: David Carson to liaise with IMB to ensure all learning points relating to information management issues are appropriately disseminated within the Department.

13.5 Personnel Update (137-14):

The Board noted the update. Cynthia reminded Directors of the need to ensure that staff are giving priority to, and properly completing, appraisals/ PDPs/PPAs, and closing off actions on the HR Connect system.

13.6 ESU Update (DB 138-14):

The Board noted the update. The Board stressed the importance of progressing larger value PPEs.

13.7 Bi Annual Assurance Statements (DB 139-14)

This was noted by the Board and was covered as part of the ARAC Update.

14.0 Any Other Business

14.1 The Board agreed that the Department would support one place on the forthcoming Women's Leadership Initiative in the context of the DCAL Leadership Programme.

15.0 Next Meeting

15.1 The Board noted that the next meeting will be held on 9.30am Tuesday, 27th January 2015 at DCAL.

Philip Spotswood

18 December 2014

**MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
CAUSEWAY EXCHANGE**

Tuesday 27 January 2015 – 09.30am – 1.50pm

Present: Cynthia Smith (Chair)
Barney McGahan
David Carson
Fergus Devitt
Stephen McGowan
Rory Miskelly
Arthur Scott
Maggie Smith
Marie Mallon

Apologies: John West

In attendance: Dr Malcolm McKibbin, Head of NI Civil Service
(10:40am–12:00pm) accompanied by Kellie Sprott
Heather Stanley (DB 1-15)
Michael O’Dowd (DB 2-15)
John Hinds (DB 3-15)
Gillian McAfee (DB 3-15)
Kevin Hamill (DB 6-15)
Orla Bateson (DB 7-15)
Ian Davidson (DB 7-15)
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Cynthia Smith welcomed everyone to the meeting. Apologies were received from John West.

2.0 Declaration of Conflicts of Interest

2.1 No conflicts of interest were declared.

3.0 Minutes from meeting of 16 December 2014 (DB-M-1-15)

3.1 The minutes from the meeting of 16 December were agreed.

4.0 Matters Arising/Action Points (DB-A-1-15)

4.1 Progress against all action points was noted.

It was agreed to discuss the format of the 2015 Board Effectiveness exercise at the February Board.

Action: Philip Spotswood to provide options to the Board at its February meeting.

5.0 Strategic Overview and Departmental Grid

5.1 Cynthia Smith invited the Board's views on whether the Departmental Grid was continuing to fulfil a useful role. Barney McGahan had discussed this matter with Directors and it was felt that existing regular reporting mechanisms to the Board already fulfilled the role of the Grid.

5.2 The Board agreed that the Grid should be discontinued, with improved risk - and Business Plan monitoring providing a better alternative.

5.3 Cynthia provided a brief strategic overview covering the outworkings of the Stormont House Agreement and informed the Board that engagement with staff would be crucial in successfully meeting the challenges this presented. Cynthia informed the Board that strategic issues would be covered more substantively by Dr McKibbin later in the meeting.

6.0 Digital Preservation Update (DB 1-15)

6.1 Heather Stanley joined the meeting and provided an update on PRONI's Digital Preservation Project. The update covered the following: growth in the volume of TRIM records; preservation of

different record formats; the benefits the in-house approach to developing the DPP; liaison with departments; how records will be transferred; compliance issues; overall progress.

6.2 The discussion covered issues of communication; liaison with wider stakeholders; IT and curatorial resourcing; keeping pace with technological change; finalisation of TRIM records; costs.

6.3 The Board acknowledged the good progress to date with the project and thanked Heather and her team.

7.0 2015/16 Budget & Finance Report Update (DB 2-15)

7.1 Cynthia provided a brief overview of the Departmental financial position as Michael O'Dowd joined the meeting.

7.2 Michael presented the finance report which included analysis of year to date spend; January monitoring round outcome; budget 2015-16 consultation; final budget 2015-16 outcome; and remaining budgetary work to be undertaken. The Board noted the prompt payment performance.

7.3 David Carson informed the Board that work is underway to improve finance reporting to the Board. Reports will contain an analysis of key variances and information will be presented in a way that provides for greater assurance on the current position and future outlook.

8.0 Presentation by Dr Malcolm McKibbin, Head of NICS

8.1 Cynthia welcomed Dr McKibbin to the meeting and he was introduced to the Board.

8.2 Dr McKibbin provided a briefing for the Board on the Stormont House Agreement and its outcomes. The briefing provided background to the

Agreement and discussed some of its key outcomes, highlighting their scale and complexity and the implications this will have for how the NICS operates. He then outlined departmental restructuring and how this will be taken forward. The final part of his presentation dealt with budget matters, innovation and the state-citizen relationship.

8.3 The Board discussed with Dr McKibbin the challenges of living within budget and managing public expectations. DCAL's programmes of work involving collaboration to produce important social outcomes were highlighted and it was recognised that the focus on outcomes will increase even more in the future. The discussion also examined how the changes required by the Stormont House Agreement would be centrally supported, the implications of restructuring for DCAL and approaches to managing this, as well as the need for developing new approaches to meeting wider social and economic challenges.

8.4 The Board thanked Dr McKibbin for briefing the Board and leading the discussion.

9.0 Revised 2014/15 Corporate Risk Register (DB 3-15)

9.1 John Hinds and Gillian McAfee joined the meeting and John provided background to the recent overhaul of the Corporate Risk Register. Gillian outlined the proposed changes to the Register and the supporting rationale.

9.2 The Board was content with the proposed changes and members agreed that the Register would be formally considered by the Board on a quarterly basis. There will be an opportunity for members to update the Register each month for any new risks that have emerged since the previous review.

9.3 The Board considered the analysis of each risk, together with its associated action plan and were content with the assessment and the

current management and action plan for each risk. Minor amendments were suggested.

- 9.4 The Board agreed that Risk 4 should be removed from the Register.
- 9.5 The Board agreed to develop the 2015-16 Risk Register and integrate it with the 2015-16 Business Plan at an extended session in its March meeting.

Action: Gillian McAfee to update the Risk Register incorporating suggested amendments.

Gillian McAfee to provide a preliminary draft of 2015-16 Risk Register for discussion at March Board meeting.

10.0 2015/16 Business Plan Update (DB 4-15)

- 10.1 Philip Spotswood provided an update to the Board on progress with the 2015-16 Business Plan. The Board agreed the three key 'Results' objectives and the supporting objectives proposed in the balanced scorecard. The Board was content with the suggested targets, subject to finalising the wording and calibrating the targets with business areas. The Board was content that the scorecard gave sufficient coverage to departmental restructuring issues and engagement issues.

Action: Philip Spotswood to liaise with business areas and finalise draft for February Board meeting.

11.0 Stadium Update (DB 5-15)

- 11.1 Rory Miskelly provided an update to the Board on progress on the regional stadium programme.

11.2 The Board noted the progress with each stadium and discussed the key actions which will be taking place in the weeks ahead and the management of key risks and challenges.

12.0 Together Building a United Community (TBUC) (DB 6-15)

12.1 Kevin Hamill joined the meeting and Fergus Devitt provided the board with brief background to the pilot cross-community youth sports programme. Kevin then updated the Board on progress with delivery of the Programme. The Board was informed of very positive feedback from coaches, young leaders and participants, with some evidence already of good impacts. The Board noted that good relations messages were successfully woven across the programme's four themes and that the African themed dance night was particularly successful. Next steps were outlined.

12.2 The Board commended the TBUC team on good progress to date and noted that this programme represented a good example of collaborative working across DCAL and beyond.

13.0 Research Programme Update (DB 7-15)

13.1 Orla Bateson and Ian Davidson joined the meeting and Orla outlined how the proposed Research Programme for 2015-16 was compiled and its key content. Nine research projects were proposed, all centred around the Departmental key objective of promoting equality, tackling poverty and social exclusion.

13.2 The Board discussed the proposed Programme and stressed the importance of being able to demonstrate the value of arts and culture when bidding for resources. The Board also noted that a proposed mapping exercise on stadia and sports facilities will require collaboration with SNI.

13.3 The Board approved the Research Programme.

Papers to Note:

14.1 NICS Live (DB 8-15):

The Board noted this paper and the involvement of Heather Stanley and Stephen McGowan.

14.2 Reform of Property Management Project (DB 9-15):

The Board noted this paper and was content to endorse it subject to action point below.

Action: Kim Orchard to delete para 6 from the Board paper.

14.3 North West Cultural Development Update (DB 10-15):

The Board noted this paper and Stephen McGowan provided a brief update on work being led by Joanna McConway on community planning.

Action: Fergus Devitt to refer SIB contacts to Joanna McConway

Action: Stephen McGowan to promote profile of NW achievements.

14.4 Personnel Update (DB 11-15):

The Board noted this paper. Good (but with room for improvement) compliance with absence management procedures and poor performance in relation to staff appraisal management was noted along with on-going actions to address the issues raised.

Action: David Carson to issue HR Sub-Committee terms of reference and report to Board for endorsement at its February meeting.

David Carson to review presentation of statistical information in future Personnel Reports to the Board.

14.5 ESU Update (DB 12-15):

The Board noted the paper. The Board noted that some PPEs in respect of high value projects were still outstanding.

Action: All Directors to ensure that any outstanding PPEs in relation to their business area are completed as a matter of priority.

15.0 Any Other Business

15.1 There was no other business.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 9.30am Tuesday, 24 February 2015 at Foras na Gaeilge, Westgate House, 2-4 Queen Street, Belfast.

Philip Spotswood

30 January 2015

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

Foras na Gaeilge, Belfast

Tuesday 24 February 2015 – 10.00am – 1.00pm

Present: Cynthia Smith (Chair)
Barney McGahan
David Carson
Fergus Devitt
Stephen McGowan
Rory Miskelly
Arthur Scott
Maggie Smith
Marie Mallon
John West

In attendance: Ferdie Mac an Fhailigh (FnG Strategic Update)
Joe Ó Labhraí (FnG Strategic Update)
Séamus Mac Conmidhe (FnG Strategic Update)
John Hinds (DB 14-15)
Michael O'Dowd (DB 17-15)
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Cynthia Smith thanked Ferdie Mac an Fhailigh for Foras na Gaeilge acting as hosts and welcomed everyone to the meeting.

2.0 Foras na Gaeilge Strategic Update (Ferdie Mac an Fhailigh)

2.1 Ferdie Mac an Fhailigh delivered a presentation on issues relevant to Foras na Gaeilge. The presentation covered the history, structure and governance arrangements of FnG, its statutory functions, and outlined its current major projects and schemes. The presentation also highlighted challenges and opportunities for FnG, including strategic priorities, and economic and political considerations.

2.2 The ensuing discussion covered issues relating to the provision of services in Irish (including the capacity of the NICS in relation to this); how best to target resources to promote and support Irish language; comparisons with Wales; interest in Irish across communities; opportunities to generate revenue; and educational summer camps.

3.0 Declaration of Conflicts of Interest

3.1 No conflicts of interest were declared.

4.0 Minutes from meeting of 27 January 2015 (DB-M-2-15)

4.1 The minutes from the meeting of 27 January were agreed.

5.0 Matters Arising/Action Points (DB-A-2-15)

5.1 Progress against all action points was noted.

6.0 Strategic Overview

6.1 Cynthia Smith provided a brief strategic overview covering the key points raised at last month's Departmental Board meeting by the Head of the NI Civil Service in relation to the outworkings of the Stormont House Agreement. Progress with DCAL's Agenda for Change was outlined as were the developing arrangements for departmental restructuring and the creation of nine new Departments and work on cross cutting reform. Cynthia then informed members that Aidan Cassidy has been appointed Director of Business Change following an internal temporary promotion competition.

Action: Aidan Cassidy to present a paper on DCAL's Business Change Strategy to Departmental Board in March.

7.0 Board Committees and Board Effectiveness (DB 13-15)

7.1 Philip Spotswood presented a paper proposing that the number of Board Committees be reduced. It was noted that there are six committees of the Departmental Board whereas all other departments have between one and three committees. It was confirmed that there would be no impairment to the work being carried out by these groups if board committee status **was** removed, and that the level of bureaucracy would be reduced. The groups would continue to report to the Board via regular progress reports and the arrangement would not contravene good governance practice.

7.2 The Board agreed that only ARAC would remain as a committee of the Board.

Action: Philip Spotswood to inform Chair of each group of the change in status and, informed by relevant terms of reference, highlight any instances where decisions by the Departmental Board would be necessary.

Action: Philip Spotswood to modify Board Operating Framework.

7.3 Philip Spotswood presented a paper providing options for the next Board effectiveness review. The Board agreed that an effectiveness exercise would be necessary given that 2015-16 will be a very significant year for the Department.

- 7.4 It was agreed that a half day exercise, facilitated by an external expert, would be conducted in late March. The objective of the session would be to critically examine the effectiveness of the Board with a view to enhancing its leadership capability in respect of the departmental restructuring process and change management.

Action: Philip Spotswood to source an external expert, ensure the Board is content with methodology, and arrange a session by end of March 2015.

8.0 2015-16 Business Plan (DB 14-15)

- 8.1 Philip Spotswood provided an update on the 2015-16 Business Plan. He informed the Board that he expected to be in receipt of the outstanding items before the end of the week and, once the wording of targets was finalised, a draft could be issued to the Minister. The Board was informed that options for participation/attendance statistics in respect of the arts and sport were being actively explored.

- 8.2 The Board thanked Philip for his work and suggested a number of minor amendments to the draft.

Action: Philip Spotswood to finalise draft.

Fergus Devitt to investigate with SNI the availability of sports participation statistics suitable for business plan monitoring.

Arthur Scott to investigate with ACNI the availability of arts attendance and participation statistics suitable for business plan monitoring.

9.0 2014-15 Business Plan Monitoring (DB 15-15)

- 9.1 John Hinds presented the Board with the 3rd Quarter Business Plan Monitoring Report, highlighting improvements made to the structure of the paper. The Board analysed progress against each of the targets assessed by business areas as being red and amber.
- 9.2 The Board agreed that factors outside the Department's control should be considered in mitigation when assessing progress against targets. The Board also stated the importance of avoiding setting composite targets and ones containing potentially ambiguous wording.
- 9.3 The Board agreed that progress against the following targets should be re-rated as follows:

<u>Target</u>	<u>Re-rating</u>
5	amber
6	green
10	green
11	amber
18	amber
20	green
40	green
41	green
19	green

- 9.4 The Board welcomed the improved structure of the monitoring paper and thanked John Hinds and Kieran McGrattan for their work on it.

10.0 ARAC Update (DB 16-15)

- 10.1 John West provided the Board with an update of the Audit and Risk Assurance Committee (ARAC) meeting of 17th February. The update

included the following issues discussed by ARAC: governance update; ARAC terms of reference; risk register; internal audit progress report; internal audit strategy; post project evaluations; budgetary pressures; and the assurance process.

10.2 John stressed that the assurance process requires greater emphasis on evidence and controls supporting positive assurance rather than on a 'by exception' basis.

10.3 The Board noted John's update and agreed on this point.

Action: John Hinds to consider the use of positive assurances in the forthcoming review of governance.

11.0 Finance Report Update (DB 17-15)

11.1 Michael O'Dowd joined the meeting and presented the finance report update. This included analysis of year to date spend and an update on the 2015/16 budget. The Board noted the prompt payment performance.

11.2 The Board welcomed the enhanced format of presenting the financial information. The Board suggested that a narrative could be more fully developed to cover key issues.

Action: Michael O'Dowd to include relevant narrative in future updates.

Michael O'Dowd to finalise letter to DFP re capital budget for 2015/16.

12.0 Stadium Update (DB 18-15)

12.1 Rory Miskelly provided an update to the Board on progress on the Regional Stadium programme.

12.2 The Board noted the progress with each stadium and discussed the key actions which will be taking place in the weeks ahead and the management of key risks and challenges, in particular developments in the Casement Park project in light of December's Judicial Review decision.

Papers to Note:

13.1 Personnel Update (DB 11-15):

The Board noted this paper. The Board welcomed the paper on the Annual Health and Safety Report.

Action: David Carson to review presentation of absence data and performance management data.

13.2 ESU Update (DB 12-15):

The Board noted the paper.

14.0 Any Other Business

15.1 The Board discussed agenda items for its next meeting and also agreed to discuss the request from the Staff Engagement Forum to accommodate observers at future Board meetings.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 9.30am
Tuesday, 24 March 2015 at Causeway Exchange

Philip Spotswood

26 February 2015

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING

CAUSEWAY EXCHANGE

Tuesday 24 March 2015 – 09:30am – 12.30pm

- Present: Cynthia Smith (Chair)
Aidan Cassidy
Fergus Devitt
Arthur Scott
Maggie Smith
Marie Mallon
John West
- Apologies: David Carson
Barney McGahan
Stephen McGowan
Rory Miskelly
- In attendance: Michael O'Dowd (DB 23-15 & DB 24-15)
Clodagh Rodgers (DB 23-15 & DB 24-15)
Kim Orchard (DB 26-15)
Gillian McAfee (DB 27-15)
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Cynthia Smith welcomed everyone to the meeting, in particular Aidan Cassidy, newly appointed Director of Business Change. Cynthia informed the Board that Denis McMahon would be taking up his post as Interim Permanent Secretary on Monday 30 March, Barney McGahan would be finishing his term in DCAL on Friday 27 March, and Stephen McGowan's term as Director of Strategic Delivery would end at the end of March.

1.2 The contributions to the Board and Department of Barney and Stephen were acknowledged by the Board.

2.0 Declaration of Conflicts of Interest

2.1 No conflicts of interest were declared.

3.0 Minutes from meeting of 24 February 2015 (DB-M-3-15)

3.1 The minutes from the meeting of 24 February were agreed.

4.0 Matters Arising/Action Points (DB-A-3-15)

4.1 Progress against all action points was noted. Fergus Devitt was commended on achieving closure on many outstanding Post Project Evaluations.

5.0 Strategic Overview

5.1 Cynthia's overview outlined the challenges being faced by the Department. It was noted that while they are largely driven by the budget, they should not be wholly defined by the budget as there are challenges resulting from rising public and political expectations, the need for modernisation and better delivery of outcomes (including the use of IT), more collaborative working and stronger engagement. Cynthia mentioned that as a result of the Stormont House Agreement, the formation of new departments and the development of an oral history archive were particularly relevant to DCAL.

6.0 Oral History Archive (DB 28-15)

6.1 Maggie Smith presented a paper on the Oral History Archive. The origins (a measure for dealing with the past contained in the Stormont House Agreement) and objectives of the initiative (to collect, preserve and publish oral histories) were outlined. Maggie outlined the complexity and associated risks inherent in the project, and informed the Board that plans for the delivery model were being finalised. A sequence of key development milestones was outlined.

6.2 The Board discussed the timetable, costs, risks, legislative and privacy issues, and the potential to transfer the project's technological learning to other PRONI activities.

7.0 DCAL Business Change Strategy (DB 21-15)

7.1 Aidan Cassidy presented the DCAL Business Change Strategy to the Board. The presentation covered the following themes: the change landscape; organisational challenges; linkage with DCAL's Agenda for Change; the approach (drawing on the Kotter Model of Change Management); project governance; communication and engagement; and next steps.

7.2 The Board welcomed the plan and identified the need to closely engage with integration partners, fitting with the wider NICS vision, developing a detailed picture of the end state, and engaging with our ALBs as being vital to a successful outcome. Human resources matters, communicating progress to staff and achieving a balance between 'business as usual' and managing the change were also identified as being fundamentally important.

7.3 The Board agreed that the SRO should be at Permanent Secretary level and the ALB Strategic Forum was identified as being potentially useful in progressing the integration with ALBs.

Action: David Carson to review format of Board HR Update to ensure that it contains relevant information to support the Change Programme.

Aidan Cassidy to update the Board on a monthly basis via a standing item on the agenda.

8.0 Budget Consultation (DB 23-15)

8.1 Michael O'Dowd and Clodagh Rodgers joined the meeting and Michael updated the Board on the recently concluded second consultation on the 2015-16 budget. The Board was informed that the consultation identified two main issues – the potential impact of cuts on people with disability and an apparent disparity in funding between Irish and Ulster-Scots languages. The Board discussed these issues and agreed that the consultation findings did not provide a convincing case to alter the original allocation of cuts across the DCAL Family (as published on 9th February).

Action: Michael O'Dowd to publish final allocations and response to consultation on 26th March. To be preceded by letters and phone calls confirming allocations to CEOs on 25th March.

9.0 Finance Report (DB 24-15)

9.1 Michael O'Dowd presented the finance report update. This included analysis of year to date spend and an update on the 2015-16 budget. The Board noted the prompt payment performance.

9.2 The Board thanked Michael, Clodagh and the finance team for the high standard of work they have carried out on the budget in recent months.

10.0 Shared Services Project (DB 26-15)

10.1 Kim Orchard joined the meeting and presented the findings of the Shared Services Scoping Report. The report considered in particular internal audit provision and IT services across DCAL and its ALBs. The potential for LNI E2 as a platform for other ALBs and the sharing of other services was also briefly considered in the Report.

10.2 The Board discussed the Report's four recommendations and the following was agreed:

Recommendation 1 – agreed

Recommendation 2 – agreed

Recommendation 3 – agreed, but needs to more fully state strategic intent and contain a target date for completion

Recommendation 4 - agreed

Action: Kim Orchard to take forward recommendations as agreed.

Action: Fergus Devitt to follow-up on the E2 Post Project Evaluation.

11.0 Revised Audit & Risk Assurance Committee (ARAC) Terms of Reference (DB 27-15)

11.1 Gillian McAfee joined the meeting and presented the revised Audit and Risk Assurance Committee Terms of Reference. These were agreed by the Board.

Action: Gillian McAfee to email final version to John West and the ARAC.

12.0 ALB Business Plans (DB 22-15)

12.1 Philip Spotswood presented a paper summarising progress to date with ALB Business Plans for 2015-16. All were complete or very near completion with the exception of the ACNI Plan which required further work on targets. The paper provided an assurance to the Board that the Plans were of a suitable standard, had good linkage with DCAL's key objectives, and had a strong focus on delivery.

12.2 The Board discussed monitoring of ALB performance and concluded that this should be done by way of a quarterly progress report comprising a measure of performance against each ALB's 5 main objectives/targets and a brief narrative highlighting any significant governance or other relevant issues

12.3 The Board agreed that these arrangements would not preclude significant ALB issues being escalated to the Board at any time during the year in the usual way.

Action: Philip Spotswood to develop reporting template and present Q1 performance report to August Board.

13.0 Stadiums Update (DB 25-15)

13.1 The Board noted the update on progress on the Regional Stadium programme. Developments in the Sub-Regional Stadiums Programme were noted, and the Board commended the needs-based approach being taken.

13.2 The Board agreed that in 2015-16 there should be two update papers presented, supplemented by others at the discretion of the Director of Stadiums on an exception basis.

13.3 The Board also agreed that it should be informed of developments in the Sub-Regional Programme depending on progress.

Action: Philip Spotswood to liaise with Rory Miskelly re reporting schedule.

Papers to Note:

14.0 Personnel Update (DB 29-15):

The Board noted this paper and welcomed the new format. The Board agreed that future updates should be structured so that information relevant to the Business Change Strategy can be included.

Action: David Carson to review structure of update and implement further modifications as outlined above.

15.0 ESU Update (DB 12-15):

15.1 The Board noted the paper. The Board discussed benefits realisation in respect of Aurora Bangor and given the size of the investment, concluded that it should monitor the benefits accrued since the date of the facility opening in 2013 as the full post project evaluation is not scheduled to complete until 2018.

Action: Fergus Devitt to provide the Board with a summary of benefits to date.

16.0 Any Other Business

16.1 Fergus Devitt notified Board Members of the forthcoming Celebration of Sport event in Newry and the TBUC celebration event of the Cross Community Youth Sports Programme at Queen's University PE Centre.

17.0 Next Meeting

17.1 The Board noted that the next meeting will be held on 9.30am Tuesday, 28th April 2015 at Ulster-Scots Agency, The Corn Exchange, 31 Gordon Street, Belfast, BT1 2LG

Philip Spotswood

25 March 2015

MINUTES OF DCAL DEPARTMENTAL BOARD MEETING
ULSTER-SCOTS AGENCY, THE CORN EXCHANGE
Tuesday 28 APRIL 2015 – 09:45am – 12.00pm

Present: Denis McMahon (Chair)
Cynthia Smith
Aidan Cassidy
Fergus Devitt
Arthur Scott
Maggie Smith
Rory Miskelly
Marie Mallon
John West
Michael O'Dowd (for David Carson)
John McDermott, Special Adviser

Apologies: David Carson

In attendance: Ian Crozier (Ulster-Scots Strategic Update)
Gillian McAfee (DB 34-15)
Hilary Harbinson (35-15)
Philip Spotswood (minutes)

1.0 Welcome and apologies

1.1 Denis McMahon thanked Ian Crozier for the Ulster-Scots Agency acting as hosts and welcomed everyone to the meeting.

2.0 Ulster-Scots Agency Strategic Update (Ian Crozier)

2.1 Ian Crozier delivered a presentation on strategic issues relevant to the Ulster-Scots Agency. The presentation covered governance, finance, future resourcing, and the Agency's role in initiatives relating to tourism, regeneration and good relations.

2.2 The discussion covered the following issues: resource allocation across business areas; partnership working; encouraging wider

investment in the sector; the Heartland initiative; and the value of Ulster-Scots.

3.0 Declaration of Conflicts of Interest

3.1 No conflicts of interest were declared.

4.0 Minutes from meeting of 24 March 2015 (DB-M-4-15)

4.1 The minutes from the meeting of 24 March were agreed subject to one minor amendment.

5.0 Matters Arising/Action Points (DB-A-4-15)

5.1 Progress against all action points was noted.

6.0 Strategic Overview

6.1 Denis McMahon provided a strategic overview. The overview emphasised the Board's responsibility in ensuring good governance during the period of transition, maintaining delivery against key Business Plan priorities, and managing the various aspects of the transition programme. Denis outlined the new Board and committee structures and the relationship of these with the existing project boards. Recent issues discussed at the Permanent Secretaries Group were also relayed to the Board.

6.2 The Board discussed the importance of robust management information reporting systems, and the importance of leadership, maintaining a strong forward focus, and managing staffing issues. The Board agreed that there would be merit in tabling a short strategic update paper at the beginning of each Board meeting.

Action: Philip Spotswood to liaise with Denis McMahon on structure and content of strategic update paper. First update to be presented at May Departmental Board meeting.

7.0 DCAL Change Management (DB 31-15)

7.1 Aidan Cassidy presented an update on the DCAL Business Transitional Programme, covering the following issues: background, mandate and the NICS Programme Board; development of DCAL's draft strategy; the role of the DCAL Transition Committee; and project management arrangements. Aidan informed the Board that he had attended the Chief Executives' Forum, met with the trade union side, the staff engagement forum, PRONI, and will be hosting an event for heads of branch.

7.2 The Board discussed the importance of maintaining delivery throughout the transition; of having a detailed vision of the new departments; of early engagement with the other departments involved; of securing 'quick wins'; and of the inclusion of all staff in the process, in particular in relation to communication.

8.0 Finance Report (DB 32-15)

8.1 Michael O'Dowd presented the finance report update. This included preliminary analysis of 2014/15 outturn and budget management in 2015/16. Michael informed the Board that the June monitoring round has now been commissioned and that the Department will develop bids in line with the Minister's priorities. The Board was also informed of funding for the Voluntary Exit Scheme. There was a discussion about some potential budget issues which could emerge during 2015/16. The Board noted the good performance in respect of spending within

budget and prompt payments. The Board thanked Michael and the Finance team for their work over the last number of months.

Action: Michael O’Dowd to provide the Board at its May meeting with analysis of financial risks in 2015-16 (to include Voluntary Exit scheme).

9.0 Departmental Board Effectiveness (DB 33-15)

9.1 Philip Spotswood presented the Board with the findings of the Board Effectiveness exercise, conducted in March 2015. He outlined the strengths and areas for further development as identified by the independent assessor. An Action Plan, covering all issues identified in the exercise, was presented to the Board. A forward agenda of Board business was also circulated.

9.2 The Board discussed leadership and collaboration, in particular in the context of the transition period, and approaches were explored in order to increase effectiveness in these areas.

Action: Philip Spotswood to update Board Effectiveness Action Plan, reducing it to outstanding items only.

Board Members to inform Philip Spotswood of any issues of strategic importance to be included in the forward agenda.

10.0 2015-16 Corporate Risk Register (DB 34-15)

10.1 Gillian McAfee joined the meeting and presented the Corporate Risk Register. The Board considered each risk and discussed the appropriateness of its rating and mitigating actions. The Board also considered whether any risks need to be added or removed. The Board

was content with the Risk Register subject to a small number of minor amendments.

Action: Gillian McAfee to make minor amendments to Corporate Risk Register

Arthur Scott, Fergus Devitt and Rory Miskelly to provide a paper to June meeting of Departmental Board on the topic of attracting funding from outside sources.

Philip Spotswood to arrange meeting of the ALB Strategic Forum in May.

11.0 Review of HR issues and Workforce Planning (DB 35-15)

11.1 Hilary Harbinson joined the meeting and presented a paper on the above. The paper contained an update on developments with the NICS Voluntary Exit Scheme, sickness absence statistics, health and safety, performance management and the staffing position as at 28 April.

11.2 The Board discussed managing absence through line management and the Department's policy for managing vacancies.

11.3 Denis informed the Board that he and Cynthia Smith would be reviewing progress against Internal Audit recommendations with Directors relating to health and safety and child safety/vulnerable adults.

Papers to Note:

The following papers were noted by the Board:

12.0 ICT Plan for 2014-15 and 2015-16 (DB 36-15).

13.0 Stadiums Update (DB 37-15).

14.0 Aurora Benefits (DB 38-15).

15.0 Any Other Business

The Board was informed of the timeline for the new Casement Park planning permission.

16.0 Next Meeting

16.1 The Board noted that the next meeting will be held on 13.00pm
Wednesday, 27th May 2015 at Causeway Exchange.

Philip Spotswood

29 April 2015



From: Colin Watson
Sports Branch

Date: 25 January 2012

To: DCAL Departmental Board

REGIONAL STADIUM DEVELOPMENT PROGRAMME

SUMMARY

Issue: Actions taken to progress the Regional Stadium Development Programme.

Timescale: For Board meeting on 31 January.

Presentational Issues: None.

Legislative Implications: None.

FOI Implications: Disclosable.

Recommendation: That the DCAL Departmental Board notes the:

- background to Regional Stadium development;
- revised governance arrangements arising from Gateway 0 Review;
- progress on stadium Projects; and
- current high-level issues.

Detail

1. Regional Stadium Development is the largest Capital programme that the Department has to take forward over the coming years. The Board received a presentation on this at its meeting on 22 November 2011. This submission provides an update on the revised governance arrangements arising from the Gateway 0 Review, progress on stadium Projects and details of current high-level issues.

Background

2. On 10 March 2011, the NI Executive endorsed a funding package of £110m (including Optimism Bias) in the current CSR period for regional stadium development. This enables £25.2m to be allocated to the IFA towards the development of Windsor Park (there will be a £4m contribution from the IFA); £61.4m to be allocated to the UCGAA towards the replacement of Casement Park (there will be a £15m contribution from UCGAA), and; £14.7m to be made available to the UBIRFU for its development at Ravenhill. Government contribution totals £101.3m, with the remainder of the £110m representing an allocation for Optimism Bias (£8.7m) covering all three developments.
 - Rugby will redevelop the remaining three sides of the stadium which would bring the capacity to 15,000 spectators (although there is a proposal from Rugby to alter this to 18,000).
 - Gaelic games propose to demolish the existing stadium at Casement Park and build a new stadium to accommodate a maximum spectator capacity of 40,000.
 - The IFA plan to redevelop Windsor Park to increase its capacity to accommodate 18,000 spectators.

3. Current projected timescales for key programme elements of each of the Projects are:

STADIUM PROJECT	CASEMENT PARK (GAA)	WINDSOR PARK (IFA)	RAVENHILL (UBIRFU)
· Integrated Consultancy Team Appointed	06.07.2012	13.04.2012	23.12.2011
· Design Completed	09.04.2013	04.01.2013	18.06.2012
· Construction Contract Awarded	09.07.2013	19.07.2013	17.08.2012
· Construction Commences	04.12.2013	28.10.2013	07.01.2013

4. As with any major capital projects of this scale, there are attendant risks. Most of these will be common to each of the projects, for example, securing timely planning permission, inflationary cost, unexpected site conditions and procurement challenges. Others, specific to the Windsor Park project, revolve around the IFA/Linfield contract issue.

Update on recommendations from the Gateway 0 Review

5. As a routine part of all government infrastructure developments Gateway reviews are undertaken at each key decision point in programme development. The first of these, Gateway Review 0, has been completed and key recommendations around the revision of governance structures have resulted in Sport NI being formally appointed the Delivery Agent for the stadium programme, with the Chief Executive of Sport NI as its Senior Responsible Owner (SRO). The Department retains the Investment Decision Maker (IDM) role.
6. The DCAL Programme Board has been disbanded and the first meeting of the newly-formed Sport NI Programme Board took place on 10 November. A DCAL Programme Sponsor Board, which the Permanent Secretary Chairs, has been established to provide a broad strategic and policy oversight and assurance role. A Programme Assurance Team (PAT) will also be formed to provide the Permanent Secretary with independent

reports on the conduct of the Programme. The first meeting of the Sponsor Board was held on 1 December 2011.

7. Sport NI as delivery agent for the stadium programme have been working closely with the Strategic Investment Board (SIB) on the appointment of a Programme Director who, among other things, will develop strategies, structures and policies to enable the efficient delivery of the three stadium Projects within specified time and cost constraints. The Programme Director is therefore seen as crucial to the successful delivery of the Programme.
8. The appointment process is currently underway with the expectation that the Programme Director will be in post March/April 2012. In the interim a Sport NI Director (Nick Harkness) will continue to progress the work essential to ensure that the Programme does not stall. It has been agreed that he will be assisted in this task by an experienced advisor to be identified by, and seconded from, SIB.
9. The second meeting of the Sport NI Programme Board is scheduled to take place on 9 February 2012 and the outcomes of this will be reflected in the discussion at the next DCAL Sponsor Board on 16 February 2012. Prior to this Sponsor Board, SIB will undertake a further assessment of Sport NI delivery arrangements.

Progress on Stadium Projects

Ravenhill (UBIRFU)

10. The UBIRFU element of the Business Plan has been approved by the Department and a Letter of Offer for developmental costs has been issued by Sport NI to Rugby. In approving the Business Plan DCAL noted the potential for a change to the 15,000 spectator capacity indicated in the OBC. The UBIRFU advised that changes in competition rules since the OBC was commenced mean that an 18,000 capacity is now required.

UBIRFU considers that this increase can be delivered within the existing capital cost. DCAL's consideration of the Business Case confirmed that the Project is viable at the higher 18,000 spectator capacity. Sport NI has also received assurances from the Governing Body that the Project remains deliverable within the overall budget established in the OBC. Nevertheless, further assurances have also been given, including:

- that should any additional costs associated with the increased capacity arise the Project design will be re-engineered to bring the costs back within the maximum funding envelope of £14.73m or any associated increase will be wholly funded by UBIRFU.
- if neither engineering or UBIRFU funding is feasible, the Project will then be scaled back from 18,000 capacity towards a minimum of 15,000 capacity to maintain the costs within the maximum funding envelope of £14.73m.

The Business Plan also reaffirms that should the Project need to revert to the 15,000 capacity stadium originally planned, the Project would still retain its viability and does not place an undue financial burden on the UBIRFU.

Planning permission for Ravenhill

Ulster Rugby has recently received planning permission for the redevelopment of Ravenhill. To mark this key milestone, the Minister together with the DOE Minister, Alex Attwood, attended Ravenhill on 24th January to make a joint press announcement.

Casement Park (UCGAA)

11. The UCGAA Business Plan for the development of Casement Park to a 40,000 capacity stadium has now been considered and approved by DCAL. Accordingly, Sport NI will issue a funding letter of offer to the GAA.

While the total capital cost of the proposed development of £76.4m (£61.4m from public funds) remains in accordance with the OBC the UCGAA financial projections have deviated from some of the key assumptions that were included in the OBC. The changes relate to:

- partnership funding of £15m which will now be provided by way of a grant, rather than loan;
- financial projections include a phased reduction over 5 years in Sport NI subvention rather than immediate cessation; and
- there will be no sinking fund contribution in the first five years of operation. Instead, UCGAA provision of £23m over the 50 year lifespan of the asset will apply.

Windsor Park (IFA)

12. While the IFA element of the Business Plan demonstrates viability, DCAL approval is nevertheless contingent upon (i) the IFA reaching a new financial arrangement with Linfield Football Club (who own Windsor Park) and (ii) assurances on the organisation's governance arrangements. The financial agreement is progressing and it is anticipated that it will be completed shortly. The Minister has recently agreed that the recommendations implemented from the Review of the IFA Governance arrangements provides suitable assurance to enable the release of public funding for the redevelopment of Windsor Park (subject to a new IFA/Linfield agreement being reached).

Current high- level issues

Sport NI

13. The Departmental Board has previously been advised that the transition from the original governance structures to the point where Sport NI have primary responsibility for taking forward the Stadium Development Programme has not been without its difficulties. However, we are now at a

stage where the process is moving forward under the new governance arrangements.

14. All the stadium Projects have been moving forward with the common objective of ensuring that Government spend is fully incurred within the current CSR timescale. All three Governing Bodies have now taken this into account in their Project planning and have given assurances that this crucial target can be met. To assist in meeting this target it has been agreed that for the GAA and IFA Projects there would be an element of 'front-loading' of the government funding element with the sports' contributions covering expenditure toward the end of the construction process and, if required, outside the CSR period.

15. At a meeting on 15 December the Minister asked Sport NI to provide revised Stadium Budget Profiles by early January 2012. Sport NI forwarded the revised profiles with a list of 14 qualifications and assumptions. However Sport NI did not provide any commentary on the qualifications and assumptions that would indicate Sport NI's overall confidence that the profiles could be achieved particularly in relation to the GAA Project. When pressed for an unqualified opinion on whether Sport NI can deliver the Projects in line with the profiles provided, Eamonn McCartan, the SRO for the Programme wrote to the Department and has asked that consideration is given to reviewing the "imposition of such challenging timescales".

16. SIB have confirmed that their Advisor's key priority on arrival at Sport NI will be to assess whether Sport NI can deliver the Stadium Programme on time and within budget under the new governance structures.

DFP

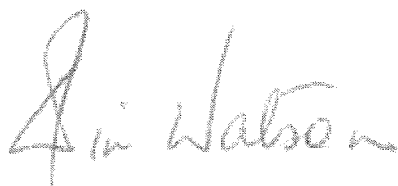
17. The Department has recently written to DFP outlining the key issues arising to date and the Department's proposed methodology for dealing with these. The issues included:

- GAA loan
- GAA sinking fund
- UBIRFU extension to 18,000 spectators
- IFA Governance
- IFA/Linfield contract

18. Recommendation:

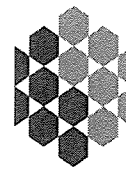
That the DCAL Departmental Board notes the:

- **background to Regional Stadium Development;**
- **revised governance arrangements arising from Gateway 0 Review;**
- **progress on stadium Projects; and**
- **current high-level issues impacting on the individual stadium projects**



COLIN WATSON
Head of Sport
Ext. 75085
E-mail colin.watson@dcalni.gov.uk

From: Colin Watson
Date: 23 February 2012
To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**
www.dcalni.gov.uk

REGIONAL STADIUMS

SUMMARY

Issue: Developments around the delivery of the Regional Stadium Development Programme.

Timescale: 28 February 2012

Presentational Issues: Stadium development attracts considerable media interest.

Recommendation: That the DCAL Departmental Board notes this update.

Summary: At the 31 January 2012 Departmental Board meeting members noted concerns on planning approval and budget profiling issues around regional stadium development. The following provides an update on recent action to address these concerns, together with issues around programme management capabilities.

Detail

At the Sponsor Board meeting on 16 February 2012 a range of immediate actions were identified that need to be taken in light of SIB's assessment on Sport NI's Programme Plan and associated documentation.

2. The assessment had regard to the professional advice obtained from a part-time SIB Advisor working alongside Sport NI. It also took account of the SRO's (Eamonn McCartan) view that that deliverability of the GAA

and the IFA projects remains medium/high risk and medium risk respectively.


3. SIB, having reviewed the Programme documentation and the SRO's update reports of 26 January 2012 and 9 February 2012, conclude that, there is no realistic possibility that the full Stadium Programme can be delivered by Sport NI, within the current CSR period.
4. This has serious implications for the Executive Budget and the Department will need to go back to DFP, as a matter of urgency, with revised financial profiles. To facilitate this, the SRO has been asked to immediately implement a number of actions. These are:
 - (i) Acceptance by Sport NI, as the Delivery Agent, that the 3 Projects constitute a Programme and a common approach by the three Project teams will be more productive than leaving each project to proceed alone.
 - (ii) Produce a realistic Delivery Plan and associated financial profiles that can be realised.
 - (iii) Provide a revised Risk Register brought into line with the new Delivery Plan.
 - (iv) Provide a 'Plan for Planning' to include actions to mitigate the identified planning risks.
 - (v) Provide a Benefits Realisation Plan.
5. In terms of the Delivery Plan the SRO has been asked to demonstrate his confidence that the revised Delivery Plan and associated financial profiles can be realised. It has also been emphasised that it will be necessary for him to work closely with SIB and the governing bodies on these actions.

6. It should also be noted that in terms of actions to mitigate against the delivery risks identified in the Departmental Corporate Risk Register, the appointment process for the recruitment of a Programme Director is well underway (interviews were held on Monday 20 February). A follow up Gateway review on the Programme will be scheduled by Sport NI in consultation with the NI Gateway team. A key risk in relation to the delivery of Windsor Park ie a new financial agreement between the IFA and Linfield FC is close to resolution.

7. Given the sensitivities and risks around the delivery of the Stadium Programme and the potential for the programme to slip beyond the current CSR period, Lines to take have been developed. These are attached for information.

Recommendation

8. That the DCAL Departmental Board notes this update.

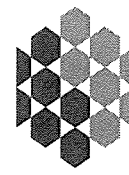
A handwritten signature in black ink that reads "Colin Watson". The signature is written in a cursive style with a large initial 'C'.

COLIN WATSON
EXT : 75085

LINES TO TAKE

- The three regional stadiums construction projects together make up one of the largest construction programmes being taken forward by the Executive in the coming years. Together they will cost almost £130m, £110m from government and £19m from the governing bodies.
- Construction programmes of this scale and complexity bring with them many challenges.
- In light of assumptions and risks presented to the Department we sought independent professional advice to assess the situation. This advice confirmed that the plans presented allow no contingency or leeway in the timescales for construction projects of this complexity.
- I have therefore asked for the plans to be revisited with the assistance of the Strategic Investment Board to include a realistic assessment of what can be done and over what timescales.
- I expect this reassessment to be completed as a matter of urgency.

From: Colin Watson
Date: 16 March 2012
To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

SUMMARY

Issue: Developments around the delivery of the Regional Stadium Development Programme.

Timescale: 27 March 2012

Presentational Issues: Stadium development attracts considerable media interest.

Recommendation: That the DCAL Departmental Board notes this update.

Summary:

Detail

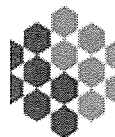
1. At the Sponsor Board meeting on 16 February 2012 a range of immediate actions were identified that need to be taken in light of SIB's assessment on Sport NI's Programme Plan and associated documentation.
2. The assessment had regard to the professional advice obtained from a part-time SIB Advisor working alongside Sport NI. It also took account of the SRO's (Eamonn McCartan) view that that deliverability of the GAA and the IFA projects remains medium/high risk and medium risk respectively.

3. Members will recall that SIB, having reviewed the Programme documentation and the SRO's update reports of 26 January 2012 and 9 February 2012, concluded that, there was no realistic possibility that the full Stadium Programme could be delivered by Sport NI, within the current CSR period.
4. Accordingly the SRO is currently taking forward a number of actions, including a revised Programme Delivery Plan and associated expenditure profiles.
5. A programme Director has been identified and is due to take up his appointment on 2 April 2012. A follow up Gateway review on the Programme will be scheduled by Sport NI in consultation with the NI Gateway team. A key risk in relation to the delivery of Windsor Park i.e. a new financial agreement between the IFA and Linfield FC has been resolved and the Business Plan has been approved and a letter of offer issued on 15 March. This means that the Business Plan for all three stadium projects have now been cleared and letters of offer issued. Meeting held last week with First and deputy First Minister indicate that issues still remain around the wider acceptability and in particular how the sub-regional aspects are to be resolved.
6. Sensitivities and risks around the delivery of the Stadium Programme still remain and the Minister has requested the preparation of an urgent 'delivery options' paper. This is underway and following consideration the Minister will make a decision on the way forward.

Recommendation

7. That the DCAL Departmental Board notes this update.

COLIN WATSON
EXT: 75085



DCAL STADIUM PROGRAMME – UPDATE REPORT

Programme Governance Structures

- Transfer of the Stadium Programme from Sport NI to DCAL took effect on the 30th April 2012.
- The Sponsor Board remains part of the programme structures. The Programme Board will cease to exist but the Project Boards will continue to function in their current format.
- A revised MoU for each project is being developed to reflect the changes to programme governance structures.
- A revised Change Control and Financial Approval Framework is being developed to reflect revised governance structures and streamlining of decision making processes.
- The Stadium Programme team will consist of the Programme Director, Programme Manager, Programme Architect, 3 Development Officers and a Development Assistant. The new staffing arrangements assume full transfer of 6 staff from Sport NI which remains subject to final agreement on transfer arrangements.
- The role of CPD within the current delivery structures is being reviewed and is likely to result in some amendments to the Local Operating Agreement.
- A further Gateway 0 review is planned in the next 2 months. NI Gateway team are currently arranging this review.

Programme Timelines and Spend

- Programme timelines have been agreed and signed off by each sport indicating UBIRFU completion by September 2014, IFA completion by June 2015 and GAA completion by September 2015.
- Spend Profiles have been revised across the programme and current projections indicate that the full public sector contribution will be committed within the current CSR period, provided that key assumptions are met around planning approval timescales and business case approvals. In addition, achievement of the full public sector spend in the current CSR assumes that significant procurement challenges are avoided. See Appendix I for 'Stadium Programme Spend Profile'.

Planning Approvals

- A key risk to the achievement of programme timelines is the achievement of planning approvals for the GAA and IFA projects. The Programme team continues to play a key facilitation role in liaising with Strategic Projects Division (SPD), the statutory agencies and with GAA and IFA to expedite the planning approval processes.
- The 'Planning Working Groups' involving representation from the statutory agencies and SPD continue to meet fortnightly and have met four times to date. Sport NI had chaired the first four meetings. Responsibility for chairing the meetings has now been handed over to the IFA and GAA with the continued presence of the programme team.
- A 'Step by Step Plan for Planning' has been developed and is being populated by GAA and the statutory agencies, and separately by IFA and the statutory agencies.

Cost Management

- Project cost reviews will be carried out across the 3 projects once the ICT teams are in a position to provide detailed budgets. Initially these cost reviews will be carried out by CPD.
- A review of the Optimism Bias requirement for the programme is currently being undertaken by the programme team in association with the consultants that compiled the Outline Business Case (McClure Watters).

Budget Management

- The Programme team will arrange a meeting with DCAL Finance Branch in the near future to allow consideration of current finance systems and procedures against the grant management needs of the stadium programme.
- A Departmental Cost Budget is currently being developed for the Stadium Programme. Consideration will need to be given to the role of CPD and their associated fees, legal fees etc.

Programme Milestone Schedule and Project Plans

- A Programme Milestone Schedule has been developed to highlight the interactions and approvals required by various government bodies to ensure the 3 projects meet their target dates. See Appendix II 'Programme Milestone' Schedule.
- Project Execution Plans are being developed by the 3 sports to detail the full range of plans and activities required at project level to deliver the projects on time, within budget and to quality.

Social Clauses

- Social clause conditions have been included in the contracts for the appointment of the design teams on the Ravenhill and Windsor Park projects. In addition social clauses have been included in the 'Invitation to Tender' documents for the appointment of the design team for Casement Park. Appointment of the design team for Casement will take place in July 2012.
- In relation to social clauses and the appointment of the Integrated Supply Teams (construction contractors), the Programme Director is currently developing suitable wording for inclusion in the IST contracts. Discussions are currently ongoing with CPD and the three sports. The 'Invitation to Tender' documents for the appointment of the Integrated Supply Team for UBIRFU will be released on 8th June 2012 and therefore social clause wording for IST contract will be agreed by that date.

Procurement Activities and Legals

- Current programme level procurement activities include provision of procurement advice to the 3 sports on FBC consultants and the procurement of programme cost consultants.
- Novation letters are currently being prepared for issue to the 3 sports to allow novation of the Development Costs Letters of Offer.
- Development of security agreements against the project awards are currently being developed by the programme team. Discussions are also ongoing with the Departmental Solicitors Office and Arthur Cox Solicitors regarding future provision of legal advice on the programme.

Full Business Case and Benefits Realisation

- Full Business Cases including preparation of Benefits Realisation Plans will be developed by each sport to allow for final offer letters (Funding Agreements) to be issued. The Programme team are currently guiding the 3 sports through a procurement process to provide FBC consultants.
- Preparation of the Full Business Case will be monitored closely to ensure readiness for sign off by DCAL economists. The attached 'Programme Milestones' schedule highlights key dates for sign off on FBC approvals.
- As project FBC's are being developed, DCAL economists will facilitate preparation of the final programme FBC, and will review

and maintain alignment of the Programme and Project Business Plans.

Communications

- A review of the programme Communications Plan and Media Handling Plan is currently taking place. Areas of interest are pre-planning communications by GAA and IFA, and the communication of key programme benefits going forward.
- The Programme Director is currently considering the need for a dedicated communications post within the programme team.
- The attached 'PR and Communications Milestones' schedule at Appendix III indicates PR opportunities across the 3 sports based on current timelines.

Risk Management and Issue Resolution

- A Programme Risk Register is being maintained by the Programme Manager and reflects all known programme risks currently threatening programme delivery. The register also outlines actions currently being undertaken by the Programme team to manage those risks.
- A Programme Issues Log is being maintained by the Programme Manager to record all issues currently impacting on the programme and details the actions the Programme team are currently taking to resolve those issues.

PROJECT UPDATES

UBIRFU / RAVENHILL

Legals

- **LETTERS OF OFFER:** existing Development Costs Letter of Offer will be novated from SNI to DCAL. Key principles and template documents are now being developed for the 'Funding Agreement' which will represent the offer letter for the IST contract.
- **SECURITY CHARGE:** deed of covenant prepared and issued to UBIRFU, awaiting signing by UBIRFU and IRFU.

Timelines

- **PROGRAMME TIMELINE:** remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined below in the 'Progress against Milestones' table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Invitation to Tender	08.06.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
DCAL sign off FBC	12.10.12	On target	
Issue DCAL Letter of Offer (LOO)	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.12	On target	

*Also see Appendix IV – Master Timeline for UBIRFU project.

Project Budget and Spend

- **BUDGET:** detailed project budget has been prepared by the ICT and is now with CPD for comment.
- **COMPENSATION EVENTS:** 18% increase in the ICT cost is being proposed by UBIRFU to bring the design from stage D to stage E, in order to allow greater cost certainty in the ICT tender. Overall effect is cost neutral as there is a projected corresponding reduction in the IST design cost.
- **OPTIMISM BIAS:** there is a strong possibility that optimism bias will be required to offset the potential impact of inflation on the project

budget. UBIRFU are currently developing OB request and justification.

- SPEND PROFILE: agreed with UBIRFU and currently remains on target. See attached Appendix I for UBIRFU spend profile.

Governance

- MEMORANDUM OF UNDERSTANDING (MOU): currently being revised to reflect new governance structures.
- GATEWAY REVIEW: NI Gateway Team have approved UBIRFU to proceed to gateway 3 with only a health check required at this time.

Planning

- PLANNING: planning approval received, no outstanding issues.

Business Case and Benefits Realisation

- FULL BUSINESS CASE: contract for service to appoint consultants to complete the FBC and Benefits Realisation Plan is currently out to tender. Appointment will be made by mid-May.
- APPROVAL OF FBC: The FBC for the Ravenhill project will need to be considered and approved by DCAL by 12 October 2012. Sign off on the FBC is required before final letter of offer (Funding Agreement) can be issued to UBIRFU.
- BENEFITS REALISATION PLAN: Benefits Realisation work will be undertaken at the same time as preparation of the FBC. Programme team will provide support and advice to UBIRFU on completion of same.

IFA/ WINDSOR

Legals

- **LETTERS OF OFFER:** existing Development Costs Letter of Offer will be novated from SNI to DCAL. Key principles and template documents now being developed for the 'Funding Agreement' which will represent the offer letter for the IST contract.
- **SECURITY CHARGE:** IFA / Linfield agreement has been signed. Due diligence work now being carried out on the newly formed companies. This due diligence and a risk assessment of the IFA will inform the nature of the security taken on this award. This assessment will be concluded within the next 4 weeks.

Timelines

- **PROGRAMME TIMELINE:** remains on target with full commitment of the public sector spend expected within the CSR period provided key assumptions are met around planning timescales and business case approvals, and that significant procurement challenges are avoided. Project completion anticipated in June 2015. Target dates for key project milestones are outlined below in the 'Progress against Milestones' table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	18.04.12	Completed	ICT appointed
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval	20.06.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	26.07.13	On target	
Issue DCAL Letter of Offer (LOO)	26.07.13	On target	
Appoint IST & prepare detailed design	26.07.13	On target	
Commence Construction	26.08.13	On target	
Complete Construction	01.06.15	On target	

*Also see Appendix V – Master Timeline for IFA project.

Project Budget and Spend

- **BUDGET:** ICT have been appointed in April 2012 and they will develop the detailed budget. Design work to Stage D needs completed to allow greater certainty around project budget.
- **COMPENSATION EVENTS:** None to date.
- **OPTIMISM BIAS:** no requests to date. To be reviewed upon development of detailed budget.
- **SPEND PROFILE:** agreed with IFA and currently remains on target. See attached Appendix I for IFA spend profile.

Governance

- **MEMORANDUM OF UNDERSTANDING (MOU):** currently being revised to reflect new governance structures.
- **GATEWAY REVIEW:** NI Gateway Team have approved IFA to proceed to gateway 3 with only a health check required at this time.

Planning

- **PLANNING:** stewardship of the 'Planning Working Group' meetings has been handed over to the IFA. All key statutory agencies and Strategic Projects Division (SPD) represented at these meetings. A 'Step by Step Plan for Planning' has been developed and is being populated by IFA and the statutory agencies.

Business Case and Benefits Realisation

- **FULL BUSINESS CASE:** tenders for the contract for service to appoint consultants to complete the FBC and Benefits Realisation Plan have been returned. Appointment will be made by mid-May.
- **APPROVAL OF FBC:** The FBC for the Windsor project will need to be considered and approved by DCAL by 24th July 2013. Sign off on the FBC is required before final letter of offer (Funding Agreement) can be issued to IFA.
- **BENEFITS REALISATION PLAN:** Benefits Realisation work will be undertaken at the same time as preparation of the FBC. Programme team will provide support and advice to IFA on completion of same.

GAA/ CASEMENT

Legals

- **LETTERS OF OFFER:** existing Development Costs Letter of Offer will be novated from SNI to DCAL. Key principles and template documents now being developed for the 'Funding Agreement' which will represent the offer letter for the IST contract.
- **SECURITY CHARGE:** all trustees of Casement Park to become Ulster Council nominated trustees. Due diligence and a risk assessment of the site ownership will inform the nature of the security taken on this award. This assessment will be concluded within the next 4 weeks.

Timelines

- **PROGRAMME TIMELINE:** remains on target with full commitment of the public sector spend anticipated within the CSR period provided key assumptions are met around planning timescales and business case approvals, and that significant procurement challenges are avoided. Project completion anticipated in September 2015. The GAA program timeline has been agreed by the Project Board, remains challenging and will require an aggressive delivery strategy to ensure compliance to program. Target dates for key project milestones are outlined below in the 'Progress against Milestones' table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Issue Tender for ICT	08.05.12	Behind schedule	Slipped from 03.05.12- not yet issued
Appoint ICT	25.07.12	On target	Savings to time to be made to keep programme on target
ICT Develops Design to RIBA Stage E	30.04.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval	20.12.13	On target	
IST Invitation to Tender	01.04.13	On target	
DCAL sign off FBC	31.07.13	On target	
Issue DCAL Letter of Offer (LOO)	31.07.13	On target	
Appoint IST & prepare detailed design	02.01.14	On target	
Commence Construction	02.01.14	On target	
Complete Construction	30.09.15	On target	

*Also see Appendix VI – Master Timeline for UCGAA project.

Project Budget and Spend

- **BUDGET:** ICT will be appointed in July 2012 and they will develop detailed budget. Design work to Stage D will need completed before greater certainty around the project budget is known.
- **COMPENSATION EVENTS:** none to date as ICT not yet appointed.
- **OPTIMISM BIAS:** to be reviewed upon appointment of ICT and development of detailed budget.
- **SPEND PROFILE:** agreed with GAA and currently remains on target. See attached Appendix I for GAA spend profile.

Governance

- **MEMORANDUM OF UNDERSTANDING (MOU):** currently being revised to reflect new governance structures.
- **GATEWAY REVIEW:** GAA have completed the Risk Potential Assessment (RPA) and are awaiting response from the NI Gateway Team around likely entry gate.

Planning

- **PLANNING:** stewardship of the 'Planning Working Group' meetings has been handed over to the GAA. All key statutory agencies and Strategic Projects Division (SPD) are represented at these meetings. A 'Step by Step Plan for Planning' has been developed and is being populated by GAA and the statutory agencies.

Business Case and Benefits Realisation

- **FULL BUSINESS CASE:** GAA to initiate tender process by end of May 2012 to procure contract for service to appoint consultants to complete the FBC and Benefits Realisation Plan. Appointment will be made by mid-June.
- **APPROVAL OF FBC:** The FBC for the Casement project will need to be considered and approved by DCAL by 31st July 2013. Sign off on the FBC is required before final letter of offer (Funding Agreement) can be issued to GAA.
- **BENEFITS REALISATION PLAN:** Benefits Realisation work will be undertaken at the same time as preparation of the FBC. Programme team will provide support to GAA on completion of same.

End of Report

Appendix I

STADIUM PROGRAMME SPEND PROFILE

Date	MONTHLY SPEND			
	Ravenhill	Windsor Park	Casement Park	TOTAL
Mar-12	218,597.00	0.00	161,403.00	380,000.00
Apr-12	71,100.00	46,152.90	31,871.36	149,124.26
May-12	77,523.00	56,152.90	61,871.36	195,547.26
Jun-12	73,055.00	56,152.90	71,871.36	201,079.26
Jul-12	51,600.00	56,152.90	201,871.36	309,624.26
Aug-12	20,100.00	56,152.90	231,871.36	308,124.26
Sep-12	10,100.00	56,152.90	261,871.36	328,124.26
Oct-12	15,100.00	56,152.90	171,871.36	243,124.26
Nov-12	359,357.00	56,152.90	171,871.36	587,381.26
Dec-12	785,657.00	56,152.90	171,871.36	1,013,681.26
Jan-13	1,081,403.00	56,152.90	171,871.36	1,309,427.26
Feb-13	1,266,103.00	26,325.31	171,871.36	1,464,299.67
Mar-13	1,293,051.00	16,325.31	171,871.36	1,481,247.67
Apr-13	1,454,544.00	16,325.31	171,871.36	1,642,740.67
May-13	1,454,069.00	16,325.31	52,561.01	1,522,955.32
Jun-13	1,230,878.00	16,325.31	52,561.01	1,299,764.32
Jul-13	961,720.00	244,158.64	52,561.01	1,258,439.65
Aug-13	685,003.00	346,491.98	52,561.01	1,084,055.99
Sep-13	710,638.00	418,125.31	52,561.01	1,181,324.32
Oct-13	709,407.00	602,325.31	52,561.01	1,364,293.32
Nov-13	731,306.00	1,011,658.64	52,561.01	1,795,525.65
Dec-13	676,336.00	1,318,658.64	52,561.01	2,047,555.65
Jan-14	604,798.00	1,420,991.98	723,889.58	2,749,679.56
Feb-14	485,795.00	1,523,325.31	1,046,546.73	3,055,667.04
Mar-14	300,222.00	1,676,825.31	1,272,406.73	3,249,454.04
Apr-14	197,351.00	1,830,325.31	1,853,189.58	3,880,865.89
May-14	36,456.00	2,034,991.98	3,143,818.16	5,215,266.14
Jun-14	36,456.00	2,239,658.64	4,111,789.58	6,387,904.22
Jul-14		2,341,991.98	4,434,446.73	6,776,438.71
Aug-14		2,444,325.31	4,757,103.87	7,201,429.18
Sep-14		1,308,191.98	5,241,089.58	6,549,281.56
Oct-14		2,147,325.31	5,725,075.30	7,872,400.61
Nov-14		2,044,991.98	6,370,389.58	8,415,381.56
Dec-14		1,331,718.41	7,015,703.87	8,347,422.28
Jan-15		1,123,991.98	7,428,361.01	8,552,352.99
Feb-15		1,021,658.64	7,661,018.16	8,682,676.80
Mar-15		714,658.64	3,976,967.30	4,691,625.94
Apr-15		472,595.31	3,949,407.17	4,422,002.48
May-15		478,040.42	3,789,132.44	4,267,172.86
Jun-15		254,092.19	3,143,818.16	3,397,910.35
Jul-15			2,175,846.70	2,175,846.70
Aug-15			1,207,875.30	1,207,875.30
Sep-15			733,905.96	733,905.96
	£ 15,597,725.00	£ 30,994,274.75	£ 82,408,000.25	£ 129,000,000.00

Spend within CSR
112,795,286.35

Appendix I

Stadium Programm Spend Profiles - Qualifications & Assumptions

Besides the typical fluctuations in a final spend profile for a fully tendered, programmed and approved capital project, the spend profiles for the 3 projects and the programme are subject to additional pressures around profiling in relation to the current status of each project within the programme.

The following is a brief summary of the additional pressures associated with each project and the programme.

UBIRFU (Ravenhill)

1. Currently the design is only at stage D.
2. Geotechnical surveys are ongoing.
3. IST tender has not yet been issued.
4. Design & build and programme from IST is critical to final methodology and profiling of spend.

IFA (Windsor Park)

1. Design not yet developed.
2. Geotechnical surveys yet to be commissioned.
3. Planning not submitted.

GAA (Casement Park)

1. Design team not yet appointed.
2. Geotechnical surveys yet to be commissioned.
3. Planning not submitted.

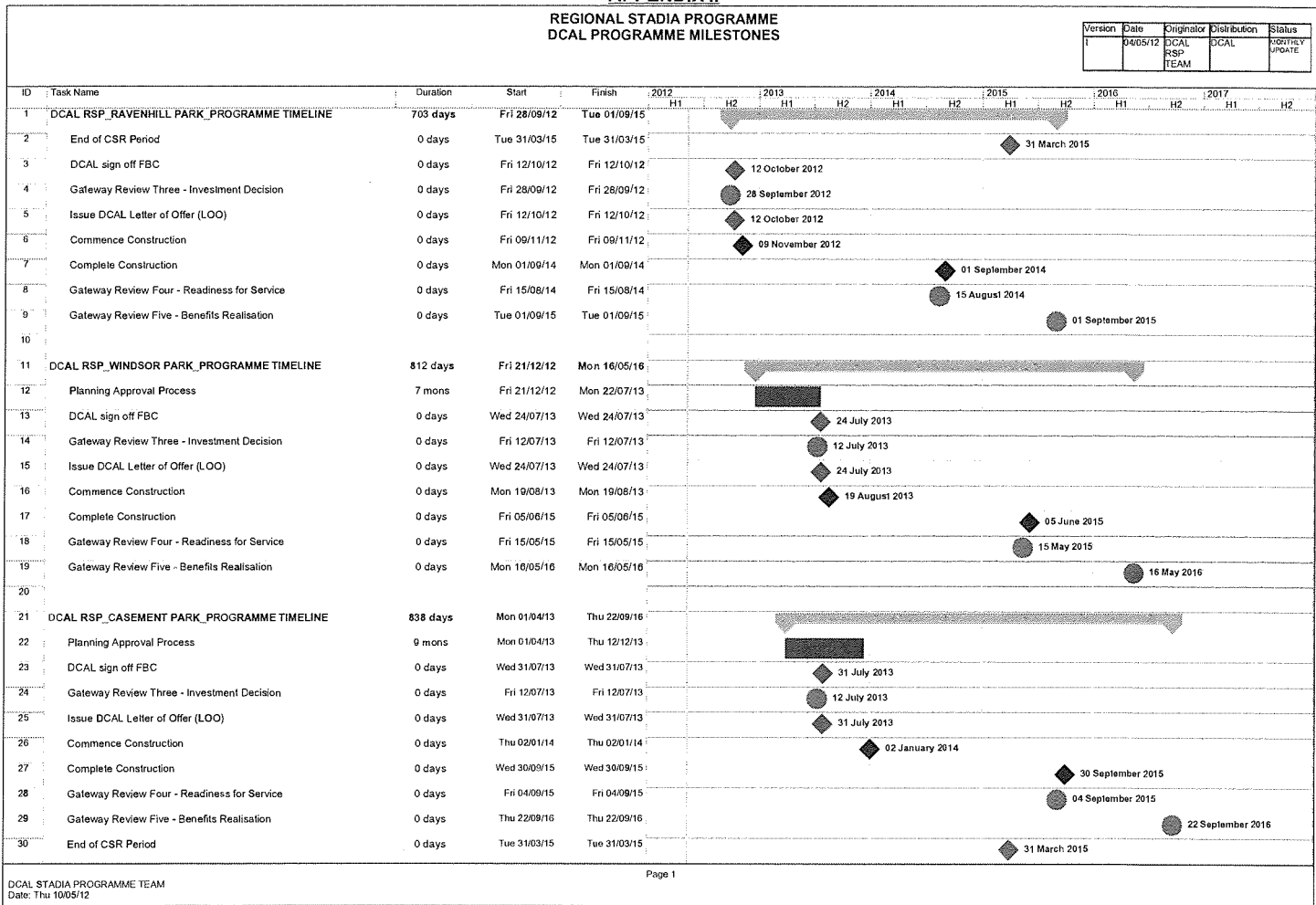
Stadia Programme

1. Full business case yet to be submitted and approved for each project.
2. Potential for judicial review on any of the projects.
3. Funding agreement yet to be agreed with each governing body.
4. Procurement advice to be aligned with the aggressive programme for each project.

APPENDIX II

**REGIONAL STADIA PROGRAMME
DCAL PROGRAMME MILESTONES**

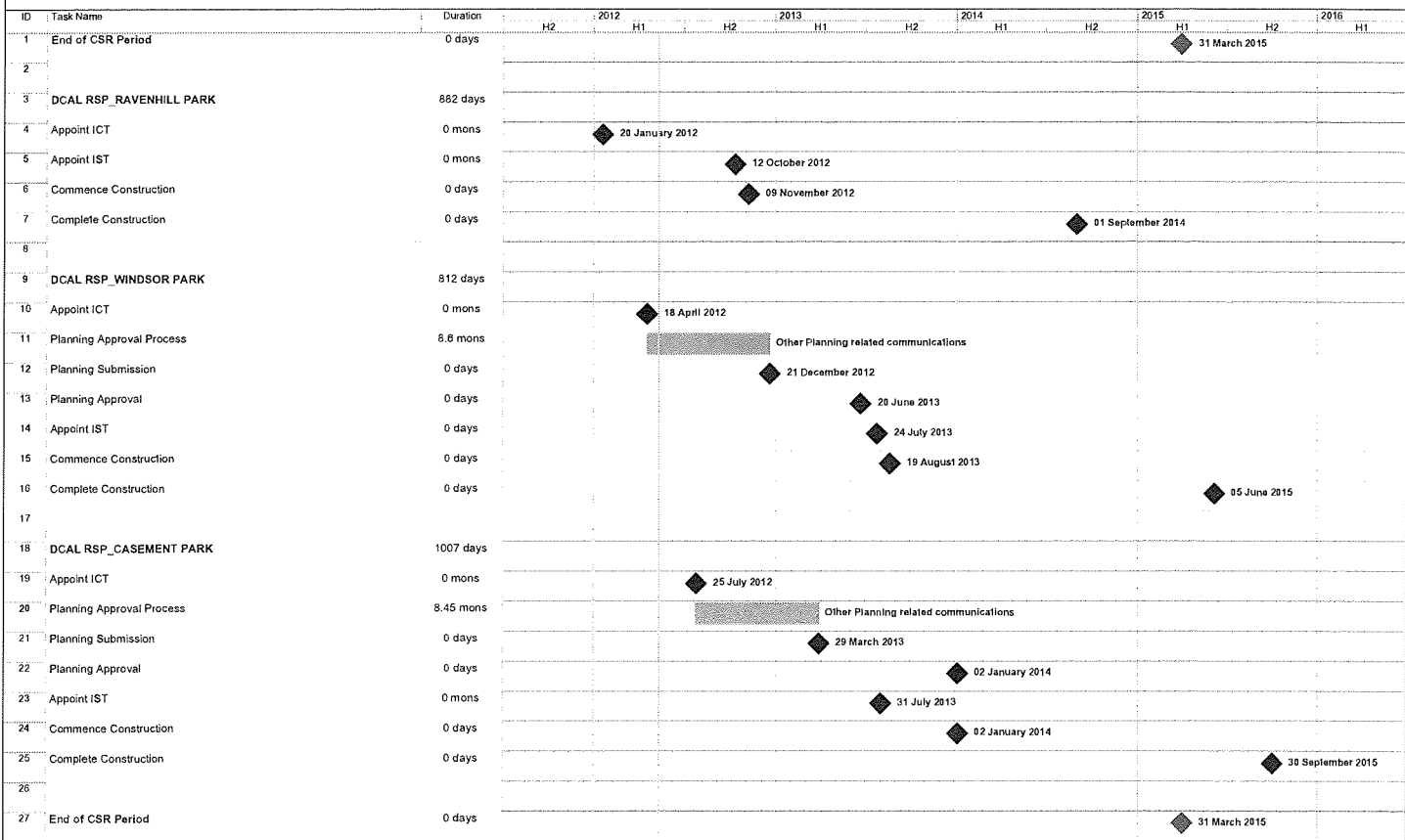
Version	Date	Originator	Distribution	Status
1	04/05/12	DCAL RSP TEAM	DCAL	INITIALLY UPDATE



APPENDIX III

**REGIONAL STADIA PROGRAMME
DCAL PR + COMMUNICATIONS MILESTONES**

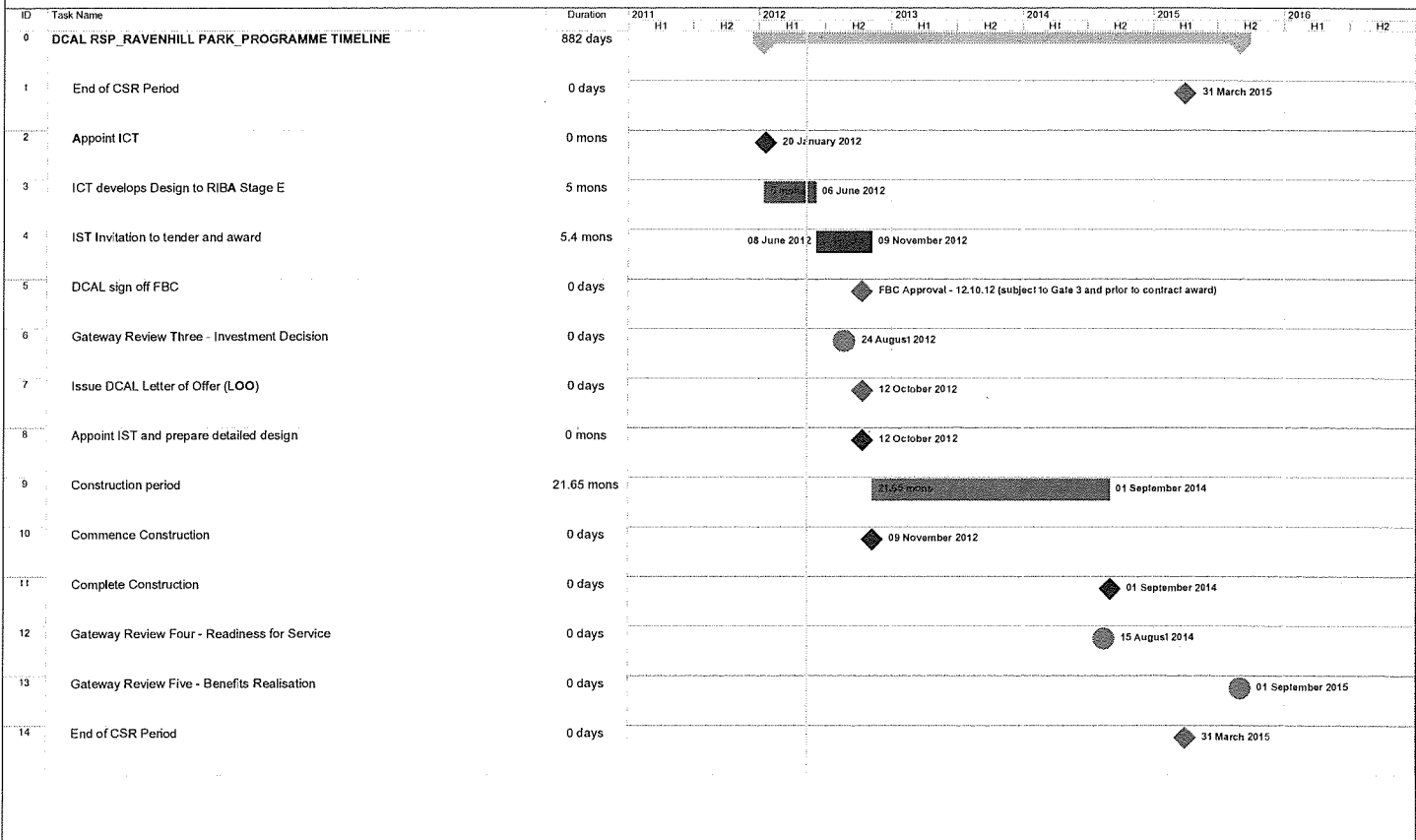
Version	Date	Originator	Distribution	Status
1	04/05/12	DCAL RSP TEAM	DCAL	ADVERTISEMENT UPDATE



APPENDIX IV

**REGIONAL STADIA PROGRAMME
RAVENHILL PARK STADIUM
DCAL MASTER DEVELOPMENT TIMELINE**

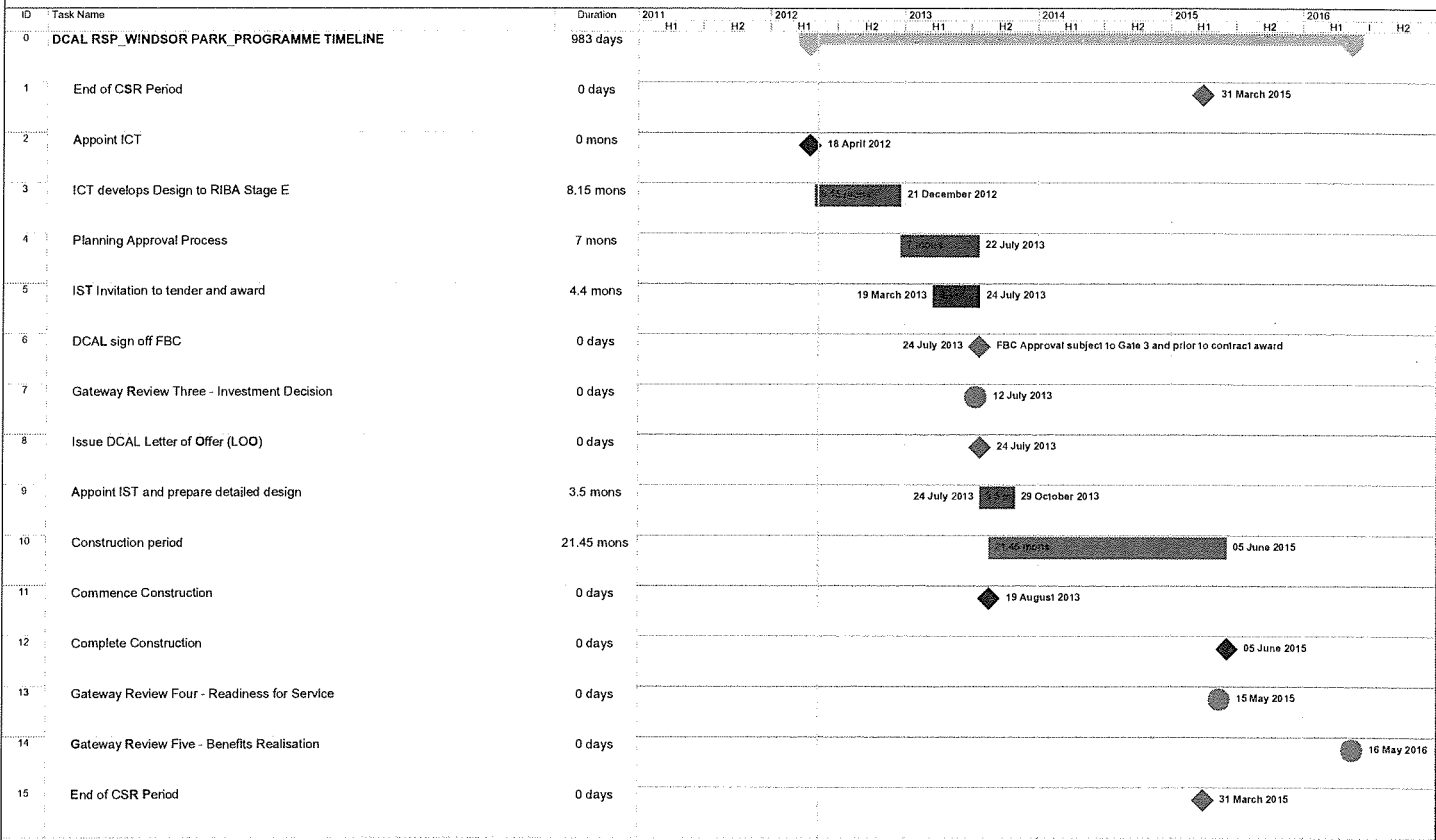
Version	Date	Originator	Distribution	Status
1	04/05/12	DCAL RSP TEAM	Programme Team	MONTHLY UPDATE



APPENDIX V

**REGIONAL STADIA PROGRAMME
WINDSOR PARK STADIUM
DCAL MASTER DEVELOPMENT TIMELINE**

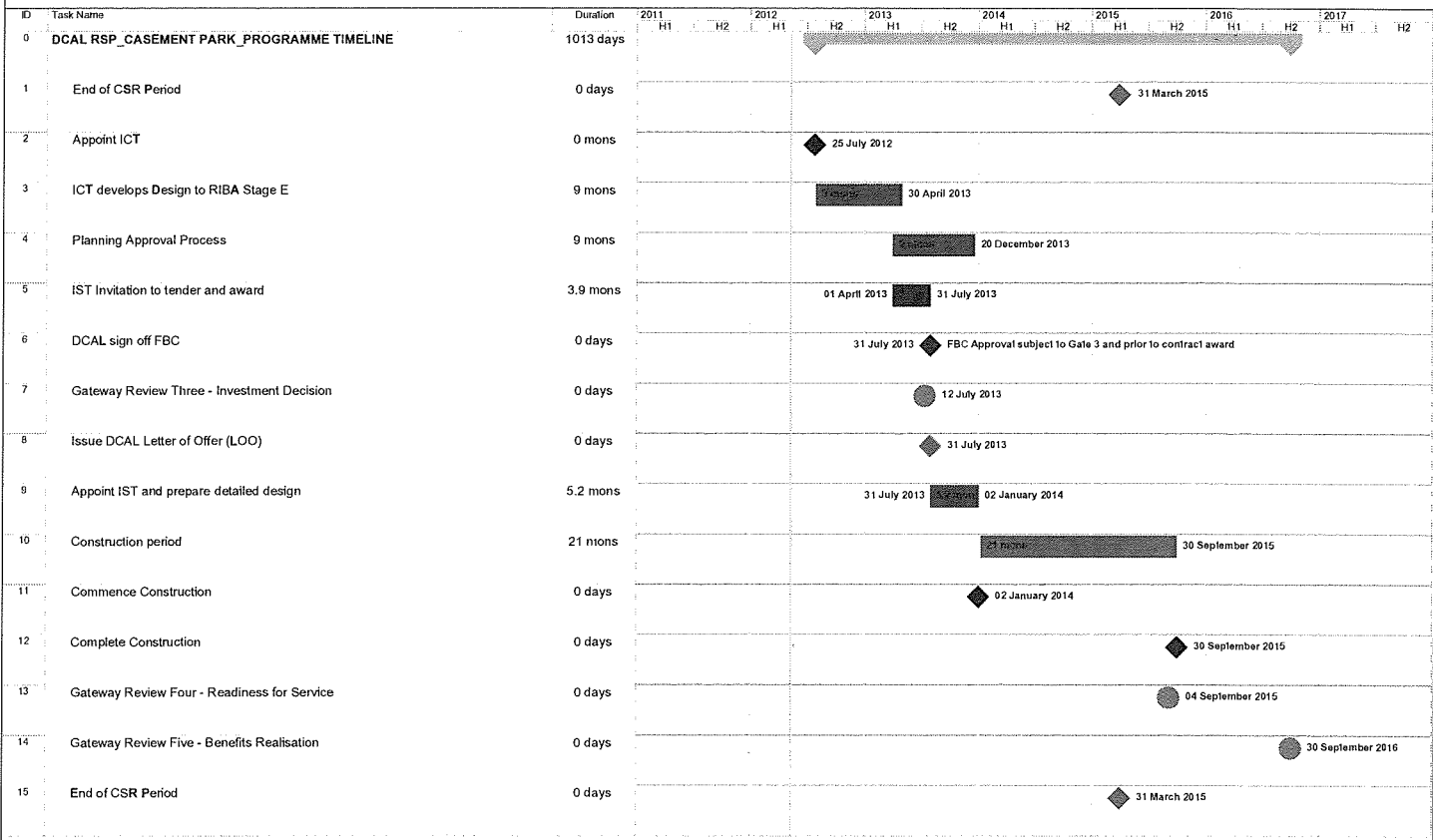
Version	Date	Originator	Distribution	Status
1	04/05/12	DCAL RSP TEAM	Programme Team	MONTHLY UPDATE



APPENDIX VI

**REGIONAL STADIA PROGRAMME
CASEMENT PARK STADIUM
DCAL MASTER DEVELOPMENT TIMELINE**

Version	Date	Originator	Distribution	Status
1	04/05/12	DCAL RSP TEAM	Programme Team	AGENCY UPDATE

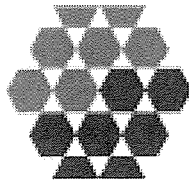


Stadium Programme - Annual Spend Profile

Original Spend Profile v Current Spend Profile

	Stadium Programme		
	Original Profile	Current Profile	Variance
2011/12	1,000,000.00	380,000.00	-620,000.00
2012/13	20,000,000.00	7,590,784.62	-12,409,215.38
2013/14	20,000,000.00	22,251,455.05	2,251,455.05
2014/15	69,000,000.00	79,777,760.33	10,777,760.33
2015/16			
	110,000,000.00	110,000,000.00	0.00

NOTE: An easement of £620k was declared in December 2012 in relation to the 2011/12 spend figure.



Department of
**Culture, Arts
and Leisure**
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Version	Date	Owner	Distribution	Status
4	08/05/2012	Stadium Programme Manager	DCAL Management Meeting	Approved by DCAL Stadium Team

PROGRAMME RISK REGISTER

RISK EVALUATION - IMPACT

Descriptor	Cost Impact	Programme Impact
Low	Negligible impact £100's	1-2 weeks
Low- Medium	Cost impact less than £10,000	2-4 weeks
Medium	Cost impact- £10,000 to £50,000	4-6 weeks
Medium- High	Cost impact greater than £50,000	6-8 weeks
High	Cost impact greater than £100,000	> 8 weeks

RISK EVALUATION- PROBABILITY

Descriptor	Detailed Description	Percentages (%)
Low	May occur only in exceptional circumstances	<10%
Low- Medium	Might conceivably occur at some time	10-30%
Medium	Could occur at some time	30-50%
Medium- High	Will probably occur in most circumstances	50-70%
High	Is expected to occur in most circumstances	70% +

Risk Scoring Matrix

Probability	2	3	Low	Low-Medium	Medium	Medium-High	High
High	5	10		15	20	25	
Medium-High	4			12	16	20	
Medium	3				12	15	
Low-Medium	2	4				10	
Low	1	2	3				

Programme Delivery

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob	Impact	Prob. x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
					Scale of investment and competitive nature of construction market make this programme high risk in terms of potential challenges to each procurement exercise. Key elements are the procurement and appointment of the ICT and IST bodies.	Any legal challenges may result in timescales not being met or potential suspension or termination of projects	Procurement strategy for ICT/IST procurements agreed with CPD. GB's to liaise with SNI/CPD to ensure all procurements are carried out as per relevant public procurement guidelines. Close involvement with CPD during procurement stages. Clarity to be received on Stage D/E for ICT. Keep process as simple as possible at PQQ and ITT stage. Legal review of documents to be undertaken. Assessment panel members to be adequately skilled & trained.	Ongoing	3	4	12			Project SROs
PD1	Potential procurement challenges	01-Nov-11		08-May-12	Potential delays to starting community engagement. Lack of inter departmental working regarding the Stadium projects.	Projects cannot proceed without planning approval in place	Step by Step Plan has been developed for GAA and IFA. IFA Planning Consultants now in place. Planning Working Group in place. Early community engagement initiated.	IRFU in place. Planning for GAA/IFA to be approved by Dec/Jun 13 respectively.	4	4				Project SROs
PD2	Planning Approval not secured within the programme timescales	01-Nov-11		08-May-12	Potentially a new law coming into place which requires planning approval for demolition	Would prevent projects demolishing existing infrastructures in advance of full planning approval being secured. Impact on timelines particular GAA	GB's to liaise with Strategic Planning Division re. changes in law to expedite appointments/ICT appointment.	Soon after ICT appointed	5	1	5			IFA SRO
PD3	Demolition issue regarding planning (IFA)	01-Nov-11		08-May-12	Potentially a new law coming into place which requires planning approval for demolition	Would require an additional planning application before demolition could begin. Impact on timelines particular GAA	GB's to liaise with Strategic Planning Division re. changes in law to expedite appointments/ICT appointment.	0	0	0	0			UBIRFU SRO
PD3	Demolition issue regarding planning (UBIRFU)	01-Nov-11	08/05/2012	08-May-12	Potentially a new law coming into place which requires planning approval for demolition	No CSR budget beyond March 2015	DCAL have prepared revised programme timeline with GAA. SRO for the GAA project to provide financial progress reports to the Programme Board.	Ongoing	3	3	9			UCGAA SRO
PD4	Project timelines fail to fit with the CSR timeframe (UCGAA)	01-Nov-11		08-May-12	Overall programme timelines may not fit CSR budgets	No CSR budget beyond March 2015	SRO for the IFA project to provide financial progress reports to the Programme Board. IFA Programme timeline remains in place.	Ongoing	3	3	9			Project SROs
PD4	Project timelines fail to fit with the CSR timeframe (IFA)	01-Nov-11		08-May-12	Overall programme timelines may not fit CSR budgets	No CSR budget beyond March 2015	SRO for the IFA project to provide financial progress reports to the Programme Board. IFA Programme timeline remains in place.	Ongoing	3	3	9			Project SROs

Programme Delivery

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob	Impact	Prob x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
PD4	Project timelines fail to fit with the CSR timeframe (UBIRFU)	01-Nov-11		08-May-12	Overall programme timelines may not fit CSR budgets	No CSR budget beyond March 2015	SRO for the IRFU UB Project to provide financial progress reports to the Programme Board. Monitor fit of the project progress with IRFU UB fixture programme. UBIRFU programme remains in place.	Ongoing	1	2	2			Project SROs
PD5	Failure to comply with Gateway 0 Recommendations	01-Feb-12	30-Mar-12	08-May-12	Failure to comply with Gateway 0 Review Recommendations could result in failures in programme delivery.	Low Assurance; Delayed Projects & Spend	All recommendations achieved.	Completed	0	0	0			Prog SRO
PD6	Non-compliance PSNI Anti-Terrorism Recommendation	01-Feb-12	07-Mar-12	08-May-12	Non-consideration of recommendations in Stadium Design.	Late changes to Design; Delays; Increased Costs	Early consultation with PSNI by Design Teams. PSNI have confirmed projects do not fall within counter-terrorism measures.	At planning application	0	0	0			Project SRO
PD7	Abnormally low tender submissions	01-Feb-12		08-May-12	Current Economic Climate	Cost Cutting, Poor Quality; Insolvent Contractors; Cost Escalation mid contract; Delays; Mid project re-tendering	Pre determine how to identify adnormal low prices. Each project to participate in a Contracts Workshop to discuss mechanisms to mitigate this risk.	Pre ITT for IST	3	5	15			Project SRO
PD8	Expectation to integrate MAG Reviews into the Project Timeline	01-Feb-12		08-May-12	Advice to use MAG Reviews	Potential Delays, Improved Quality, Potentially too late on some projects, design team resistance.	Project Specific Application; Limit application of MAG where there is no benefit; Early engagement with MAG on a project specific basis; Carefully consider best time for MAG input to each project.	Soon after ICT appointed	3	3	9			Project SRO
TOTAL											0			

Quality

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob Impact	Prob x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
Q1	Failure to deliver design quality across the stadium projects.	01-Nov-11		08-May-12	Pressures on timelines and budget due to CSR and impact of inflation on costs and reduced OB. Condensed construction time periods may restrict design options.	Reduced design quality across the stadium projects.	ICT to carry out regular design reviews and risk/value engineering workshops. Consider role of MAG in design reviews. Adequate time provided to complete options appraisal and Article 31 planning application. Consider MAG input and possible impact on time.	At planning application	3	9			SRO
TOTAL										0			

Financial

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob	Impact	Prob x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
F1	Potential increase in project costs	01-Nov-11		08-May-12	Costings provided for OBC may be out of date and do not allow for the impact of inflation. Also costings are based only on preliminary design assumptions.	Projects may not be affordable	Project costings do not allow for the impact of inflation. ICT teams to review costings when appointed and to design stadia against available budgets. Consider OB allowance for each project.	At tender award stage	3	4	12			Project SROs
F2	Partnership Funding	01-Nov-11		08-May-12	Partnership funding needs confirmed formally.	GB's Funding not in place to proceed with the projects	GB's to secure partnership funding necessary. GAA to provide letter of offer from Central Council at Croke Park to confirm £15M contribution. IFA to seek meeting with Bank re loan contribution.	IST Procurement stage	1	5	5			Project SROs
F3	The OB allocation of £8.7M stated in the programme budget provided by DCAL/DFP does not match the £10M requirement set out in the OBC.	01-Nov-11		08-May-12	Mis-match between figures in the budgets and the OBC.	Reduced OB for each sport which may impact on quality and timeliness.	Review OB requirement for the Programme and raise with DFP.	Ongoing	5	3	15			SRO
F4	Appropriate Financial Control Framework in place.	01-Nov-11	27-Mar-12	08-May-12	Complex delivery structures.	Decision making is slow and consequential impact on timeliness and budgets.	Secure approval of a revised Financial Control Framework. Continue to monitor application of the Framework to decisions. Now in place.	Completed	0	0	0			SRO
TOTAL											0			

Corporate Governance + Programme Assurance

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob	Impact	Prob x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
G1	Failure to submit viable and affordable business plans	01-Nov-11	13-Mar-12	08-May-12	Business Plans may not be affordable and viable	Condition of DCAL letter of offer. SNI not being in a position to move the project forward until business plan approved.	SNI/DCAL to approve all business plans in advance of development costs letter of offer. All Business Plans approved.	Completed	0	0	0			Project SROs
G2	Negative publicity regarding Stadium Programme	01-Nov-11		08-May-12	GB's failure to meet programme timescales. Failure to deliver within CSR period. Negative PR around planning issues.	Negative PR, publicity and reputational risks for SNI/DCAL/GB's	Consider communications post. Monitoring of progress against PR and Communications Milestone Schedule. Ensure adherence by all stakeholders to the Communications Strategy and Media Handling Plan. Early community engagement.	Ongoing	3	3	9			Project SROs
G3	Legal Agreement between IFAL/Infield not in place	01-Nov-11	19-May-12	08-May-12	Appropriate security of tenure required to release Letter of Offer for development costs	Project cannot happen without security of tenure	IFAL/Infield agreement to be signed up to before SNI will issue development costs offer letters. Agreements are now being subject to find review. IFA Linfield Agreement now in place.	Completed	0	0	0			Project SROs
G4	Failure to meet timelines associated with approval of the full business cases.	01-Nov-11		08-May-12	DCAL/DFP approval process may take longer than allowed for project timelines.	Negative affect on programme and put in danger the GB's ability to drawdown public funds within CSR period	Early notification to DCAL Economists of dates for submission of full business cases and deadlines for approval.	Ongoing	3	3	9			Project SROs
G5	Failure to agree acceptable security arrangements for SNI grant aid funding. Also consider valuation of assets compared to award amount.	01-Nov-11	21-Mar-12	08-May-12	Failure to agree on legal charge/mortgage	Project will not happen without appropriate security	GB's to liaise with SNI in order to provide solution to security requirements. Advice received from SIB re. valuation of asset Vs award amount (closed). Paper being presented to SNI Council in February 2012 re Security on SNI Awards. Security Policy now in place.	Completed	0	0	0			Project SROs
G6	The need for sufficient resources to be in place across the programme and project structures, and governing body capacity to deliver the projects.	01-Nov-11		08-May-12	Potential lack of resources within SNI, CPD and GBs.	Slow down in the delivery of the projects.	New Programme Director in place. Continue to review GB resources. Continue to monitor whether Governing Bodies have appropriately trained personnel in place to deliver the projects.	Ongoing	3	3	9			Project SROs

Corporate Governance + Programme Assurance

Risk Ref	Description	Insertion Date	Elimination Date	Date of Last Review	Caused by	Effects	Mitigation	Target Date for Resolution	Prob	Impact	Prob x Impact (RED/AMBER/GREEN)	Cost Impact	Programme Impact	Owner
G7	The human resource demands relating to providing the required assurance to the Sponsor Board and the potential impact to the delivery resource.	01-Nov-11	30/04/2012	08-May-12	Conflicting demands of ensuring project delivery through GB & providing programme assurance to DCAL/Sponsor Board. HR restrictions associated with savings delivery plan.	Staffing pressures and diversion of resources from delivery could impact on time.	Ensure the stadium team has adequate resources and expertise to perform both roles effectively. Dedicated Programme Director and SIB Advisor soon to be appointed. Programme Execution Plan confirmed appropriate by DCAL relieving assurance demands.	Ongoing	0	0	0			All key stakeholders
G8	Onsite Health and Safety Risks	01-Feb-12		08-May-12	Lack of attention to H&S of personnel on site	Death or serious injury; Delays; Investigations; Criminal Charges	Standing agenda item on both Programme and Project Board agendas. Requirement for H&S plans & full implementation onsite.	Ongoing	3	3	9			Project SRO
TOTAL											0			

No	Raised	Owner	Closed	Description	Suggested Action
				Start up	
1.1	12/02/12	EM	24/02/12	Delivery of the three projects has not been set up as a programme but political imperative is that projects are simultaneously progressed.	Confirmed at Sponsor Board and accepted by SNI that there is a programme level role needed.
1.2	12/02/12	RB	05/03/12	Role of SNI with regard to planning not clearly established.	SNI role in planning process issued in 12 point plan. Implementation dealt with below.
1.3	12/02/12	EM	29/02/12	Governing bodies concerns over programme management costs being charged to them.	Now clarity over Programme Management Costs. Clarity provided by Minister and DCAL at Sponsor Board, and by letter to Governing Bodies from SNI.
1.4	12/02/12	JB	30/04/12	Programme benefits realisation	Project level BRP's to be requested and delivered by Governing Body. Procurement of consultants to be completed across all three sports
				Organisation	
1.5	12/02/12	EM	05/04/12	Relationship between DCAL and SNI is failing.	Weekly meeting chaired by the PD for SNI to update DCAL on progress with issues to be established. First meeting yet to happen. Programme now being delivered by DCAL
1.6	12/02/12	NH	13/03/12	Current skills and capacity of SNI do not fully meet the needs of the role going forward and are not funded	Analysis of skills. New PD to be confirmed and PD to agree skills set.
1.7	12/02/12	CS	09/03/12	Planning working level groups are not established to coordinate the projects. IDM is established.	First meeting established.
1.8	12/02/12	CM		A bottom-up coordination forum to be established when PMs are in place.	Set up a coordination meeting for PMs when they are appointed to supplement project steering groups. Consider part time co-location.
1.9	12/02/12	CM	30/04/12	Procurement processes do not get sufficient attention at steering group meetings due to extensive agencies.	Establish a procurement working group for each project separate to steering group.
1.10	12/02/12	NM		Communications and PR plans need extended to cover pre-planning consultation. Management of communications schedule to be assigned.	Communications and PR Milestone Schedule now in place. Consider Communications Appointment.
4.1	22/03/12	NM		Programme Mobilisation Plan to be agreed with Programme Director.	Programme Director to implement Programme Mobilisation Plan.
				Risk	

Regional Stadia Programme
Programme Level Issues Log V7

Report Date 8th May 2012

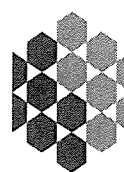
No	Raised	Owner	Closed	Description	Suggested Action
1.11	12/02/12	NM		CPD are not reacting quickly to issues and therefore not providing the support needed by the programme and project teams.	Meet with CPD and establish CPD's role and revise Operating Agreement.
1.12	12/02/12	Gov. Body PS		Risk registers have been prepared. These have been led by SNI and not the projects.	Project risk management to be owned by the PMs at steering group meetings.
1.13	12/02/12	EM	08/03/12	Procurement parafoia is limiting the approach being taken to securing services and works.	Creates difficult position for SRO who can't go against the advice of the COPE.
				Programme plan	
1.14	12/02/12	EM	24/02/12	Timescale overrun likely on critical path - Casement Park.	Recognised by Sponsor Board. New plan requested.
1.15	12/02/12	NM	08/05/12	Programme timelines to be prepared	New plan being developed for all three projects. The absence of construction market testing will result in less than 80% certainty. Consider role of Programme Director in signing off new timelines.
1.16	12/02/12	CM	08/05/12	Some of Programme PEP needs tailored for project delivery.	Relevant sections of PEP to be extracted to form a manual for the projects.
4.2	26/03/12	NM	30/04/12	Timescale overrun possible on critical path for Ravenhill (at IST Design stage)	Meeting to be arranged between SNI and UBIRFU to discuss revised timescale prepared by Martin Lawton versus UBIRFU current plan.
				Project plans	
3.1	12/03/12	CW	22/03/12	Need IFA Business Plan approval and approval of the proposed approach to security by 20th March to allow IFA to continue to meet the critical path dates outlined within the project plan - that being appointment of the ICT by 5th April 2012.	DCAL to approval Business Plan for IFA and approach to security
3.2	12/03/12	CW	23/03/12	DCAL need to sign-off release of historic costs for rugby to allow claim to be processed for year end.	DCAL to sign-off single tender action on historic costs for rugby.
1.17	12/02/12	TH/GP		Site investigation data for Casement and Windsor needs secured.	Surveys and investigations need to be specified and fast-track procured ahead of ICT appointment. CPD resistance and advice against this approach.
1.18	12/02/12	NM		Works contract strategies need to be debated when ICT is appointed.	CPD to arrange workshops for all projects.
1.19	12/02/12	CM		Generic project plans have been prepared. These have been led by SNI and not the projects.	Project PEPs to be requested once ICT in place.

No	Raised	Owner	Closed	Description	Suggested Action
4.3	22/03/12	CW	06/04/12	UBIRFU - PPO process for IST appointment is still live despite request for withdrawal.	DCAL to liaise with SNI/CPD/UBIRFU to find a solution to wording of social clauses in OIEU notice and MOJ documentation.
7.1	08/05/12	TH		EIA for UCGAA needs carried out now to ensure programme is kept on track.	UCGAA to procure consultants to carry out EIA now.
1.20	12/02/12	CM	06/03/12	Control Costs management process not established at programme level.	SNI to procure centralised programme cost consultants.
1.21	12/02/12	CM		Potential overrun in programme costs re inflation.	Establish current cost plans and establish adequacy of contingency allowances. Review the OB allowance for each project.
1.22	12/02/12	CM	08/05/12	Project and programme reporting protocols to be presented as a dashboard report.	Project dashboard reporting to be established to enable programme level roll-up.
1.23	12/02/12	CM		Change Control and Financial Approval Framework to be implemented.	Change Control and Financial Approval Framework to be revised to reflect new structures.

**From: Colin Watson
Director of Sports and Stadiums**

Date: 16 May 2012

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

SUMMARY

Issue:	Developments around the delivery of the Regional Stadium Development Programme.
Timescale:	22 May 2012.
Presentational Issues:	Stadium development attracts considerable media interest.
Recommendation:	That the DCAL Departmental Board notes the attached update.
Summary:	The following provides an update on recent action to address concerns around programme management capabilities.

Detail

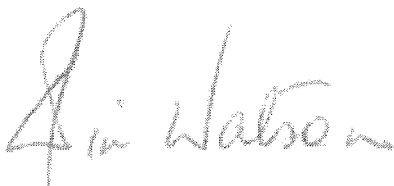
Sport NI was initially appointed Delivery Agent for the Stadium Programme, with the Chief Executive of Sport NI as Senior Responsible Owner. Sport NI worked with the Governing Bodies of the three sports in taking forward the Programme and while progress was made in certain areas it became apparent that the original estimates of the timescales for the construction of the three stadiums could not be met. In recognition of this key risk the Minister considered alternative delivery options, informed by independent advice through the Strategic Investment Board, with the aim of ensuring that the Programme could be delivered as early as possible. She concluded that the responsibility for the

delivery of the Stadium Programme should be placed directly within DCAL. In tandem with this and in line with a key recommendation arising from the Gateway review a Programme Director (Noel Molloy) has been appointed to oversee delivery.

2. Responsibility for the Stadium Programme transferred to DCAL on 30 April 2012 and the Programme Director has been working closely with the Governing Bodies of the sports, assisted by his Team which comprises a Programme Manager, Programme Architect, 3 Development Officers and a Development Assistant.
3. An update report on progress is attached. Of key significance is the agreed programme timelines for completion of the stadiums and the fact that, subject to certain assumptions, revised spend profile across the Programme indicates that the full public sector contribution will be committed within the current CSR period.

Recommendation

4. That the DCAL Departmental Board notes the attached update.

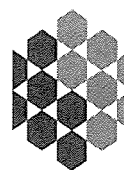
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COLIN WATSON
Tel: 028 9051 5085
e-mail: colin.watson@dcalni.gov.uk

**From: Colin Watson
Director of Sports and Stadiums**

Date: 31 July 2012

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

SUMMARY

- Issue:** **Developments around the delivery of the Regional Stadium Development Programme.**
- Timescale:** **For consideration at 7 August 2012 Board meeting.**
- Presentational Issues:** **Stadium development attracts considerable media interest.**
- Recommendation:** **That the DCAL Departmental Board notes the attached update.**
- Summary:** **The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.**

Detail

The Governing Bodies of the three sports continue to work closely with the Department's Programme Director and Stadium Programme Team to deliver their respective stadium projects within agreed timelines

2. While the individual stadiums are very different in scale and nature there are nevertheless certain common actions to be taken on each, such as planning, the appointment of design teams and appointment of contractors that are crucial to progress and meeting timelines.

Programme Timelines and Spend

3. In progressing their individual stadium projects:
 - a. UBIRFU has agreed and signed off on their project timeline and spend profile indicating completion of project by September 2014.
 - b. IFA has agreed and signed off on their project timeline and spend profile indicating full spend of the public funding within the CSR period and completion of the project by June 2015.
 - c. GAA has agreed and signed off on their project timeline and spend profile indicating full spend of public funding within the CSR period and the completion of the project by September 2015.
 - d. Project costs will be closely monitored and assessed, including a review of Optimism Bias and VAT/cashflow issues. Costs will also be reviewed at the point at which each project appoints its ICT.
 - e. In support of successful delivery, Programme Gateway reviews are being scheduled and will provide independent assurance to the SRO in consideration of the strategic and management measures to be taken at key decision points throughout the Programme.
 - f. The DCAL Programme Team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales. The above timelines assume a clear path through planning applications and do not factor in legal challenges.

Planning Approvals

4. Planning approval is essential to progress. UBIRFU have already received planning permission and work is ongoing in relation to the GAA and IFA projects. Key issues around this are:
 - a. 'Planning Working Groups' involving representation from the DCAL Programme team, GAA/IFA, Strategic Planning Division (SPD) and the statutory agencies have met on four occasions. The level of

cooperation from SPD and the statutory agencies has been to a very high level. Recent correspondence from the Environment Minister restates his department's support and guidance to secure the delivery of the projects. Community engagement being carried out by the three sports will also assist in mitigating risks of planning delays.

b. A significant issue has arisen with regards to planning for the GAA project. A major fixture with an attendance of over 18,000 people needs to be held at Casement Park this season to undertake a baseline traffic survey and allow the target dates for planning approval to be met. Positive discussions continue with GAA to facilitate a fixture of this type in October 2012.

Funding Agreements

5. Funding Agreements are on the critical path for all projects. Actions around this include:
 - a. the Department working with its Solicitors to establish the key principles required within the Funding Agreement.
 - b. The Department briefing each of the Governing Bodies and their legal advisors with regards to the content of the Funding Agreements. Each Governing Body will need to ensure they have the appropriate resource and decision making processes in place to expedite the Funding Agreement in compliance with the Programme timeline.
 - c. The UBIRFU Funding Agreement is nearing completion and will act as a template for the other two sports.

Social Clauses and Socio-Economic Returns

6. Action to embed social clauses and strategies to ensure returns within the procurement and delivery of the stadiums is ongoing. In this regard:

a. The Department has included suitable wording for social clauses in the UBIRFU Integrated Supply Team (IST) contract (construction contract). These clauses will ensure that socio-economic returns are maximised on the project. Tender documents for the appointment of the IST for UBIRFU have been released. The wording on social clauses will act as a template for the GAA and IFA IST contracts.

b. IFA and UBIRFU have appointed consultants who are currently developing Full Business Cases (FBC) for their projects including provision of Benefits Realisation Plans. The FBCs and Benefits Realisation Plans will detail how the Governing Bodies intend to maximise community participation and wider socio-economic returns from their projects. GAA will procure consultants for this work at the appropriate date.

Programme and Project Communications

7. Appropriate communication with key interests and the wider public is an important element in the successful delivery of the stadiums. A number of actions are ongoing:

a. GAA and IFA have commenced early community engagement with regard to planning. GAA intend to apply an additional dedicated full-time resource to communications work from 1 September 2012.

b. DCAL Programme team and Press office are currently developing a Programme Communications Strategy and Plan. This plan will set out all anticipated PR and Communications Milestones at programme and project level and will detail the appropriate organisation/ individual for delivering PR opportunities. The three governing bodies will have an input to this Plan before finalisation.

Project Updates.

8. Project updates for each of the stadium developments are attached for further information.

Recommendation

9. That the DCAL Departmental Board notes the attached update.

A handwritten signature in black ink that reads "Colin Watson". The signature is written in a cursive style with a large initial 'C'.

COLIN WATSON

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e-mail: colin.watson@dcalni.gov.uk

PROJECT UPDATES

UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below. There is no detrimental effect on the overall programme.
- ii) A meeting was held with the tendering contractors on 26th June 2012 to give a brief of the design, contract and social clauses. This meeting proved productive and contractors were satisfied with the key requirements of UBIRFU.
- iii) There is continuing work on the engagement with the local community. The outputs of this work will be reflected in the full Business Case and Benefits Realisation Plan that is currently being drafted by UBIRFU and their business case consultants.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	31.08.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
DCAL sign off FBC	12.10.12	On target	
Issue DCAL Letter of Offer (LOO)	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

IFA/ WINDSOR PARK

- i) Remains on target with full commitment of the public sector spend expected within the CSR period provided key assumptions are met around planning timescales and that significant procurement challenges are avoided. Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Design team (ICT) are now in place and are currently working on concepts for the stadium and engaging with the principal stakeholders on sketch design proposals.
- iii) There have been 2 PAD meetings with planning which have been very positive and the planning consultant is engaging well with the various statutory agencies.
- iv) Significant work has taken place with regard to preparation for the first phase of community consultation. This initial consultation commenced at the beginning of July and a further meeting was held at the end of July. Business Case and Benefits Realisation consultants are now in place to begin preparation of the full Business Case and Benefits Realisation Plan.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval Process	20.06.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	26.07.13	On target	
Issue DCAL Letter of Offer (LOO)	26.07.13	On target	
Appoint IST & prepare detailed design	26.07.13	On target	
Commence Construction	26.08.13	On target	
Complete Construction	01.06.15	On target	

GAA/ CASEMENT

- i) Remains on target with full commitment of the public sector spend expected within the CSR period provided key assumptions are met around planning timescales and significant procurement challenges are avoided. Project completion anticipated in September 2015. Target dates for key project milestones are outlined in the table below.
- ii) As the traffic assessment is critical for planning, and until confirmation that an event can be organised this season the possibility of the completion date of September 2015 being achieved is at higher risk.
- iii) The design team (ICT) tenders have been returned and have been assessed, and final checks are being carried out. Appointment of the design team by 31 July 2012 remains on target. Good progress has been made with regard to enhancing the team, development of the communication consultation process and sign off on MOU/novation agreement.
- iv) Prior to the appointment of the design team, GAA have carried out additional work on the appointment of enabling works, including site investigation, bat surveys and environmental surveys.
- v) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

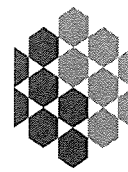
Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Currently behind schedule by 5 days. Alcatel period extended to allow for responses to queries	Appointment will be made by 9 August 2012 subject to no challenges against the process for appointment
ICT Develops Design to RIBA Stage E	30.04.13	On target	While these items remain on target there is some risk involved until such time as the fixture in October is confirmed
Planning Approval Process	20.12.13	On target	
IST Invitation to Tender	01.04.13	On target	
DCAL sign off FBC	31.07.13	On target	
Issue DCAL Letter of Offer (LOO)	31.07.13	On target	
Appoint IST & prepare detailed design	31.07.13	On target	
Commence Construction	02.01.14	On target	
Complete Construction	30.09.15	On target	

**From: Colin Watson
Director of Sports and Stadiums**

Date: 11 September 2012

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 18 September 2012 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board discusses the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

The Department's Programme Director and Stadium Programme Team have continued to engage with the sports' Governing Bodies to progress the individual stadium projects and the Programme as a whole. The Governing Bodies of the 3 sports are working in accordance with the new delivery arrangements with the Project Boards continuing to function as normal.

2. A revised MOU reflecting the new arrangements has been issued to the Governing Bodies for consideration and all three sports have now signed up to their respective MOU.
3. The following provides an update on the key areas. Both I and the Stadium Programme Manager, Ciaran McGurk, will attend the Departmental Board meeting to present and elaborate on the issues involved.

Programme Timelines and Spend

4. In progressing their individual stadium projects:
 - a. UBIRFU has agreed and signed off on their programme timeline and spend profile. Progress remains good with expected completion by September 2014.
 - b. IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Progress remains good with expected completion by June 2015.
 - c. GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period. The design team (ICT) was appointed early September and their initial programme provides for completion of the project by September 2015.
 - d. A further Programme Gateway Review has been scheduled for October 2012 to provide independent assurance to the SRO that the fundamental elements required for successful programme and project delivery are in place and operating effectively.

e. The DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales.

Planning Approvals

5. The Planning Working Groups involving representation from the DCAL programme team, GAA/IFA, Strategic Projects Division (SPD) and the statutory agencies have met on a number of occasions. The level of cooperation from SPD and the statutory agencies has been to a very high level.
6. The DOE Planning Minister, Alex Attwood, has written to UCGAA and IFA restating his Department's commitment to helping secure delivery of the projects within the CSR timeframes and offering continued co-operation from Planning Officials. The Planning Minister held meetings with UCGAA and IFA in August, allowing further discussions on planning issues.

Funding Agreements

7. Funding Agreements are on the critical path for all projects. A draft Funding Agreement has been developed and issued to UBIRFU for consideration. The draft Agreement will act as a template Agreement for UCGAA and IFA.

Social Clauses, Socio-Economic Returns and Community Benefits

8. The Department has included suitable wording for social clauses in the UBIRFU IST (contract) tender documentation. In addition the Department has agreed the wording in relation to social clauses for the IFA OJEU notice (IST appointment). These clauses will ensure that socio-economic returns are maximised on the project builds.

9. IFA and UBIRFU have appointed consultants who are currently developing Full Business Cases (FBC) for their projects including provision of Benefits Realisation Plans. The FBCs and Benefits Realisation Plans will detail how the Governing Bodies intend to maximise community participation and wider socio-economic returns from their projects. GAA will procure consultants for this work in October 2012.

10. It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. As the scale of the public sector investment in the stadium programme is huge, the Department needs to see significant returns in terms of socio-economic and community benefits. The Department has issued a draft guidance paper to the Governing Bodies to provide further advice and support in this area.

Project Updates.

11. Project updates for each of the stadium developments are attached for further information and discussion.

Recommendation

12. That the DCAL Departmental Board discusses the progress on the Regional Stadium Development Programme.



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Noel Molloy
Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team

REGIONAL STADIUM DEVELOPMENT PROGRAMME

PROJECT UPDATES

UBIRFU / RAVENHILL

Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below.

- i) The IST tender documents were released via web portal on 29th June 2012 and all shortlisted contractors have downloaded the tender documentation. Responses have been provided to all tender queries received. The tender return date is 10 September 2012.
- ii) The draft Funding Agreement was issued to UBIRFU on 1st August 2012 for their initial review and consideration. A number of drafts have been exchanged since then and good progress has been made which will allow the Funding Agreement to be executed in tandem with the appointment of the IST on 12 October 2012.
- iii) The full Business Case and Benefits Realisation Plan is currently being drafted by UBIRFU and their business case consultants. The full Business Case will be submitted to the Department on 18 September 2012.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	31.08.12	Date extended	Target date extended to 10 September 2012. No impact on programme.
DCAL sign off FBC	01.10.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed by DCAL & UBIRFU	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

IFA/ WINDSOR PARK

- i) Project is currently ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) The ICT have developed design drawings for the Windsor Park stadium and are engaging with the principal stakeholders to further develop this design. First MAG Review meeting was held on 15th August 2012.
- iii) Significant work has taken place with regard to preparation for the first phase of community consultation. The first community design engagement meeting took place on 26 July 2012 at Greater Village Regeneration Trust and the formal community consultation process has been launched. Business Case and Benefits Realisation consultants are now in place to begin preparation of the full Business Case and Benefits Realisation Plan.
- iv) The wording for the OJEU notice for the IST appointment has been approved by the Department and IFA released the notice on 10th August 2012.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
IST Invitation to Tender	19.03.13	On target	
Planning Approval Received	22.07.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

GAA/ CASEMENT

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015.
- ii) Mott MacDonald were appointed as the design team (ICT) for the project on 5th September and have commenced initial design and planning work.
- iii) The traffic assessment is critical for planning purposes. A date of 3rd November 2012 has been agreed for a suitable fixture/event to take place to facilitate a full traffic assessment.
- iv) Engagement continues with GAA's legal advisors for the stadium project to conclude the required security agreement.
- v) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

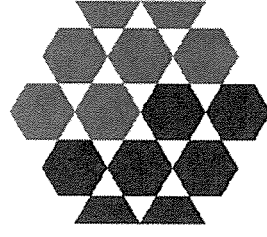
Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval Received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	31.07.13	On Target	
Funding Agreement signed by DCAL & UCGAA	31.07.13	On Target	
Appoint IST & prepare detailed design	31.07.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

DCAL

Regional Stadium

Programme

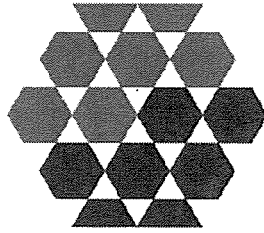


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UBIRFU

National Stadium



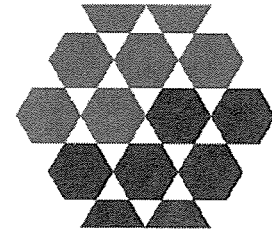
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IFA

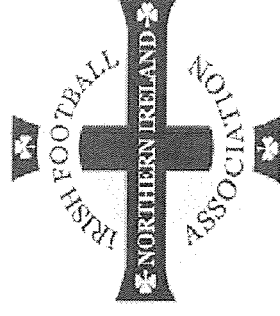
National Stadium

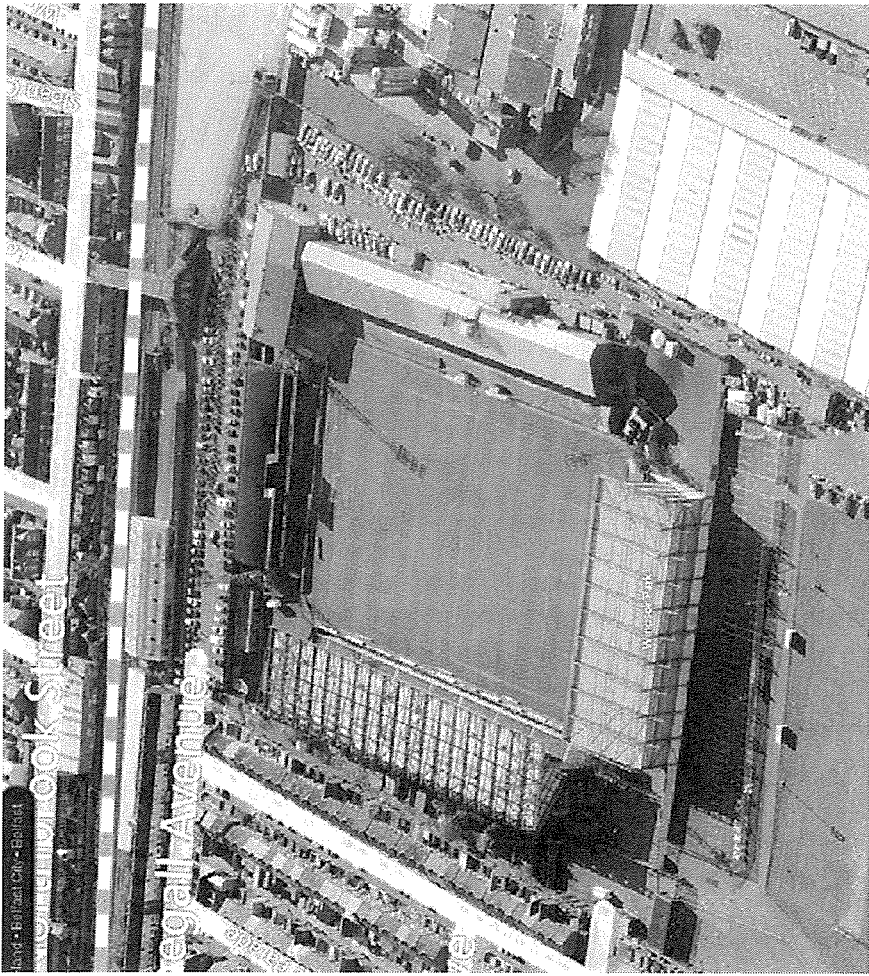


Department of

**Culture, Arts
and Leisure**

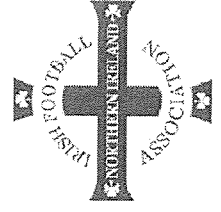
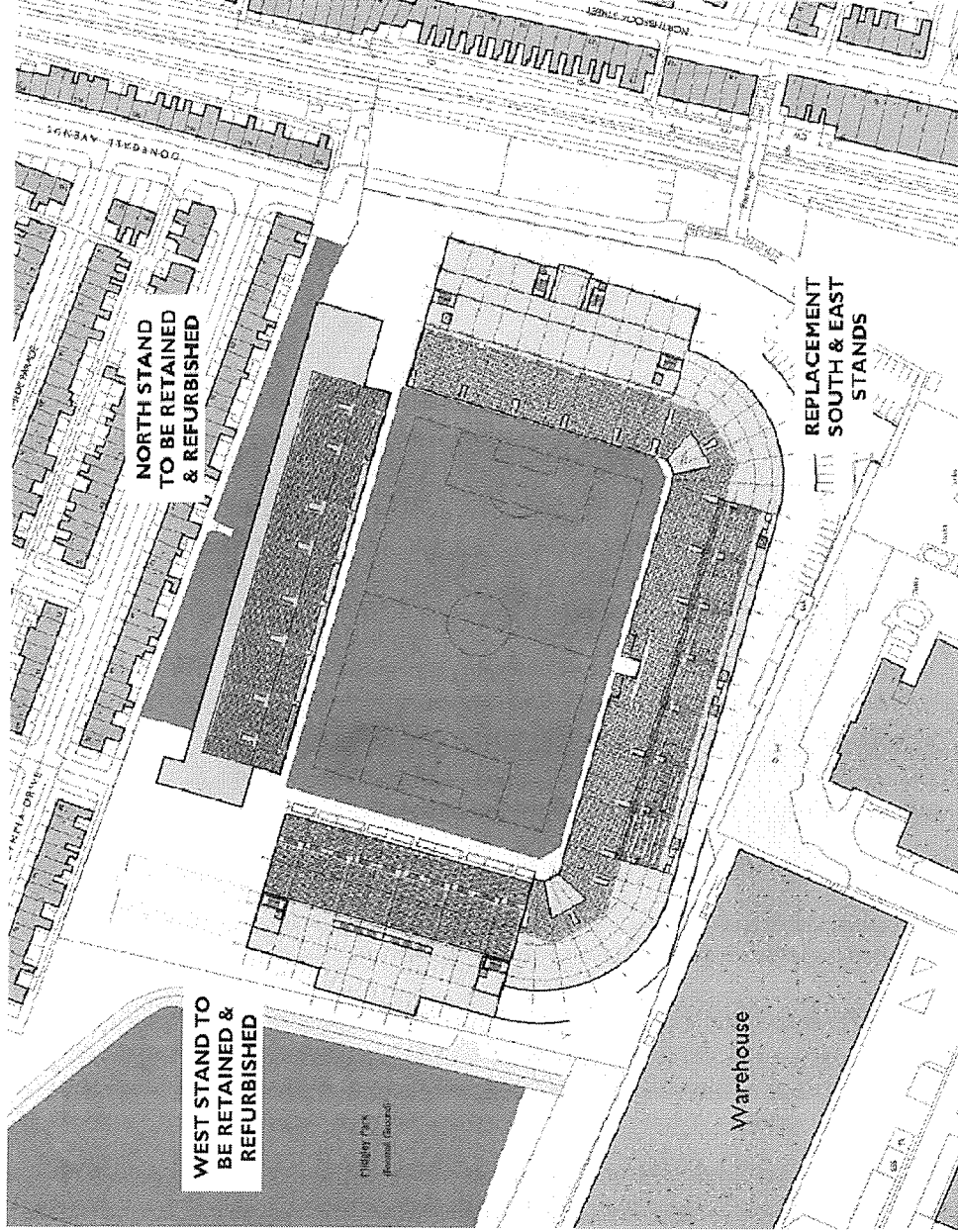
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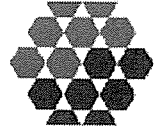


IFA National Stadium – Existing Site

IFA National Stadium – Site Plan

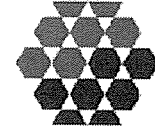
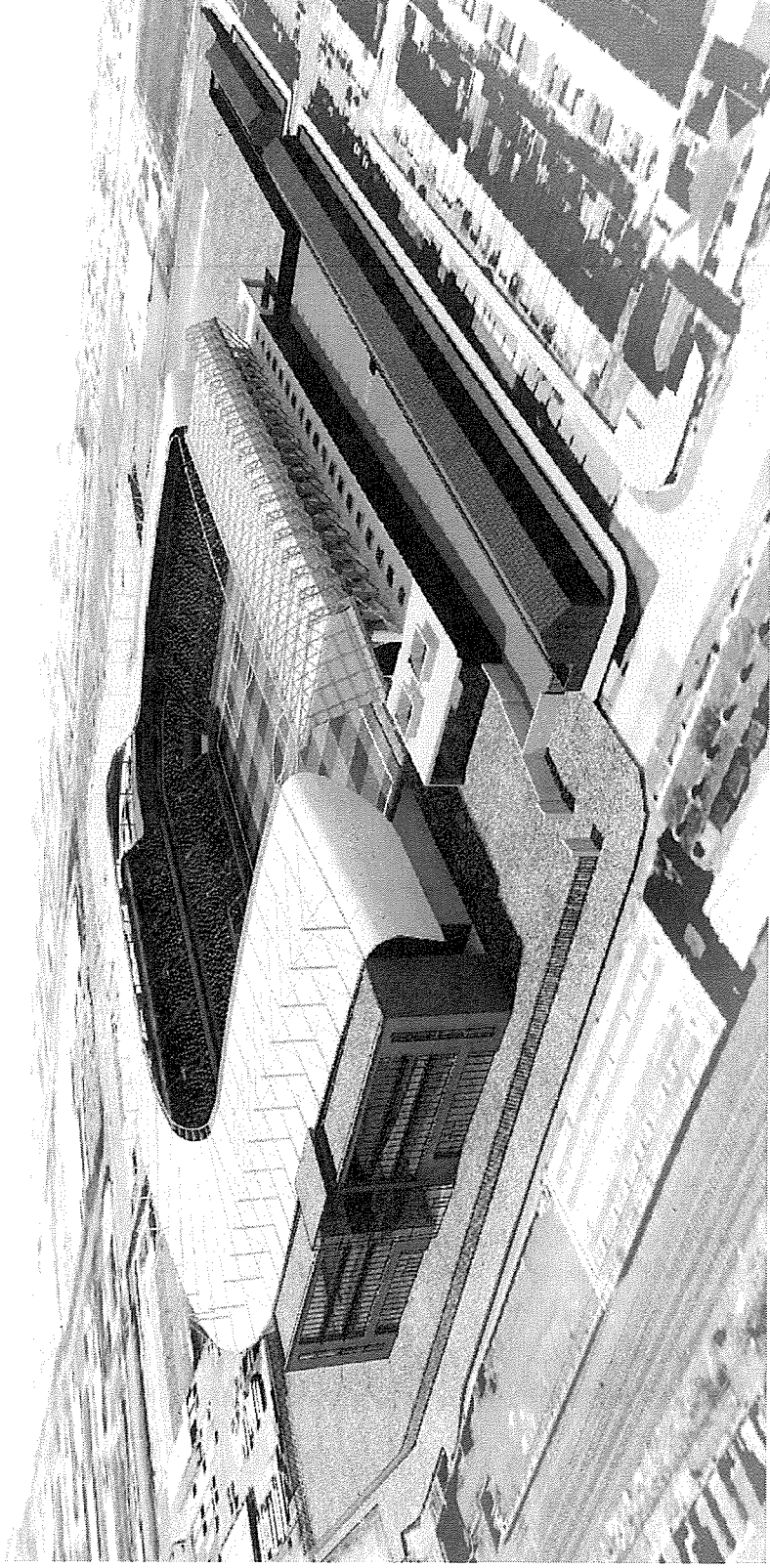


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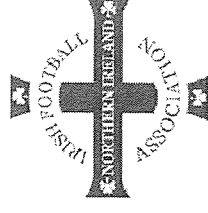



 **hamilton**
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IFA National Stadium – Aerial view from the North East

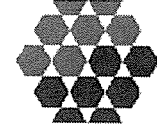


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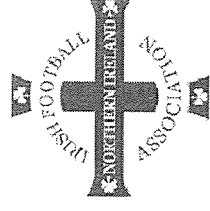


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ARCHITECTS

IFA National Stadium – Aerial view from the North West

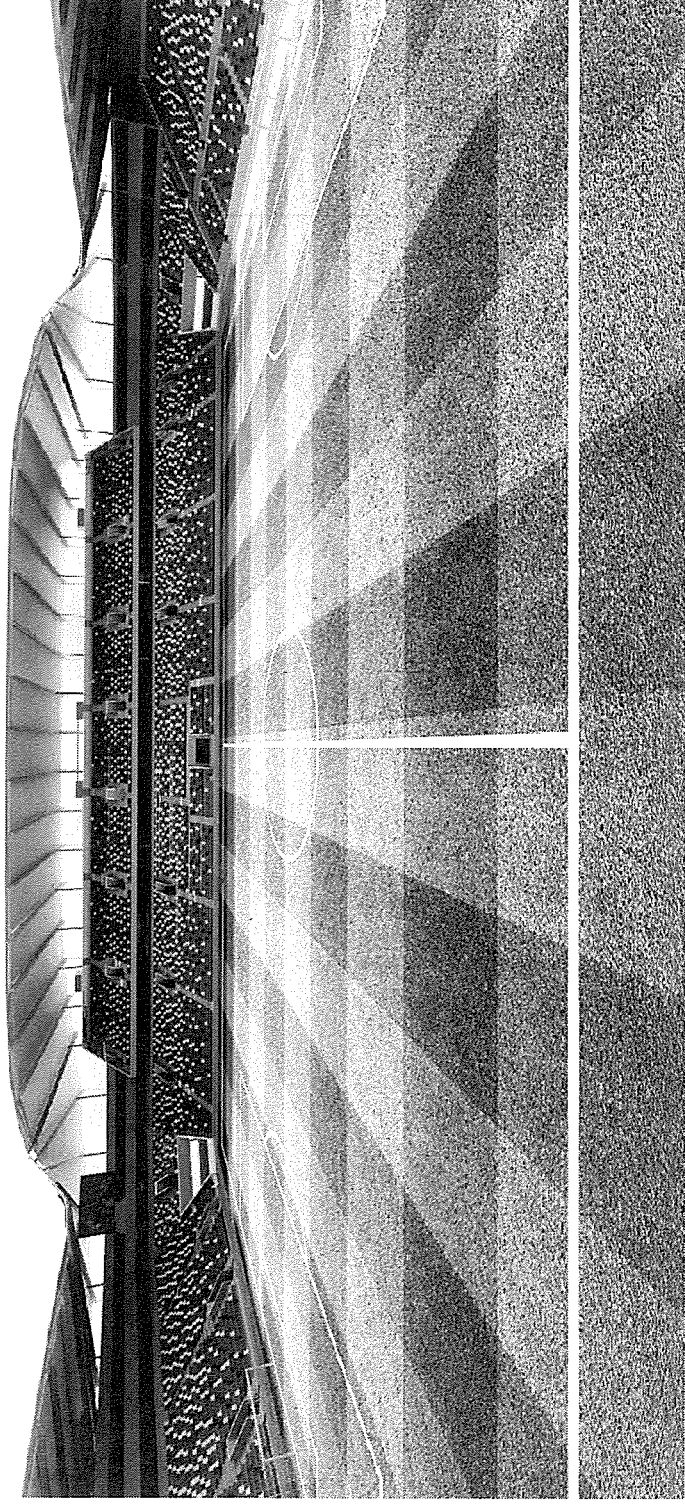


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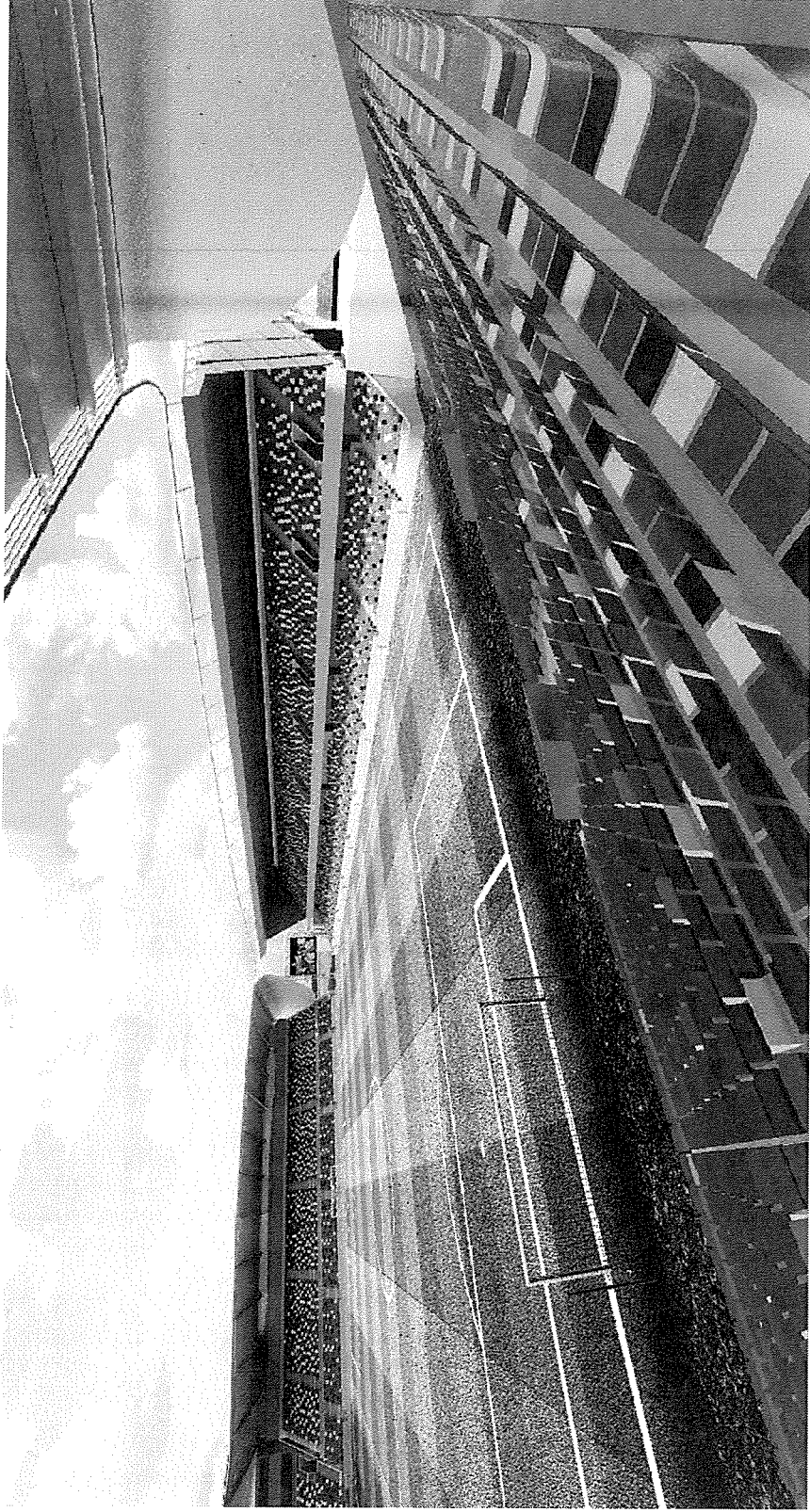


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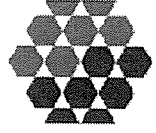
IFA National Stadium – View from the North Stand



IFA National Stadium – View of North Stand

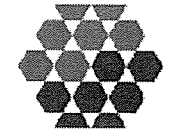
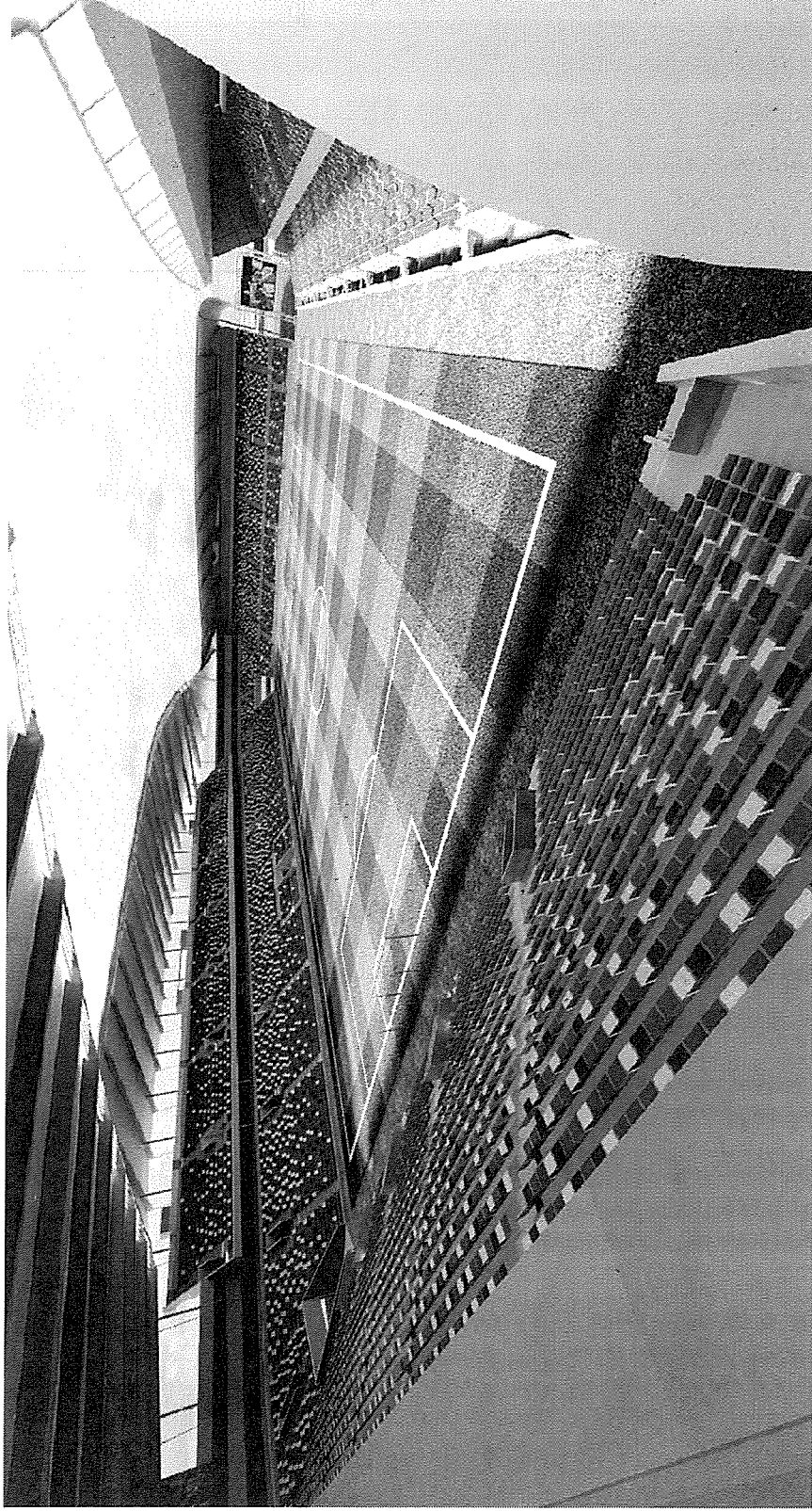


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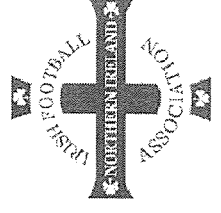
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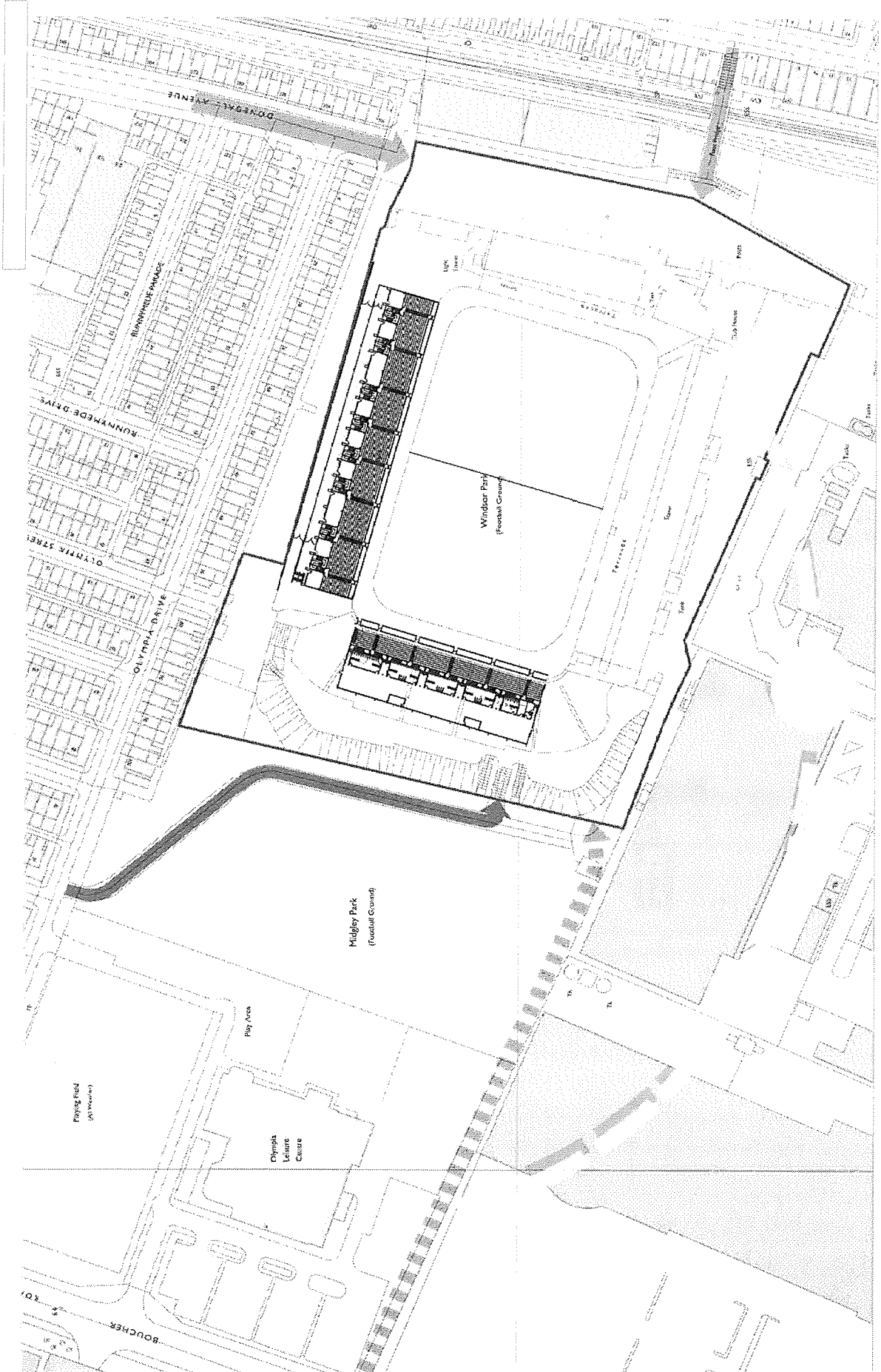
IFA National Stadium



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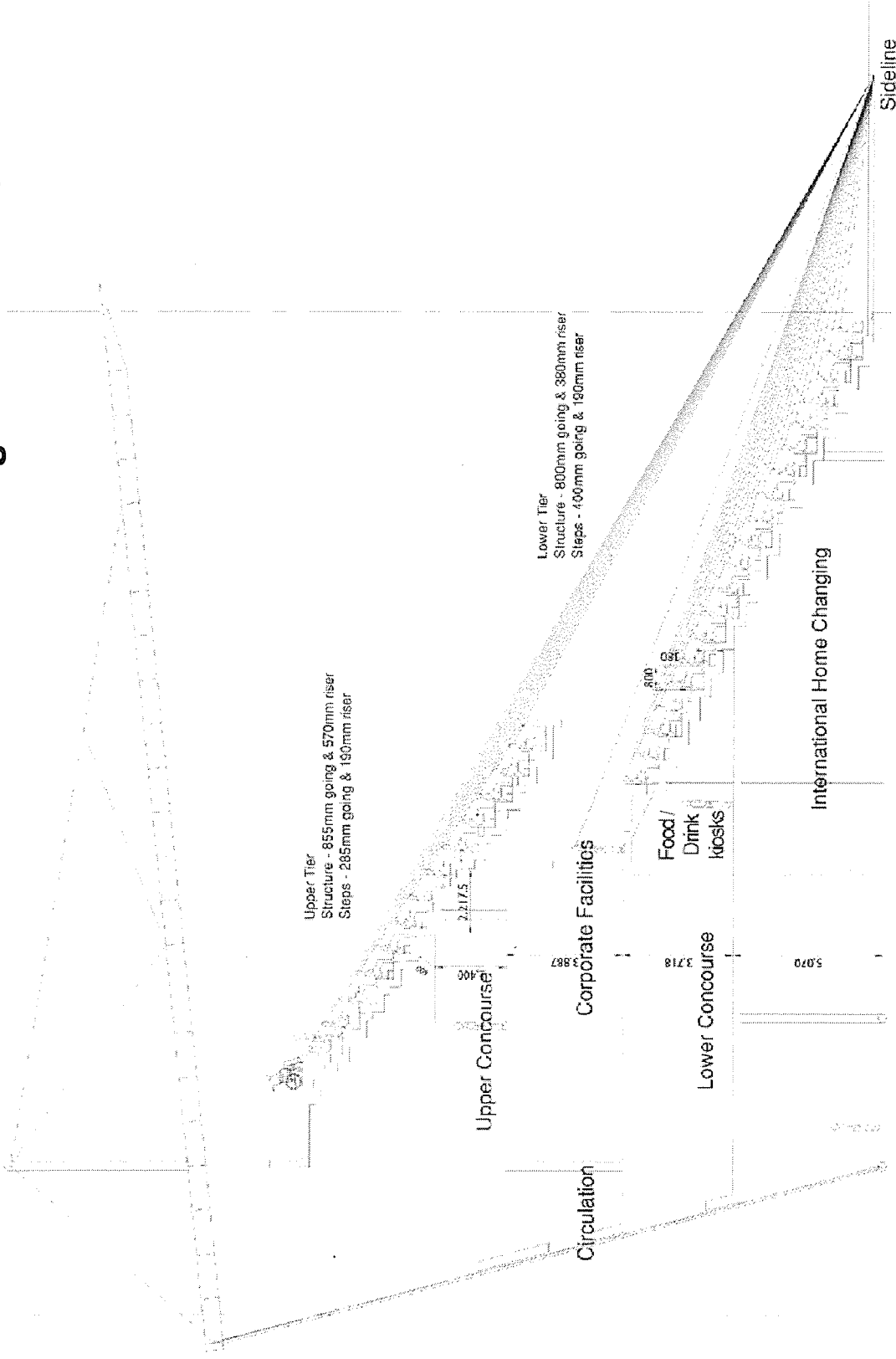
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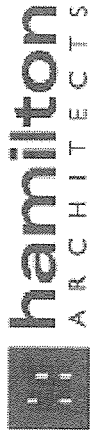
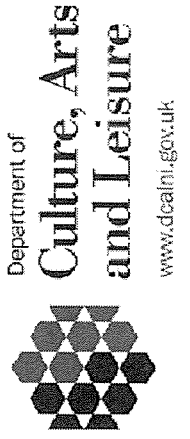
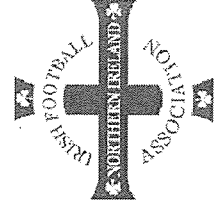


- KEY**
- Residential
 - Leisure Centres
 - Green Space & Playing Fields
 - Industrial
 - Railway Line
 - Pedestrian Access Home-Fans
 - Pedestrian Access Away-Fans
 - Vehicular Access
 - Sun Path
 - Site Boundary

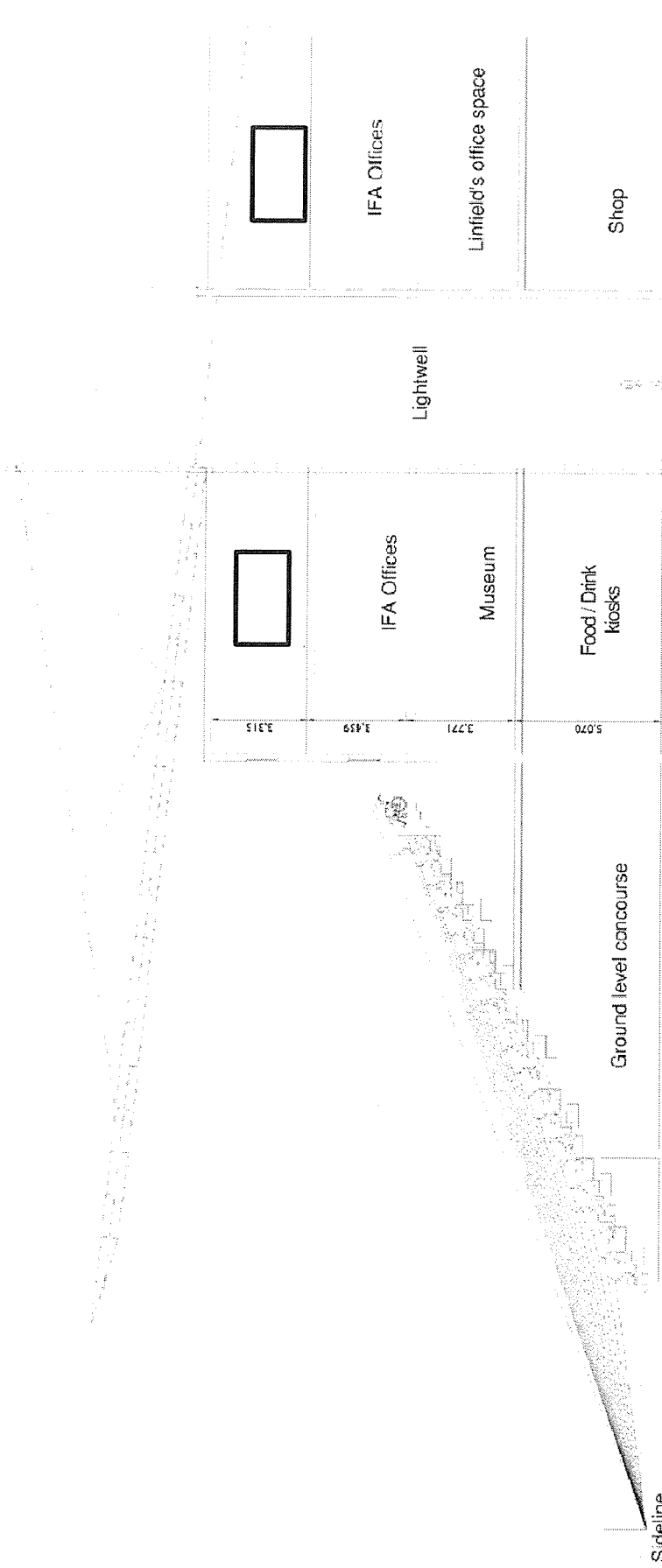
IFA National Stadium – Section through South Stand



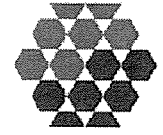
Section A-A



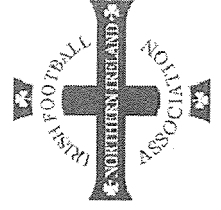
IFA National Stadium – Section through East Stand



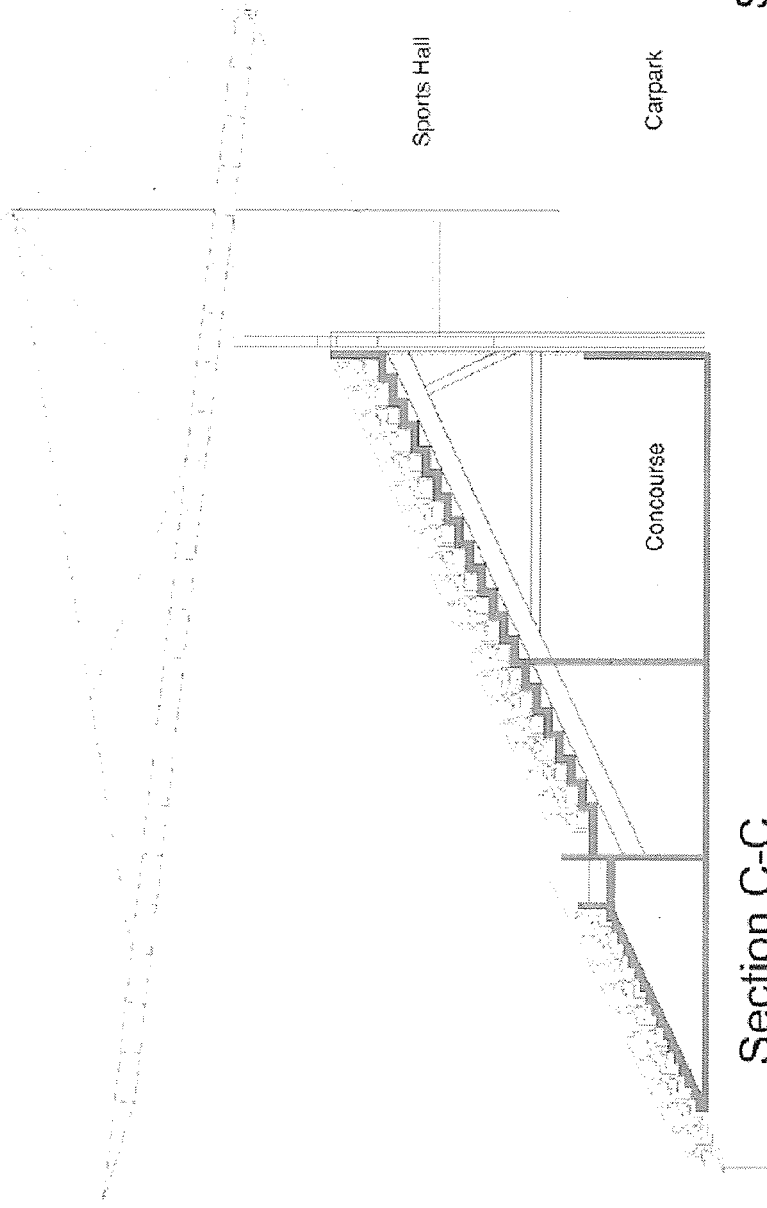
Section B-B



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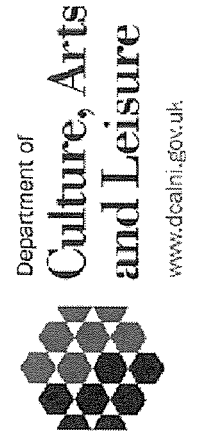


IFA National Stadium – Section through West Stand



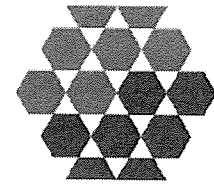
Section C-C

Section C-C



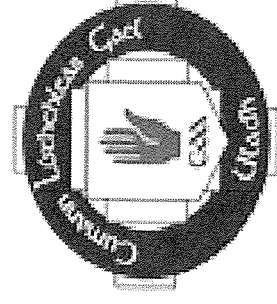
Ulster Council GAA

Casement Park Redevelopment

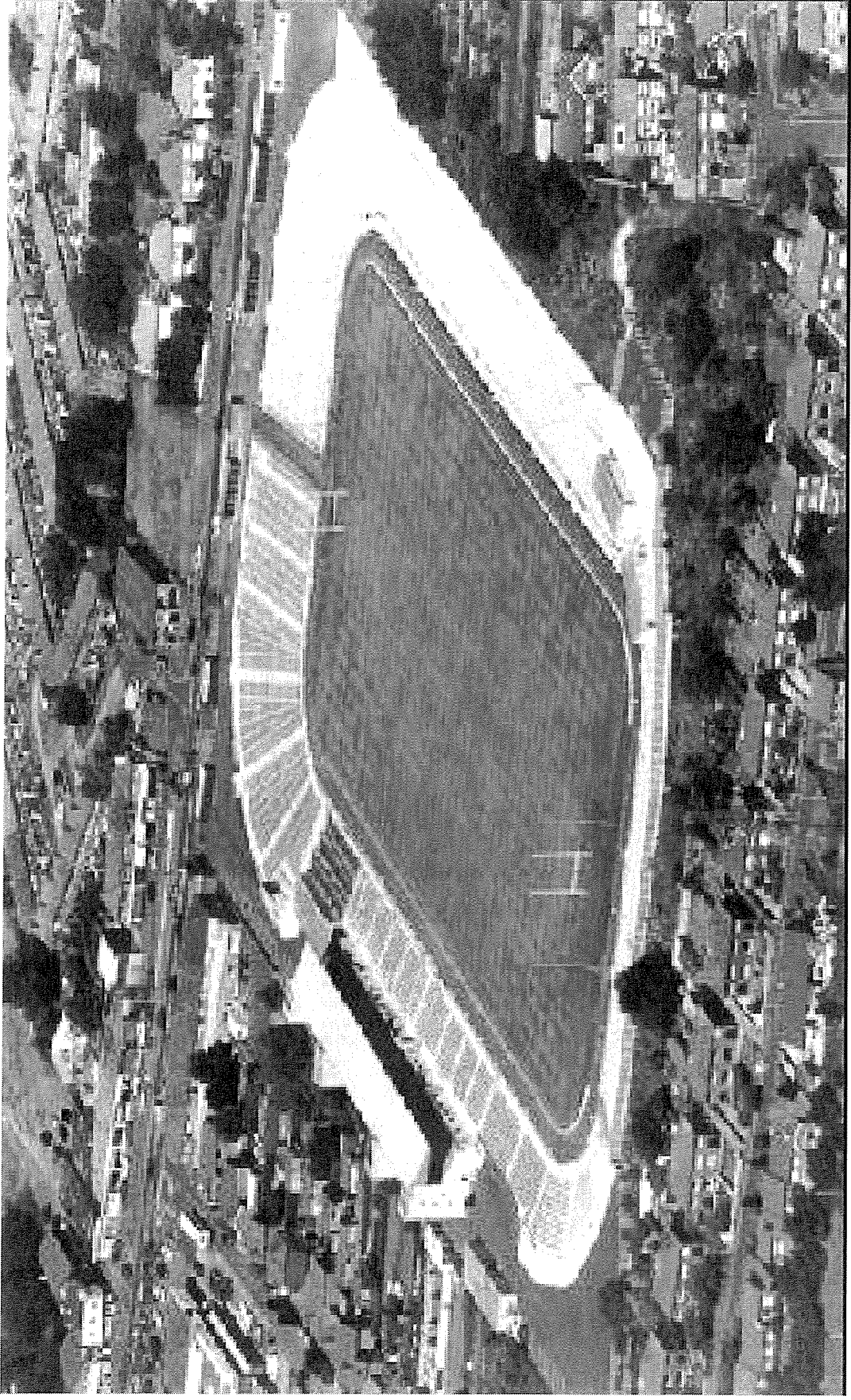


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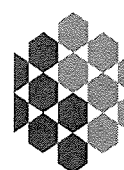
Casement Park – Existing Site



**From: Colin Watson
Director of Sports and Stadiums**

Date: 16 October 2012

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 23 October 2012 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

- 1. Programme and Project Governance**
 - 1.1 The programme is in good health. Good progress is being made across all three projects.
 - 1.2 A Programme Gate 0a Review commenced on 8th October 2012 and was completed on 11th October 2012. A draft Gate 0a Report has been provided to the Programme SRO. An 'Amber/Green' delivery

confidence rating was assigned which indicates that successful delivery of the Programme appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.

- 1.3 Gateway Reviews took place throughout September 2012. UBIRFU had a Gate 2 Healthcheck Review and received a 'Green' delivery confidence assessment rating. IFA had a Gate 2 Healthcheck Review and received an 'Amber/Green' delivery confidence assessment rating. UCGAA had a Gate 2 Review and received an 'Amber' delivery confidence assessment rating. The Governing Bodies will be required to implement all recommendations arising from the gateway reviews.

2. Programme Timelines and Spend

- 2.1 UBIRFU has agreed and signed off on their programme timeline and spend profile. Progress remains good with expected completion by September 2014.
- 2.2 IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Progress remains good with expected completion by June 2015.
- 2.3 GAA programme timeline has been agreed and signed off by the Project Board. Progress remains good. The appointed design team, Mott MacDonald have produced a programme timeline that provides for full spend of the public funding within the CSR period and completion of the project by September 2015.
- 2.4 DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales.

3. Planning Approvals

- 3.1 The level of cooperation from SPD and the statutory agencies remains at a very high level.
- 3.2 IFA intend to submit the planning application by 30th November 2012.
- 3.3 UCGAA have now confirmed 3rd November 2012 as the date for the fixture to facilitate a full traffic assessment.

4. Funding Agreements

- 4.1 Funding Agreements are on the critical path for all projects. The Funding Agreement for UBIRFU has been approved and sent to UBIRFU for signature. The UBIRFU Agreement will act as a template Agreement for UCGAA and IFA.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. The scale of the public sector investment in the stadium programme requires significant returns in terms of socio-economic and community benefits.
- 5.2 At construction stage the Governing Bodies will be required to include robust social clauses as a contractual obligation within the IST contract documentation. The social clause obligations have been agreed for the UBIRFU IST contract and include a requirement for:
 - Seven long-term unemployed to be engaged;
 - Four new apprenticeships to be engaged;
 - Two student placements to be engaged;
 - A minimum of 5% of the total workforce of contractors to be on recognised apprenticeships;
 - Five practical proposals post contract that will develop a range of social returns in the area.

- 5.3 The social clause obligations agreed with UBIRFU reflect a £14.7M investment in the Ravenhill project. The social clauses requirement within the UCGAA and IFA IST contract documentation will obviously be enhanced to reflect the scale of investment in these projects. The Governing Bodies must ensure that contractors deliver on these contractual commitments. The Department will robustly monitor delivery of same.
- 5.4 The Department is currently advising the Governing Bodies on delivery of socio-economic returns and community benefits post construction. The Governing Bodies will need to carry out community consultation to identify the needs of local communities and factor these needs into their plans around delivery of community benefits and socio-economic returns.

6. Project Updates.

- 6.1 Project updates for each of the stadium developments are attached for further information and discussion.

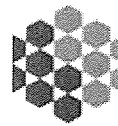
7. Recommendation

- 7.1 That the DCAL Departmental Board discusses the progress on the Regional Stadium Development Programme.



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Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team



PROJECT UPDATES

1. UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- iii) The Funding Agreement has been agreed and was issued to UBIRFU for signature on 16th October 2012.
- iv) The Full Business Case and Benefits Realisation Plan have been approved by the Department.
- v) The approval of the Funding Agreement and the Full Business Case have resulted in UBIRFU now being in a position to appoint the preferred IST contractor which will allow work to commence on site at Ravenhill.
- vi) Gate 3 Healthcheck was carried out on 14th/15th September and UBIRFU received a 'green' delivery confidence assessment rating indicating that successful delivery of the project is highly likely. Only two recommendations were made in the Gate 3 Report and these have now been implemented.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC approved on 12 th October 2012. Programme remains on track.
Funding Agreement signed of by DCAL & UBIRFU	12.10.12	Likely to be completed by 16 th October 2012	Funding Agreement sent to UBIRFU on 16 th October 2012 for signature.
Appoint IST & prepare detailed design	12.10.12	Likely to be completed in week commencing 22 nd October 2012	Contractor to be appointed in week commencing 22 nd October 2012. Programme remains on track as contractor will reduce mobilisation period by two weeks.
Commence Construction	09.11.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage
Complete Construction	01.09.14	On target	

2. IFA / WINDSOR PARK

- i) Project is currently ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Design team (ICT) have developed Stage C design drawings for the Windsor Park stadium and are engaging with the principal stakeholders around further development of this design. First MAG Review took place on 15 August 2012 and the second review took place on 3 October 2012. Meetings have also taken place with Safety at Sports Grounds and Inclusive Stadia Advisory panels to allow for comments on the proposed design from disability groups and bodies that advise on Safety at Sports Stadiums.
- iii) Significant work has taken place around community consultation. An open community consultation day was held on 4th October 2012 during which members of the public provided comment in relation to the current design proposals. One of the outcomes of the consultation day was a request from the community for better event management on the approaches to the Stadium on match days.
- iv) The OJEU notice for the IST appointment has been agreed with the Department and was released on 10 August 2012, the closing date for PQQ returns was 17 September 2012. IFA will assess the PQQ returns during October 2012.
- v) Gate 2 Healthcheck was carried out on 16th/17th September and IFA have received an 'amber/green' delivery confidence assessment rating indicating that successful delivery of the project appears probable.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed of by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

3. GAA / CASEMENT PARK

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.
- ii) Mott MacDonald were appointed as the design team (ICT) for the project on 5th September and have commenced initial design and planning work.
- iii) The traffic assessment is critical for planning purposes. A date of 3rd November 2012 has been agreed for the fixture to take place to facilitate a full traffic assessment.
- iv) Engagement continues with GAA's legal advisors for the stadium project to conclude the required security agreement.
- v) A Gate 2 Review was carried out on 3rd/4th/5th October and GAA have received an 'Amber' delivery confidence assessment rating indicating that successful delivery appears feasible but significant issues exist requiring management attention. These issues appear resolvable at this stage.
- vi) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

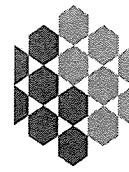
Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed of by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

**From: Colin Watson
Director of Sports and Stadiums**

Date: 13 November 2012

To: DCAL Departmental Board



Department of
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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 20 November 2012 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

- 1. Programme and Project Governance**
 - 1.1 The programme is in relatively good health. However some slippage has emerged against the target programmes for each of the three sports in recent weeks.
 - 1.2 Gateway Reviews appropriate to the stage of each project were undertaken and reports delivered to each Governing Body during

September and October 2012. UBIRFU received a delivery confidence rating of 'green' arising from the Gate Three 'investment decision' Review. UCGAA received a delivery confidence rating of 'Amber' arising from the Gate Two 'delivery strategy' Review. IFA received a delivery confidence rating of 'Amber/Green' arising from the Gate Two (healthcheck only) 'investment decision' Review.

- 1.3 A Programme Gate 0a Review was completed in October 2012. The Programme Gateway Review provided the Programme SRO with an assessment of the likelihood of successful delivery of the programme and its projects and recorded an Amber/Green delivery confidence assessment ('successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery'). Recommended actions from the Programme gateway review are being taken forward.

2. Programme Timelines and Spend

- 2.1 UBIRFU has agreed and signed off on their programme timeline and spend profile. Despite a three week delay in the appointment of the IST, the project as a whole remains on target and in year, with full commitment of the public sector spend expected within the CSR period (provided that a significant procurement challenge is avoided). Project completion is anticipated in September 2014.
- 2.2 IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Despite some slippage in the planning submission dates expected completion remains at June 2015. Updated Cost Reports have not been submitted to DCAL as of 7 November 2012. This has been repeatedly requested by the Stadium Team and DCAL Programme SRO. Failure to provide this information has the potential to cause some delay.

- 2.3 GAA programme timeline has been agreed and signed off by the Project Board. The appointed design team, Mott MacDonald have produced a programme timeline that provides for full spend of the public funding within the CSR period and completion of the project by September 2015. Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed.
- 2.4 DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescale and funding profiles.

3. Planning Approvals

- 3.1 The level of cooperation from SPD and the statutory agencies remains at a very high level.
- 3.2 Significant community consultation is currently taking place on the IFA project and beginning on the UCGAA project.
- 3.3 The IFA are scheduled to submit their planning application on 3rd December 2012. In the coming weeks significant work will need to be carried out with regard to planning.
- 3.4 The GAA are scheduled to submit their planning application on 25th March 2013. The fixture to facilitate a full traffic assessment was held at Casement Park on 3rd November and a crowd of 18,662 was in attendance. This fixture was critical for planning purposes.

4. Funding Agreements

- 4.1 Funding Agreements are on the critical path for all projects. The Funding Agreement for UBIRFU was issued by DCAL on 16 October 2012.
- 4.2 The Agreement issued to UBIRFU will act as a template Agreement for UCGAA and IFA.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. The scale of the public sector investment in the stadium programme requires significant returns in terms of socio-economic and community benefits.
- 5.2 At construction stage the Governing Bodies will be required to provide for the delivery of social benefits through the IST contract. UBIRFU achieved this through the provision of compulsory performance clauses within the contract. Scoring criteria reflecting the delivery of social benefits are being developed for IFA and GAA construction competitions, with minimum performance standards embedded in the contracts.
- 5.3 The social clause obligations which UBIRFU IST will provide are:
- Seven long-term unemployed to be engaged;
 - Four new apprenticeships to be engaged;
 - Two student placements to be engaged;
 - A minimum of 5% of the total workforce of contractors to be on recognised apprenticeships;
 - Five practical proposals post contract that will develop a range of social returns in the area.
- 5.4 Minimum performance standards for the IFA contract are currently being agreed, and will reflect the scale of public intervention on this

project. The Governing Bodies will ensure that contractors deliver on these contractual commitments. The Department will robustly monitor delivery of same.

- 5.5 The Department is currently advising the Governing Bodies on delivery of socio-economic returns and community benefits post construction, which are then developed into a 'Benefits Realisation Plan'. The Governing Bodies are carrying out community consultation to identify the needs of local communities and factor these needs into their plans around delivery of community benefits and socio-economic returns.

6. **Project Updates.**

- 6.1 Project updates for each of the stadium developments are attached for further information and discussion.

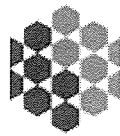
7. **Recommendation**

- 7.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.



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DCAL Stadium Team



PROJECT UPDATES

1. UBIRFU / RAVENHILL

- i) Despite a three week delay in appointment of the IST as a result of the delay in acceptance of the Funding Agreement by UBIRFU and IRFU, the project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period (provided that a significant procurement challenge is avoided). Project completion is anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) The project programme date for appointment of IST was 12 October. Approvals by DCAL of the FBC and benefits realisation plan for the project, and acceptance of the Funding Agreement by UBIRFU and IRFU were all required in advance of this critical appointment.
- iii) The submission by UBIRFU of the FBC and benefits realisation plan, and acceptance of the draft Funding Agreement by UBIRFU and IRFU were all achieved behind programme dates. DCAL recognised the urgency of approving these critical matters, and worked extensively with UBIRFU to accommodate their requirements. This compression of timescale on such key documents is not desirable and is not a situation that DCAL wishes to see repeated.
- iv) The FBC and Benefits Realisation Plan were approved on 12 October by DCAL, subject to completion of final corrections, which were received on 16 October.
- v) DCAL issued a Funding Agreement to UBIRFU on 16 October. The Funding Agreement was finally executed on 6 November. An unplanned delay in acceptance of the Funding Agreement by UBIRFU

and IRFU was experienced due to the decision by IRFU that a Committee meeting would be required to authorise acceptance, and in addition, following this meeting a series of administrative errors prevented a fully executed document being returned to DCAL until 6 November.

- vi) DCAL does not wish to see such a circumstance repeated, and would draw to UBIRFU and IRFU's attention the remaining 'conditions precedent' which will require rigorous attention to detail in order to fully demonstrate compliance and permit any payment to be made under the Funding Agreement.
- vii) Gate 3 Healthcheck was carried out on 14th/15th September and UBIRFU have received a 'green' delivery confidence assessment rating indicating that successful delivery of the project is highly likely.
- viii) The IST was appointed on 6 November, which is a 3 week delay on the proposed date of 12 October. The delay arose as a result of the circumstances described above. UBIRFU have taken pro-active steps with the IST to reduce the impact of this delay on the overall programme.

Progress Against Milestones (UBIRFU / RAVENHILL)

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC was approved 12 th October 2012, subject to final corrections which were completed 16 October.
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay to appointment of IST due to late submission to DCAL of accepted Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	

Commence Construction	09.11.12	26.11.12	Mobilisation commences 12.11.12. UBIRFU have undertaken mitigation measures with IST to retain overall programme delivery.
Complete Construction	01.09.14	On target	

2. IFA / WINDSOR PARK

- i) Despite some slippage in planning submission dates the project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Updated Cost Reports have not been submitted to DCAL as of 7 November 2012. This has been repeatedly requested by the Stadium Team and DCAL Programme SRO. This information is necessary to allow the Department to sign-off approvals for the projects to move on to their next development stage, and ultimately failure to provide this information has the potential to cause some delay.
- iii) Design team (ICT) have developed Stage C design drawings for the Windsor Park stadium and are engaging with the principal stakeholders around further development of this design. Three MAG Reviews have taken place with the final review meeting taking place on 6th November 2012. Meetings have also taken place with Safety at Sports Grounds and Inclusive Stadia Advisory panels to allow for comments on the proposed design from disability groups and bodies that advise on Safety at Sports Stadiums.

- iv) Significant work has taken place around community consultation. An open community consultation day was held on 4th October 2012 during which members of the public provided comment in relation to the current design proposals. One of the outcomes of the consultation day was a request from the community for better event management on the approaches to the Stadium on match days.
- v) The OJEU notice for the IST appointment has been agreed with the Department and was released on 10 August 2012, the closing date for PQQ returns was 17 September 2012. IFA have carried out the assessment of the PQQ returns and are compiling a report on this at present.
- vi) Gate 2 Healthcheck was carried out on 16th/17th September and IFA have received an 'amber/green' delivery confidence assessment rating indicating that successful delivery of the project appears probable.
- vii) The IFA are scheduled to submit their planning application on 3rd December 2012. In the coming weeks significant work will need to be carried out in this regard.

Progress Against Milestones (IFA)

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed of by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

3. GAA / CASEMENT PARK

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.
- ii) Mott MacDonald were appointed as the design team (ICT) for the project on 5th September and have commenced initial design and planning work.
- iii) The Stage B Report has been completed and was signed off by the GAA on 19th October 2012. GAA have picked a preferred option to be developed further, the Cost Plan has been developed and the Stadium Team have requested a copy of this. Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed immediately to prevent the overall programme being impacted.
- iv) The traffic assessment was critical for planning purposes. A planned event took place on 3rd November 2012 to facilitate a full traffic assessment.
- v) Engagement continues with GAA's legal advisors for the stadium project to conclude the required security agreement. This has not been closed out despite many weeks of effort.
- vi) The GAA are scheduled to submit their planning application on 25th March 2013. The GAA's planning consultants (RPS) have started

their community consultations and have developed a Consultation Strategy to take the project forward.

- vii) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

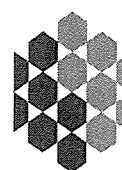
Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed of by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

**From: Colin Watson
Director of Sports and Stadiums**

Date: 04 December 2012

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 18 December 2012 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.

- 1.3 From this month it is proposed to change the format of the monthly report reducing the descriptions and standing information and highlighting major developments in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme is in relatively good health, however some slippage has emerged against the target programmes for each of the three sports in recent weeks.

- 2.2 The current Gateway Review status for the programme is Amber.

3.0 Ravenhill – (Gateway Status: Green)

3.1 Developments in the Last Month

- Contractor Gilbert Ash has been appointed and commenced work on site on 26 November 2012.
- Spend profile in 2012 2013 has been reduced by £450, 000 following contractors submission of cash-flow for 2012/2013. This is a result of the project having come in under budget.
- UBIRFU has agreed and signed off on their programme timeline and spend profile.

3.2 Project Risks

- 3.2.1 No impact on project risks have been identified this month.

3.2 Project Update

- 3.2.1 Despite a three week delay in appointment of the IST as a result of the delay in acceptance of the Funding Agreement by UBIRFU and IRFU,

the project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period. Project completion is anticipated in September 2014.

3.2.3 The IST was appointed on 6 November, which is a 3 week delay on the proposed date of 12 October. UBIRFU have taken pro-active steps with the IST to reduce the impact of this delay on the overall programme.

3.2.4 Target dates for key project milestones are outlined in the table below.

3.3 Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC was approved 12 th October 2012, subject to final corrections which were completed 16 October.
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay to appointment of IST due to late submission to DCAL of accepted Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Work started on site 26.11.12 UBIRFU have undertaken mitigation measures with IST to retain overall programme delivery.
Complete Construction	01.09.14	On target	

4.0 Windsor Park – (Gateway Status: Amber / Green)

4.1 Developments in the Last Month

- IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period.
- Planning application to be submitted on 07 December 2012.

4.2 Project Risks

4.2.1 No impact on project risks have been identified this month.

4.3 Project Update

4.3.1 The project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.)

4.3.2 Updated Cost Plans have been received by DCAL and are with CPD for review.

4.3.3 IFA have finalised their PQQ Report and have a select list of 6 Economic Operators who will be invited to tender for the re-development of the National Football Stadium in March 2013.

4.3.4 The expected completion date remains at June 2015.

4.3.5 Target dates for key project milestones are outlined in the table below.

4.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

5.0 **Casement Park – (Gateway Status: Amber)**5.1 Developments in the Last Month

- Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed.
- Planning application requires community consultation to be taken forward – being delayed by lack of appropriate design, however, the planning application is still on track for March 2013.
- The mortgage and charge on Casement Park was signed by the Trustees on 28 November 2012.
- Contact has been received from residents groups seeking funding. Minister has responded stating that it would not be appropriate to consult with individual groups. The community consultation process is the proper mechanism for all groups to voice concerns.

5.2 Project Risks

5.2.1 No impact on project risks have been identified this month.

5.3 Project Update

5.3.1 GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.

5.3.2 Design and planning work is underway.

5.3.3 The Stage B Report has been completed and was signed off by the GAA on 19th October 2012. GAA have picked a preferred option to be developed further, the Cost Plan has been developed and provided to the Stadium Team. Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed immediately to prevent the overall programme being impacted.

5.3.4 The GAA are scheduled to submit their planning application on 25th March 2013. The GAA's planning consultants (RPS) have started their community consultations and have developed a Consultation Strategy to take the project forward.

5.3.5 The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme.

5.3.6 Target dates for key project milestones are outlined in the table below.

5.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed off by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

6.0 Recommendation

6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

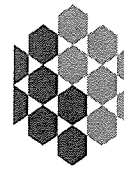
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Noel Molloy
Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team

**From: Colin Watson
Director of Sports and Stadiums**

Date: January 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 29 January 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.

- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme is facing a number of challenges including:

- Some slippage emerging against the revised programme for the GAA.
- The Department has received a Freedom of Information (FOI) request from solicitors acting on behalf of Crusaders FC which queries State Aid. DCAL are dealing with the response through DSO.

- 2.2 The 3 Projects have implemented the Gateway recommendations.

- 2.3 The current Gateway Review status for the programme is Amber.

3.0 Ravenhill – (Gateway Status: Green)

3.1 Developments in the Last Month

- The first IST assessment/invoice has been issued at the end of December 2012.
- UBIRFU have implemented the recommendations made in the Gate 2 Healthcheck report.

3.2 Project Risks

- 3.2.1 No impact on project risks have been identified this month.

3.2 Project Update

3.2.1 The project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period. The construction contract is expected to be completed by September 2014.

3.2.4 Target dates for key project milestones are outlined in the table below.

3.3 Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC was approved 12 th October 2012, subject to final corrections which were completed 16 October.
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay to appointment of IST due to late submission to DCAL of accepted Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Work started on site 26.11.12 UBIRFU have undertaken mitigation measures with IST to retain overall programme delivery.
• Phase 1 Completion (Aquinas & Memorial Stands)	02.09.13	On target	Early indications are that potential exists for early delivery.
• Phase 2 Completion (Grandstand)	02.05.14	On target	
• Completion of Testing, Handover & Float Period	01.09.14	On target	
Complete Construction	01.09.14	On target	

4.0 Windsor Park – (Gateway Status: Amber / Green)

4.1 Developments in the Last Month

- Planning application submitted on 06 December 2012.
- DCAL & BCC have commissioned the ICT to carry out a Master-plan exercise to look at the potential for future regeneration of the wider site adjacent to Midgely Park, Boucher Road and the Olympia Leisure Centre.
- 6 Economic operators have been successful at PQQ stage and will be invited to tender in February 2013.
- Tender award criteria to be agreed with DCAL in January 2013.
- The Department has received a Freedom of Information (FOI) request from solicitors acting on behalf of Crusaders FC which queries State Aid. DCAL are dealing with the response through DSO.

4.2 Project Risks

4.2.1 The State Aid issue raised by Crusaders FC has introduced a new risk to the Project which has been included in the risk register.

4.3 Project Update

4.3.1 The project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.)

4.3.4 The construction contract is expected to be completed by June 2015.

4.3.5 Target dates for key project milestones are outlined in the table below.

4.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

5.0 **Casement Park – (Gateway Status: Amber)**

5.1 Developments in the Last Month

- Meeting with planners took place on 16 January 2013 with a positive outcome.
- Stage C design has now been completed and the Programme is back on track.
- PQQ pack issued on 15 January 2013.
- DCAL & BCC are commissioning a Master-plan to look at the potential for future regeneration of the wider context adjacent to the Andersonstown Road and the Andersonstown Leisure Centre.
- Planning application requires community consultation to be taken forward – being delayed by lack of appropriate design, however, the planning application is still on track for March 2013.

- The mortgage and charge on Casement Park was signed by the Trustees on 28 November 2012.

5.2 Project Risks

5.2.1 No impact on project risks have been identified this month.

5.3 Project Update

5.3.1 GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with the construction contract completed by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.

5.3.4 The GAA are scheduled to submit their planning application on 25th March 2013. The GAA's planning consultants (RPS) have started their community consultations and have developed a Consultation Strategy to take the project forward.

5.3.5 The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme.

5.3.6 Target dates for key project milestones are outlined in the table below.

5.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval submitted	25.03.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	

Funding Agreement signed off by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

6.0 Recommendation

6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

COLIN WATSON

Tel: 028 9051 5085

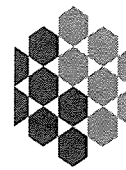
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Noel Molloy
Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team

**From: Colin Watson
Director of Sports and Stadiums**

Date: February 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 26 February 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.

- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 Good progress has been made over the past month around IFA planning approval and GAA Stage C design sign off.
- 2.2 Significant progress will need to be made around Business Case approvals and Funding Agreement approvals in the coming months to allow the IFA and GAA to remain on track.
- 2.3 The Department is progressing the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders FC and is in discussion with the DSO/ Counsel on the State Aid issue which was also raised by Crusaders FC.

3.0 Ravenhill – (Gateway Status: Green)

3.1 Developments in the Last Month

- UBIRFU have submitted their first IST grant payment claim to DCAL on 01 February 2013. The first IST grant payment of £549,000 was released by DCAL on 06 February 2013.
- Some underspend is apparent on the project at 31 January 2013. UBIRFU need to work closely with the Department in the coming weeks to ensure target spend is met.

3.2 Project Risks

- 3.2.1 No impact on project risks have been identified this month.

3.2 Project Update

3.2.1 The project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period. The construction contract is expected to be completed by September 2014.

3.2.4 Target dates for key project milestones are outlined in the table below.

3.3 Progress Against Milestones

Item	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	The project overall master timeline is currently on programme. There has been some slippage at the Memorial End stand construction due to the previously unknown cable which is expected to result in a delay of 1-2 weeks. The contingency float in the programme can accommodate this delay.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

4.0 Windsor Park – (Gateway Status: Amber / Green)

4.1 Developments in the Last Month

- Planning approval secured ahead of schedule. Formal announcement made on 20 February 2013 by DCAL & DRD Ministers.
- Design has been developed to RIBA Stage D integrating the detailed requirements of various stakeholders including IFA, Safety at Sports Grounds Technical Group and the Inclusive Stadia Advisory Group.
- The Department is progressing the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders FC and is in discussion with the DSO/ Counsel on the State Aid issue which was also raised by Crusaders FC.

4.2 Project Risks

- 4.2.1 The State Aid issue raised by Crusaders FC has introduced a new risk to the Project which has been included in the risk register. No further risks added this month.

4.3 Project Update

- 4.3.1 The project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.)
- 4.3.2 Tender award criteria to be finalised and issued to 5 shortlisted contractors before the end of February 2013.
- 4.3.3 Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the department.

4.3.4 BCC are developing a Master-plan to look at the potential for future regeneration of the wider site adjacent to Midgely Park, Boucher Road and the Olympia Leisure Centre. The Council are currently consulting on opportunities for maximising the wider social, economic and community returns from the Windsor Park Project.

4.3.5 The construction contract is expected to be completed by June 2015.

4.3.6 Target dates for key project milestones are outlined in the table below.

4.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

5 Casement Park – (Gateway Status: Amber)

5.1 Developments in the Last Month

- Revised timeline agreed and signed off on 06 February 2013 which provides an additional 4 weeks to submit planning application - now been scheduled for 29 April 2013.
- Positive feedback from the Strategic Planning Department against the Stage C proposals was received in early January. The Stage C Report was formally approved by the GAA on 4 February 2013. This has resulted in the project moving to Stage D design.
- The second stage of community consultation was launched on 6 February 2013 and will prove critical in determining the course of the planning application.

- The current design has begun to integrate the detailed requirements of Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- A MAG review took place on 29th January 2013. This review looked at the revised Stage C design and made some positive contribution to future design proposals.
- Some underspend on the project is apparent at the 31 January 2013. GAA needs to work closely with the Department in the coming weeks to ensure target spend is met.
- The IST PQQ pack was issued on 15 January 2013 with a return date of 22 February 2013 for interested EO's. GAA will need to ensure that all procurement advice provided by the Department is rigorously implemented to avoid potential procurement challenge.

5.2 Project Risks

5.2.1 No impact on project risks have been identified this month.

5.3 Project Update

5.3.1 GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with the construction contract completed by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.

5.3.2 Belfast City Council is developing a master-plan to consider future regeneration of the wider context adjacent to the Andersonstown Road and the Andersonstown Leisure Centre. Belfast City Council are now out to community consultation on opportunities for maximising the

social, economic and community benefits in and around the Casement site.

5.3.3 The appointment of consultants for the full Business Case needs to be progressed immediately and the Full Business Case prepared in line with the programme timelines

5.3.4 The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme.

5.3.5 Target dates for key project milestones are outlined in the table below.

5.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	29.04.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	On Target	
IST Invitation to Tender	27.05.13	On Target	
DCAL sign off FBC	01.09.13	On Target	
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

6.0 Recommendation

- 6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

COLIN WATSON

Tel: 028 9051 5085

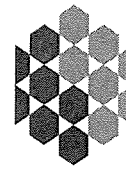
e-mail: colin.watson@dcalni.gov.uk

Noel Molloy
Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team

**From: Colin Watson
Director of Sports and Stadiums**

Date: 19 March 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
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Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.

- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 Good progress has been made over the past month around IFA planning approval and development of the GAA Stage D design.
- 2.2 Significant progress will need to be made around Business Case approvals and Funding Agreement approvals in the coming months to allow the IFA and GAA to remain on track.
- 2.3 The Department is progressing the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders FC and is in discussion with the DSO/ Counsel on the State Aid issue which was also raised by Crusaders FC.

3.0 Ravenhill – (Gateway Status: Green)

3.1 Developments in the Last Month

- UBIRFU have submitted their first three IST grant payment claims to DCAL. IST grant payments of £1,827,690 have been released by DCAL.
- Some underspend is apparent on the project at 28 February 2013. UBIRFU need to work closely with the Department in the coming weeks to ensure target spend is met

3.2 Project Risks

- 3.2.1 No impact on project risks have been identified this month.

3.2 Project Update

3.2.1 The project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period. The construction contract is expected to be completed by September 2014.

3.2.4 Target dates for key project milestones are outlined in the table below.

3.3 Progress Against Milestones

Item	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	The project overall master timeline is currently on programme. There has been some slippage at the Memorial End stand construction due to the previously unknown cable which is expected to result in a delay of 1-2 weeks. The contingency float in the programme can accommodate this delay.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

4.0 Windsor Park – (Gateway Status: Amber / Green)

4.1 Developments in the Last Month

- Planning approval secured ahead of schedule. Formal announcement made on 20 February 2013 by DCAL & DRD Ministers.
- Design has been developed to RIBA Stage D integrating the detailed requirements of various stakeholders including IFA, Safety at Sports Grounds Technical Group and the Inclusive Stadia Advisory Group.
- The Department is progressing the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders FC and is in discussion with the DSO/ Counsel on the State Aid issue which was also raised by Crusaders FC.

4.2 Project Risks

- 4.2.1 The State Aid issue raised by Crusaders FC has introduced a new risk to the Project which has been included in the risk register. No further risks added this month.

4.3 Project Update

- 4.3.1 The project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.)
- 4.3.2 IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013.
- 4.3.3 Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the department.

4.3.4 BCC are developing a Master-plan to look at the potential for future regeneration of the wider site adjacent to Midgely Park, Boucher Road and the Olympia Leisure Centre. The Council are currently consulting on opportunities for maximising the wider social, economic and community returns from the Windsor Park Project.

4.3.5 The construction contract is expected to be completed by June 2015.

4.3.6 Target dates for key project milestones are outlined in the table below.

4.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	Completed	
IST Invitation to Tender	19.03.13	Completed	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

5 Casement Park – (Gateway Status: Amber)

5.1 Developments in the Last Month

- Revised timeline agreed and signed off on 06 February 2013 which provides an additional 4 weeks to submit planning application - now being scheduled for 29 April 2013. A final pre-application discussion meeting has been scheduled for Friday 22nd March 2013.
- Positive feedback from the Strategic Planning Department against the Stage C proposals was received in early January. The Stage D Design Report was issued for review on 18th March 2013 by the GAA.

- The second stage of community consultation was launched on 6 February 2013 and will prove critical in determining the course of the planning application.
- A public consultation, open briefing and feedback event was held on 19th March 2013 at Andersonstown Leisure Centre.
- The current design iteration continues to refine and integrate the detailed requirements of Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- A DQI (mid design) review took place on 21st February 2013. This review looked at the revised Stage C/D design and made some positive contribution to future design proposals.
- Some underspend on the project is apparent at the 31 January 2013. GAA needs to work closely with the Department in the coming weeks to ensure target spend is met.
- The IST PQQ pack will be assessed and moderation completed by the 20th March 2013. GAA will need to ensure that all procurement advice provided by the Department is rigorously implemented to avoid potential procurement challenge.
- Target date for release of ITT documentation is the 27th May 2013

5.2 Project Risks

5.2.1 No impact on project risks have been identified this month.

5.3 Project Update

5.3.1 GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with the construction contract completed by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's

design team have produced a programme timeline that confirms that these dates are achievable.

- 5.3.2 Belfast City Council is developing a master-plan to consider future regeneration of the wider context adjacent to the Andersonstown Road and the Andersonstown Leisure Centre. Belfast City Council are now out to community consultation on opportunities for maximising the social, economic and community benefits in and around the Casement site.
- 5.3.3 Business Case consultants were appointed on the 14th February 2013. The drafting of the Full Business Case needs to be progressed immediately and the Full Business Case prepared in line with the programme timelines
- 5.3.4 The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme.
- 5.3.5 Target dates for key project milestones are outlined in the table below.

5.4 Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	29.04.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	On Target	
IST Invitation to Tender	27.05.13	On Target	

DCAL sign off FBC	01.09.13	On Target	ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

6.0 Recommendation

- 6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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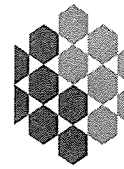
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Noel Molloy
Ciaran McGurk
Ciaran Mee
Richard Holmes
Gerard Rushe
DCAL Stadium Team

From: Colin Watson
Director of Sports and Stadiums

Date: 17 April 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** **Developments around the delivery of the Regional Stadium Development Programme.**
- Timescale:** **For consideration at 26 April 2013 Board meeting.**
- Presentational Issues:** **Stadium development attracts considerable media interest.**
- Recommendation:** **That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.**
- Summary:** **The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.**

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain particularly around GAA planning approval and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.
- 2.2 Crusader's FC has made an application for a Judicial Review which will potentially have an impact on Stadium Programme development. The application for leave seek a Judicial Review was heard on 17 April 2013 and adjourned for 4 weeks to allow more time for the Department to prepare their response.

3.0 Spend Profile

- 3.1 The spend target of £6.9M across the Programme for 2012/13 has been met. Governing Bodies will be required to submit revised spend profiles for 2013/14 and 2014/15 by the end of April 2013.

4.0 Communication Protocols

- 4.1 Each Governing Body has been reminded of the importance of adhering to the Communication protocols around notification to the Department of timelines for upcoming events, press releases etc.
- 4.3 As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "A legal process is underway and therefore we are unable to comment on this matter." The IFA and its Communication's Branch have been advised to adopt a similar position until the matter is closed.

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the ITT

tender documents released to the shortlisted economic operators on the 7th March 2013.

- 5.3 Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the IST documents to be released on the 27th May 2013.

6.0 UBIRFU / RAVENHILL

6.1 Developments in the Last Month

- 6.1.1 No significant developments

6.2 Project Risks

- 6.2.1 No impact on project risks have been identified this month.

6.3 **Progress Against Programme Milestones (UBIRFU / RAVENHILL)**

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- 6.4 The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.

- 6.2 The current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- 6.3 Eight claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.
- 6.4 Previous slippage against the budget for 2012/13 has been addressed through re-profiling of the budgets across the programme.
- 6.5 Planning Permission for the reconfiguration of the Premium Stand steps and terracing has now been received. This relates to upgrades to the existing Premium Stand in relation to disability access and Green Guide (5th Edition) adaptations.

6.6 ISSUES

None at present.

7.0 IFA/ WINDSOR PARK

7.1 Developments in the Last Month

- The Department has responded to the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders FC
- The Judicial Review hearing on the State Aid issue has been adjourned for 4 weeks to allow more time for the Department to prepare their response

7.2 Project Risks

- 7.2.1 The risk around State Aid raised by Crusaders FC has been developed further and the Risk Register amended accordingly.

7.2.2 A number of outstanding matters have been raised with the IFA which require immediate attention (as detailed in Para 7.11).

7.3 Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.

7.4 The project is currently a few weeks ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided that significant procurement challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table above.

- 7.5 IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Return dates for tenders is 9th May 2013.
- 7.6 IFA have extended the design of the project to design Stage E. The Stage E design has integrated the detailed requirements of various stakeholders including the IFA, Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- 7.7 Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. IFA are in discussions with the Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- 7.8 The interim mortgage and charge around Windsor Avenue has now been executed and returned to DCAL. Final security is being drafted on the whole project.
- 7.9 The Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- 7.10 A draft of the FBC was received from IFA on 27 February 2013. DCAL have provided feedback on this draft and are awaiting a further version being submitted. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

7.11 ISSUES

- 7.12 Major concerns around management of the NEC Contract have arisen in the last couple of weeks, particularly in relation to the management of compensation events. A number of Compensation Events have been received by the Department for review/approval after the work has been completed. This puts the IFA at risk if the Department subsequently deems the Compensation Event to be ineligible for grant aid. This needs to be addressed by the IFA as a matter of priority.
- 7.13 IFA have not agreed a fee with its Business Case consultants for development of the Full Business Case. Again this puts the IFA at risk if the Department subsequently deems an element of the fee as being ineligible for grant aid. In addition, the Department is unable to retain budget cover for this item in 2012/13 as no fee had been agreed.
- 7.14 Late notification of a number of Compensation Events and the absence of an agreed Business Case fee has meant that the Department is unable to determine whether the final budget for IFA for 2012/13 has been met. This situation is not acceptable.
- 7.15 The Department did not receive a copy of the signed ICT contract until 15th April 2013. This had been requested over many months. The 'Letter of Intent' to appoint Hamilton Architects was dated 18th April 2012. The 'Form of Agreement' for actual appointment is dated 8th April 2013. This is unsatisfactory. The contract has been signed by IFA and the IFA Stadium Development Company Limited. Clarity is required around the status of Development Company.
- 7.16 All of the above issues have been the subject of repeated correspondence to IFA. I would ask IFA to address these issues with its project team immediately.
- 7.17 IFA need to reach an agreement with Belfast City Council in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-

up project delivery; otherwise a separate tendering exercise would need to be undertaken with the potential for reduced value for money.

8.0 Casement Park – (Gateway Status: Amber)

8.1 Developments in the Last Month

- A revised GAA programme timeline has been agreed and signed off by the Project Board on 27th March 2013. The Planning Application will now be submitted on 23rd May 2013.
- The stage D design report was issued for review on 18th March 2013 by the GAA to a range of stakeholders.
- Target date for release of ITT tender documentation is the 27th May 2013
- Drafting of the Funding Agreement for the GAA project has commenced.
- An initial draft of the business case was received by DCAL on the 29th March 2013.

8.2 Project Risks

- 8.2.1 No new project risks have been identified this month however a number of outstanding matters have been raised with the GAA which require immediate attention (as detailed in Para 8.14).

8.3 Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	23.05.13	Date extended by a month to 23 May 2013.	Planning submission date has been extended by one month to 23 rd May 2013.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	On Target	This will have no impact on the overall programme provided planning approval is turned around within 20 weeks rather than the initial 6 months estimated turnaround time.
IST Invitation to Tender	27.05.13	On Target	Invitation to Tender documents for the IST appointment on target to be released on 27 th May 2013.
DCAL sign off FBC	01.09.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

8.4 A revised GAA programme timeline has been agreed and signed off by the Project Board on 27th March 2013. This programme provides for 4 additional weeks to submit the planning application but still indicates full spend of the public funding within the CSR period with completion of the construction works anticipated by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Target dates for the key project

milestones are outlined in the table above. Robust management of the ICT by GAA will be required if the GAA are to meet the target programme dates.

- 8.5 The planning application submission date has been extended by a further 4 weeks due to a requirement from Strategic Planning Department that a Physical Model of the Stadium is used as part of the Community Consultation process. The Planning Application will now be submitted on 23rd May 2013.
- 8.6 The stage D design report was issued for review on 18th March 2013 by the GAA to a range of stakeholders. The current design iteration continues to refine and integrate the detailed requirements of Safety at sports Grounds Technical Group (led by DCAL/SNI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- 8.7 The second stage of Community Consultation was launched on 6 February 2013 and will prove critical in determining the course of the planning application. Significant work is on-going at present in relation to the community consultation.
- 8.8 GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersonstown Road end of the ground. This will further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project.
- 8.9 The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. GAA will need to ensure that all procurement advice provided by the department is rigorously implemented to avoid potential procurement challenge. Target date for release of ITT tender documentation is the 27th May 2013. This is currently on target.
- 8.10 The full spend target for the 2012/13 year has been met.

- 8.11 Drafting of the Funding Agreement for the GAA project has commenced. A meeting is being arranged between the Department and GAA to address the fundamental issues within the Funding Agreement.
- 8.12 Business Case consultants were appointed on the 14th February 2013. An initial draft of the business case was received by DCAL on the 29th March 2013. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- 8.13 The GAA programme timeline remains under pressure and will require a proactive delivery strategy and robust management of the ICT to ensure compliance to programme.

8.14 ISSUES

- 8.15 Significant concerns exist around the management of the project budget. Recent cost estimates provided by the ICT have not been challenged by the UCGAA. An initial review by the Stadium Team identified a number of areas where savings could be made.
- 8.16 Significant concerns also remain around the management of the ICT. Over the last number of meetings it has been apparent that there are significant communications issues between the ICT and UCGAA.
- 8.17 In addition, the NEC Contract requires more rigorous management by UCGAA.
- 8.18 A number of items remain outstanding and have been requested on numerous occasions by the Stadium Team over this last number of months, these are:
- Stage 1 Pre Qualification Report (PQQ Report on evaluation, scoring and reporting)
 - Detail of the backfilling of three posts currently capitalised
 - Signed Form of Tender for the ICT Contract

- Submission of proposals to SNI/DCAL around assets previously funded at Casement park by Sport NI i.e. Control tower and Floodlights

8.19 All of the above issues require immediate attention and a plan needs to be considered to tackle these issues on an ongoing basis.

9.0 Recommendation

9.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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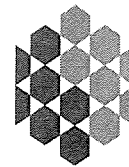
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Noel Molloy
Ciaran McGurk
Ciaran Mee
Gerard Rushe
DCAL Stadium Team

From: Colin Watson
Director of Sports and Stadiums

Date: 21 May 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** **Developments around the delivery of the Regional Stadium Development Programme.**
- Timescale:** **For consideration at 21 May 2013 Board meeting.**
- Presentational Issues:** **Stadium development attracts considerable media interest.**
- Recommendation:** **That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.**
- Summary:** **The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.**

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain particularly around the GAA programme and the need to avoid

procurement challenges in relation to the IFA and GAA IST appointments.

- 2.2 Crusader's FC have made an application for a Judicial Review which has the potential to have an impact on Stadium Programme development. An application for adjournment of the Leave Hearing will be heard on the morning of the Programme Board meeting on 15 May 2013. Programme Board members will be provided with an update on the Judicial Review Leave application at the Programme Board meeting.

3.0 Spend Profile

- 3.1 Total accrued spend for the Stadium Programme for the year 2012/13 is £7.2m against a spend target of £7.1m. The £100k over-spend will be met out of Departmental wide capital underspend.
- 3.2 Governing Bodies have been asked to submit revised spend profiles for 2013/14 and 2014/15. Further work is needed on the GAA spend profiles for these years.

4.0 Communications

- 4.1 There have been no high profile PR events in the past month. A number of informal communication activities are progressing across the three sports.
- 4.2 As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "As the matter is now before the Courts it would not be appropriate to speculate further, except to state that it is our intention to robustly defend each of the grounds alleged."

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators.
- 5.3 Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the 'Invitation to Tender' documents to be released on the 27th May 2013.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

6.1.1 Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- 6.1.2 The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- 6.1.3 The current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- 6.1.4 Eleven claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.
- 6.1.5 Previous slippage against the budget for 2012/13 has been addressed through re-profiling of the budgets across the programme.
- 6.1.6 The Department has approved an additional £148,200 out of the Optimism Bias budget to support upgrades to the existing Premium Stand in relation to disability access and Green Guide (5th Edition) adaptations.

6.1.7 ISSUES

6.1.8 None at present.

6.2 IFA/ WINDSOR PARK

6.2.1 Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.

6.2.2 The project is currently on programme with full commitment of the public sector spend expected within the CSR period (provided that significant legal challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table above.

6.2.3 IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Return dates for tenders is 24th June 2013.

- 6.2.4 Full spend target for 2012/13 year has been met.
- 6.2.5 Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. IFA are in discussions with the Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- 6.2.6 The Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- 6.2.7 A draft of the FBC was received from IFA on 27 February 2013 and a draft Benefits Realisation Plan was received on 7th May 2013. DCAL have provided feedback on these drafts and are awaiting a further version being submitted. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

6.2.8 ISSUES

- 6.2.9 IFA need to reach an agreement with Belfast City Council in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery; otherwise a separate tendering exercise would need to be undertaken with the potential for reduced value for money.
- 6.2.10 Funding Agreement and Full Business Case need to be progressed in line with agreed critical path dates.

6.3 GAA/ CASEMENT

6.3.1 Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	23.05.13	Date extended by a month to 10 th June 2013	Planning submission date has been extended to 10 th June 2013. This has meant that practically all of the float in the programme timeline has been used up. Planning approval will need to be turned around in 18 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	18 week turnaround required on planning approval	
IST Invitation to Tender	27.05.13	On Target	Invitation to Tender documents for the IST appointment on target to be released on 27 th May 2013.
DCAL sign off FBC	01.09.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

6.3.2 Target dates for the key project milestones are outlined in the table above. Robust management of the ICT by GAA will be required if the GAA are to meet the target programme dates.

6.3.3 Planning submission date has been extended to 10th June 2013. This has meant that practically all of the float in the programme timeline has

been used up. Planning approval will need to be turned around in 18 weeks to keep the programme on target.

- 6.3.4 The Department are currently working with GAA to provide a paper to the local residents group (MORA) on practical ways, where possible, to address residents' concerns around the stadium development.
- 6.3.5 The second stage of Community Consultation was launched on 6 February 2013 and significant work is on-going at present in relation to this area of work. A 'model' of the stadium has been built for community consultation purposes.
- 6.3.6 GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersonstown Road end of the ground. This will further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project.
- 6.3.7 The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. GAA will need to ensure that all procurement advice provided by the department is rigorously implemented to avoid potential procurement challenge. Target date for release of ITT tender documentation is the 27th May 2013. This is currently on target.
- 6.3.8 The full spend target for the 2012/13 year has been met.
- 6.3.9 Business Case consultants were appointed on the 14th February 2013. An initial draft of the business case was received by DCAL on the 8th April 2013. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- 6.3.10 The GAA programme timeline remains under pressure and will require a proactive delivery strategy and robust management of the ICT to ensure compliance to programme.

6.3.11 ISSUES

- 6.3.12 Significant concerns exist around the management of the project budget. Recent cost estimates provided by the ICT have not been challenged by the UCGAA. An initial review by the Stadium Team identified a number of areas where savings could be made.
- 6.3.13 Significant concerns also remain around the management of the ICT. Over the last number of meetings it has been apparent that there are significant communications issues between the ICT and UCGAA. This is slowing delivery and threatens delivery of public spend within the CSR timeline.
- 6.3.14 Funding Agreement and Full Business Case need to be progressed in line with critical path dates.

6.3.15 Spend profiles for 2013/14 and 2014/15 need to be reviewed as current estimates provided by UCGAA show significant spend in the first six months of the project.

7.0 Recommendation

7.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

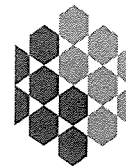
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CC Noel Molloy
Ciaran McGurk
Ciaran Mee
Gerard Rushe
DCAL Stadium Team

From: Colin Watson
Director of Sports and Stadiums

Date: 18 June 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

Issue: Developments around the delivery of the Regional Stadium Development Programme.

Timescale: For consideration at 25 June 2013 Board meeting.

Presentational Issues: Stadium development attracts considerable media interest.

Recommendation: That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

Summary: The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain particularly around the GAA programme and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.
- 2.2 Crusader's FC have made an application for a Judicial Review which has the potential to have an impact on Stadium Programme development. The Leave hearing is scheduled for 13 December 2013.

3.0 Spend Profile

- 3.1 Total accrued spend for the Stadium Programme for the year 2012/13 was £7.2m. The full spend target was met.
- 3.2 Governing Bodies have now submitted revised spend profiles for 2013/14 and 2014/15 which creates a pressure of £1,710,345 in 2013/14 and a corresponding reduction in the following year.

4.0 Communications

- 4.1 There have been no high profile PR events in the past month. A number of informal communication activities are progressing across the three sports.
- 4.2 As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "As the matter is now before the Courts it would not be appropriate to speculate further, except to state that it is our intention to robustly defend each of the grounds alleged."

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators. Tender Returns are due back on 24th June 2013.
- 5.3 Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the 'Invitation to Tender' documents to be released at the end of June 2013.

PROJECT UPDATES

6.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase (Phase I) of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.
- iv) A request for partial allocation of the Optimism Bias (OB) allowance for additional expenditure in connection with 'future proofing' measures relating to safety and comfort at Ravenhill Park Stadium was approved by the Departmental Accounting Officer on 12th April 2013 at the Stadium Management Meeting.
- v) Twelve claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.

ISSUES

None at present.

7.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target provided that significant legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target provided that significant legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target provided that significant legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target provided that significant legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target provided that significant legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.

- i) The project is currently on programme with full commitment of the public sector spend expected within the CSR period (provided that significant legal challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table above.

- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Return date for tenders is 24th June 2013.
- iii) Full spend target for 2012/13 year has been met.
- iv) Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. IFA are in discussions with the Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- v) The Funding Agreement is being developed further following discussions with IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- vi) Further drafts of the FBC have been received by the department for review. DCAL have provided feedback on these drafts and are awaiting a further version being submitted. A meeting took place on 17 June 2013 between DCAL and PWC to progress this further. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

ISSUES

- i) The Department has clarified its contribution to Compensation Events previously agreed by IFA. Going forward, IFA need to ensure that Departmental approvals are received in advance of work being done for any expenditure that constitutes a 'Compensation Event'.
- ii) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery; otherwise a separate tendering exercise would need to be undertaken with the potential for reduced value for money.
- iii) Funding Agreement and Full Business Case need to be progressed in line with agreed critical path dates.

8.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period.
Submission of Planning Application	19.06.13	On Target	Planning submission date has been extended to 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	
Planning Approval received	05.11.13	20 week turnaround required on planning approval	
IST Invitation to Tender	03.06.13	Revised to 28/6/13 as a result of procurement queries.	Invitation to Tender documents for the IST appointment have been finalised. However they have not been issued due to procurement query from one of the EO's.
DCAL sign off FBC	06.09.13	On Target	Key activities on target provided that significant legal challenges are avoided. Any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	06.09.13	On Target	
Appoint IST & prepare detailed design	23.09.13	On Target	
Commence Construction	05.11.13	On Target	
Complete Construction	25.09.15	On Target	

- i) Planning submission date has been extended to 19th June 2013. This has meant that practically all of the float in the programme timeline has been used up. Planning approval will need to be turned around in 20 weeks to keep the programme on target. Target dates for other key project milestones are outline in the table above. Significant endeavours will be needed to keep the programme on track in the coming months.
- ii) The Department has met with the local residents group (MORA) to discuss practical ways, where possible, to address residents' concerns around the stadium development.

- iii) The second stage of Community Consultation finished on the 5th June 2013.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. This will further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project.
- v) The current cost plan is being assessed in greater detail to ensure fit with the project budget.
- vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. Target date for release of ITT tender documentation has been put back due to a procurement query from an unsuccessful Economic Operator. It is envisaged that the ITT packs will be released by the 28 June 2013.
- vii) The full spend target for the 2012/13 year has been met.
- viii) An initial draft of the business case was received by DCAL on the 8th April 2013 and feedback provided to the business case consultants. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- ix) The GAA programme timeline remains under significant pressure and will require serious effort and robust management of the ICT in the coming months to keep the programme on track.

ISSUES

- i) All communications to the resident's group and media outlets need to be cleared by the Department before being released by UCGAA.
- ii) Funding Agreement and Full Business Case need to be progressed in line with critical path dates.
- iii) Procurement queries need to be dealt with in an effective manner with full advice from CPD and legal advisers where necessary.

9.0 Recommendation

- 9.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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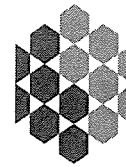
CC

Noel Molloy
Ciaran McGurk
Ciaran Mee
Gerard Rushe
DCAL Stadium Team

From: Colin Watson
Director of Sports and Stadiums

Date: 29 July 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 6 August 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain particularly around the GAA programme and additionally the

need to avoid lengthy delays around legal challenges in relation to the GAA IST procurement and the Crusaders Judicial Review.

- 2.2 It is anticipated that the Crusaders judicial review will be addressed in August, either by Crusaders withdrawing their challenge, or by DCAL applying for a 'stay', which may be followed by final resolution following a favourable decision by the new EU Commission.
- 2.3 A commercial decision has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against any potential impact on programme timelines.

3.0 Spend Profile

- 3.1 Governing Bodies have now submitted revised spend profiles for 2013/14 which amount to a total spend of £21,710,345 in this financial year.

These figures assume that there is little or no impact on spend arising from the current legal challenges.

- 3.2 Predicted spend of £21,710,345 creates a pressure of £1,710,345 in 2013/14 with a corresponding reduction in the following year. DFP have not approved a bid for this £1,710,345 pending the uncertainty around legal challenges.

The Department will continue to liaise with DFP at all quarterly monitoring rounds to manage the budgets for 2013/14 and 2014/15.

- 3.3 At this time, full spend of £21,710,345 in 2013/14 remains on target. The Stadium team will continue to monitor stadium spend closely against the current risks threatening the programme in this year.

4.0 Communications

- 4.1 There have been no high profile PR events in the past month. A number of informal communication activities are progressing across the three sports.
- 4.2 As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "As the matter is now before the Courts it would not be appropriate to speculate further, except to state that it is our intention to robustly defend each of the grounds alleged."

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the

'Invitation to Tender' documents released to the shortlisted economic operators. Tender Returns were received on 24th June 2013.

- 5.3 Social clause criteria for the IST contract have been agreed between the Department and the GAA and has formed part of the 'Invitation to Tender' documents released to the short listed economic operators.

PROJECT UPDATES

6.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase (Phase I) of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target. The first match of the season is scheduled for 23rd August 2013.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.
- iv) Twenty claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.
- v) UBIRFU have written to the Minister advising of their proposal to name the new Museum & Education Centre at Ravenhill 'The Nevin Spence Centre' which represents a fitting tribute to the memory of Nevin Spence, and his passion and commitment to rugby.

ISSUES

None at present.

7.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	01.11.13	On target	<p>A new programme has been provided by IFA to reflect tenders coming in over budget.</p> <p>This new programme still provides for full spend of DCAL funding by the end of current CSR period (March 2015).</p> <p>Programme on track provided that significant delays around legal challenges are avoided.</p>
Funding Agreement signed off by DCAL & IFA	22.11.13	On target	
Appoint IST & prepare detailed design	22.11.13	On target	
Commence Construction	06.01.14	On target	
Complete Construction	29.06.15	On target	

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period provided that significant delays around legal challenges are avoided. Revised target dates for key project milestones are outlined in the table above. IFA are also assessing the revised programme with a view to reducing the timelines associated with approving the FBC and Funding Agreement. This would result in the potential to appoint the contractor in September 2013 rather than November 2013.
- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Tenders were returned on 24th June 2013. A value engineering exercise is currently taking place due to tenders coming in over budget. Revised tender packs will be issued on 19 August with a return date of 13 September 2013.
- iii) IFA are in discussions with the Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- iv) A further draft of the Funding Agreement has been sent to IFA's legal advisors. Further work will be needed to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- v) A further draft of the full business case was received on the 21st June 2013. Further work will be needed to ensure the full Business Case is

approved in line with the critical path dates agreed with the Department.

ISSUES

- i) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.
- ii) The Funding Agreement and Full Business Case need to be progressed in line with agreed critical path dates to keep the project on programme.

8.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	
Planning Approval received	05.11.13	20 week turnaround required on planning approval	
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	06.09.13	On Target	Key activities on target provided that significant legal challenges are avoided. Any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	06.09.13	On Target	
Appoint IST & prepare detailed design	23.09.13	On Target	
Commence Construction	05.11.13	On Target	
Complete Construction	25.09.15	On Target	

- i) Planning application was submitted on the 19th June 2013. Planning approval will need to be turned around in 20 weeks to keep the programme on target. Target dates for other key project milestones are outlined in the table above. Significant endeavours will be needed to keep the programme on track in the coming months.
- ii) The Department has met with the local residents group (MORA) on a number of occasions to discuss practical ways, where possible, to address residents' concerns around the stadium development.
- iii) The second stage of Community Consultation finished on the 5th June 2013.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.

- v) The current cost plan has been reviewed to ensure fit with the project budget.
- vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. The ITT packs will were released to the economic operators on 11 July 2013.
- vii) An initial draft of the business case was received by DCAL on the 8th April 2013 and feedback provided to the business case consultants. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- viii) A draft Funding Agreement has been sent to GAA. The approval of the Funding Agreement is on the critical path for the project and needs to be completed in line with the dates agreed with the Department.
- ix) The GAA programme timeline remains under significant pressure and will require serious effort and robust management of the ICT in the coming months to keep the programme on track.
- x) A commercial decision has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against any potential impact on programme timelines.

ISSUES

- i) GAA need to ensure that the procurement challenge is dealt with in an effective and timely manner with advice from legal advisors and CPD built into GAA's responses to keep the programme on track.
- ii) The Funding Agreement and Full Business Case need to be progressed in line with critical path dates, otherwise appointment of the contractor will be delayed.
- iii) All communications to the resident's group and media outlets need to be cleared by the Department before being released by UCGAA.
- iv) The programme timeline remains challenging and UCGAA needs to use all its endeavours in the coming months to keep the programme timeline on track.

Recommendation

9.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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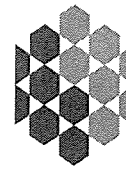
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DCAL Stadium Team
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Ciaran Mee
Gerard Rushe

From: Colin Watson
Director of Sports and Stadiums

Date: 9 September 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 17 September 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain particularly around the GAA programme and additionally the

need to avoid lengthy delays around the legal challenge in relation to the GAA IST procurement.

- 2.2 The Crusaders Football Club Judicial Review was dismissed by the High Court on 14 August 2013. The Department has submitted a pre-notification to the EU Commission on legal certainty around State Aid and is currently liaising regularly with EU officials to secure a favourable outcome.
- 2.3 A commercial decision has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against any potential impact on programme timelines. A court hearing has been scheduled for 24 September 2013.

3.0 Spend Profile

- 3.1 Governing Bodies have now submitted revised spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.
- 3.2 Stadium team have therefore declared an easement of £3.7m through October monitoring round which creates a pressure for a corresponding amount in 2014/15. However it should be noted that great certainty around spend profiles for 2013/14 and 2014/15 can only be obtained after appointment of the contractors for IFA (October 2013) and GAA (December 2013).
- 3.3 The Department will continue to liaise with DFP regularly to manage the budgets for 2013/14 and 2014/15, particularly in the coming weeks when contractors are appointed.

4.0 Communications

- 4.1 A number of informal communication activities are progressing across the three projects.
- 4.2 Ravenhill hosted its first friendly fixture on 23 August 2013 between Ulster and Leinster with the impressive new Aquinas and Memorial Stands open to the public for the first time.

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators. Tender returns are due back on 23rd September 2013.

- 5.3 Social clause criteria for the IST contract have been agreed between the Department and the GAA and has formed part of the 'Invitation to Tender' documents released to the short listed economic operators. Tender returns are due back on 21st October 2013.

PROJECT UPDATES

6.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme. Memorial Stand is complete and the Aquinas Stand is due for completion at the end of September 2013.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase (Phase 1) of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. The Memorial stand is now complete and the Aquinas stand is due for completion on 13th September 2013. Work is progressing well with the overall programme remaining on target. The first match of the season took place on 23rd August 2013.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.
- iv) Twenty Four claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.

ISSUES

None at present.

7.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	04.10.13	On target	A new programme has been provided by IFA to reflect tenders coming in over budget. This new programme still provides for full spend of DCAL funding by the end of current CSR period (March 2015). Programme on track provided that significant delays around legal challenges are avoided.
Funding Agreement signed off by DCAL & IFA	09.10.13	On target	
Appoint IST & prepare detailed design	25.10.13	On target	
Commence Construction	06.12.13	On target	
Complete Construction	29.06.15	On target	

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period provided that significant delays around legal challenges are avoided. Revised target dates for key project milestones are outlined in the table above.
- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Tenders were returned on 24th June 2013. A value engineering exercise is currently taking place due to tenders coming in over budget. Revised tender packs were issued on 26 August with a return date of 23 September 2013.
- iii) IFA are in discussions with the Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.
- iv) A meeting was held on 5th September 2013 with IFA and their legal advisors to discuss the Funding Agreement. This meeting secured significant progress on closing out the key issues within the Funding Agreement.
- v) Feedback has been provided to the IFA on the draft full Business Case. Further work will be needed to ensure the full Business Case is approved in line with the critical path dates agreed with the Department.

- vi) Issues have arose in recent weeks around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. IFA will need to demonstrate that governance arrangements remain robust.

ISSUES

- i) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.
- ii) The Funding Agreement and Full Business Case need to be closed out in line with agreed critical path dates to keep the project on programme.
- iii) The IFA will need to ensure that governance arrangements are robust and transparent to allow the Funding Agreement to be approved by the Department.

8.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	
Planning Approval received	05.11.13	20 week turnaround required on planning approval	
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	18.11.13	On Target	A new programme has been provided by UCGAA to reflect an extension to the IST Tender period.
Funding Agreement signed off by DCAL & UCGAA	02.12.13	On Target	
Appoint IST & prepare detailed design	02.12.13	On Target	
Commence Construction	27.01.14	On Target	Programme on track provided that significant delays around legal challenges are avoided.
Complete Construction	30.11.15	On Target	

- i) The GAA programme remains under significant pressure. All float on the programme has now been used up. Appointment of the contractor in December 2013 will provide much greater certainty around spend profiling and fit with CSR timescales. Target dates for key project milestones are outlined in the table above.
- ii) Planning application was submitted on the 19th June 2013. Planning approval will need to be turned around in 20 weeks to keep the programme on target.
- iii) The Department has met with the local residents group (MORA) on a number of occasions to discuss practical ways, where possible, to address residents' concerns around the stadium development. MORA have withdrawn from these discussions with the Department.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this

- space for social, economic and community returns is currently taking place.
- v) The current cost plan has been reviewed to ensure fit with the project budget. GAA have issued clarifications to tendering contractors around value engineering exercises to maintain flexibility in relation to management of the budget.
 - vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. The ITT packs were released to the economic operators on 11 July 2013. Tender returns are due back on 21st October 2013.
 - vii) An initial draft of the Business Case was received by DCAL on the 8th April 2013 and feedback provided to the Business Case consultants. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
 - viii) A draft Funding Agreement has been sent to GAA and meetings were held during August 2013 to progress this issue. The approval of the Funding Agreement is on the critical path for the project and needs to be completed in line with the dates agreed with the Department.
 - ix) A commercial decision has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against any potential impact on programme timelines. Court hearing has been scheduled for 24 September 2013.
 - x) The GAA programme timeline remains under significant pressure and will require serious effort and robust management of the ICT in the coming months to keep the programme on track.

ISSUES

- i) GAA need to ensure that the procurement challenge is dealt with in an effective and timely manner with advice from legal advisors and CPD built into GAA's responses to keep the programme on track.
- ii) The Funding Agreement and Full Business Case need to be progressed in line with critical path dates; otherwise appointment of the contractor will be delayed.
- iii) All communications to the resident's group and media outlets need to be cleared by the Department before being released by UCGAA.
- iv) The programme timeline remains challenging and significant contact with DFP will need to be maintained in the coming months around spend profiling particularly when the contractor provides their cash flow in November/December 2013.

Recommendation

9.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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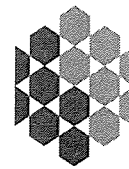
CC

Noel Molloy
Ciaran McGurk
DCAL Stadium Team
Sinead McCartan

From: Noel Molloy
Stadium Programme Director

Date: 11 October 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 22 October 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Governance

- 2.1 The programme continues to make progress but significant challenges remain until all procurement and planning processes are completed.

- 2.2 The Crusaders Football Club Judicial Review was dismissed by the High Court on 14 August 2013. The Department's position is that this is not state Aid but for legal certainty DCAL officials are liaising regularly with EU officials on the matter and are confident of receiving an appropriate response within a timeframe which would ensure delivery to the programme timelines. At the time of the Outline Business Case, expert opinion was that the funding of sport infrastructure did not constitute Aid.
- 2.3 More recently the IFA changed their Articles of Association without informing the Department. The changes impact on the Department's assurance that the IFA governance arrangements remain appropriate. The Department are working with the IFA to review the implications of the changes made and to be assured that appropriate governance and accountability structures have been maintained and fully meet the needs of DCAL.
- 2.4 A legal challenge has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against potential impact on programme timelines.

3.0 Spend Profile

- 3.1 Governing Bodies have submitted revised spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.
- 3.2 Stadium team have therefore declared an easement of £3.7m through October monitoring round which creates a pressure for a corresponding amount in 2014/15. However it should be noted that great certainty around spend profiles for 2013/14 and 2014/15 can only be obtained after appointment of the contractors for IFA (November 2013) and GAA (December 2013).
- 3.3 The on-going procurement challenge and a potential judicial review in relation to the Casement Park project around planning have increased the risk of potential delivery of some of the public funding contribution outside the current CSR period. The Department will continue to liaise with DFP regularly to manage the budgets for 2013/14 and 2014/15, particularly in the coming weeks when contractors are appointed.

4.0 Communications

- 4.1 A number of informal communication activities are progressing across the three projects.

5.0 Social Clauses, Socio-Economic Returns and Community Benefits

- 5.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 5.2 Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators. Tenders were returned on 23rd September 2013 and are currently being assessed.
- 5.3 Social clause criteria for the IST contract have been agreed between the Department and the GAA and has formed part of the 'Invitation to Tender' documents released to the short listed economic operators. Tender returns are due back on 21st October 2013.

PROJECT UPDATES

6.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing very well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.

ISSUES

None at present.

7.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	08.11.13	On target	Subject to the necessary assurances being received around IFA governance.
Funding Agreement signed off by DCAL & IFA	08.11.13	On target	
Appoint IST & prepare detailed design	08.11.13	On target	A new programme has been provided by IFA to reflect tenders coming in over budget.
Commence Construction	06.12.13	On target	This new programme still provides for full spend of DCAL funding by the end of current CSR period (March 2015). Programme on track provided that significant delays around legal challenges are avoided.
Complete Construction	29.06.15	On target	

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period provided that significant delays around legal challenges are avoided. Revised target dates for key project milestones are outlined in the table above.
- ii) The IFA IST tenders were returned on 23rd September 2013 and are currently being reviewed with a view to appointing the contractor in the near future, subject to the necessary assurances being received around IFA governance.
- iii) IFA are in discussions with the Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.
- iv) A meeting was held on 5th September 2013 with IFA and their legal advisors to discuss the Funding Agreement. This meeting secured significant progress on closing out the key issues within the Funding Agreement.
- v) Feedback has been provided to the IFA on the draft full Business Case. Further work will be needed to ensure the full Business Case is

approved in line with the critical path dates agreed with the Department.

- vi) Recently the IFA changed their Articles of Association without informing the Department. The changes impact on the Department's assurance that the IFA governance arrangements remain appropriate. The Department are working with the IFA to review the implications of the changes made and to be assured that appropriate governance and accountability structures have been maintained and fully meet the needs of DCAL. The Funding Agreement will not be signed off by the Department until these assurances have been received.

ISSUES

- i) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.
- ii) The Funding Agreement and Full Business Case need to be closed out in line with agreed critical path dates to keep the project on programme.
- iii) The IFA will need to ensure that governance arrangements are robust and transparent to allow the Funding Agreement to be approved by the Department.

8.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	
Planning Approval received	05.11.13	20 week turnaround required on planning approval	
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	18.11.13	On Target	A new programme has been provided by UCGAA to reflect an extension to the IST Tender period.
Funding Agreement signed off by DCAL & UCGAA	02.12.13	On Target	
Appoint IST & prepare detailed design	02.12.13	On Target	
Commence Construction	27.01.14	On Target	Programme on track provided that significant delays around legal challenges are avoided.
Complete Construction	30.11.15	On Target	

- i) The GAA programme remains challenging. Appointment of the contractor in December 2013 will provide much greater certainty around spend profiling and timescales. The on-going procurement challenge and a potential judicial review in relation to planning has increased the risk of potential delivery of some of the public funding contribution outside the current CSR period. Target dates for key project milestones are outlined in the table above.
- ii) Planning application was submitted on the 19th June 2013. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months.

- iii) The Department has chaired discussions between the local residents group (MORA) and UCGAA on a number of occasions to discuss practical ways, where possible, to address residents' concerns around the stadium development. MORA had withdrawn from these discussions but DCAL are endeavouring to rearrange these discussions.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.
- v) The current cost plan has been reviewed to ensure fit with the project budget. GAA have issued clarifications to tendering contractors around value engineering exercises to maintain flexibility in relation to management of the budget.
- vi) The IST tender packs were released to the economic operators on 11 July 2013 and tender returns are due back on 21 October 2013, following which appointment of the contractor will take place.
- vii) An initial draft of the Business Case was received by DCAL on the 8th April 2013 and feedback provided to the Business Case consultants. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- viii) The approval of the Funding Agreement is on the critical path for the project and needs to be completed in line with the dates agreed with the Department. Significant progress has been made on this document.
- ix) A legal challenge has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. UCGAA are taking steps to mitigate against potential impact on programme timelines.

ISSUES

- i) GAA need to ensure that the procurement challenge is dealt with in an effective and timely manner with advice from legal advisors and CPD built into GAA's responses to keep the programme on track.
- ii) The Funding Agreement and Full Business Case need to be progressed in line with critical path dates to ensure appointment of the contractor is not delayed.
- iii) On-going procurement challenge and a potential judicial review around planning have increased the risk of potential delivery of some of the public funding contribution outside the current CSR period.

Recommendation

9.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

NOEL MOLLOY

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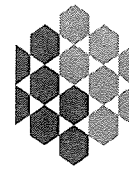
CC

Sinead McCartan
Ciaran McGurk
DCAL Stadium Team

**From: Noel Molloy
Stadium Programme Director**

Date: 11th November 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

Issue:	Developments around the delivery of the Regional Stadium Development Programme.
Timescale:	For consideration at 19th November 2013 Board meeting.
Presentational Issues:	Stadium development attracts considerable media interest.
Recommendation:	That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
Summary:	The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme is entering a critical phase in the coming weeks and months with the anticipated appointment of the contractors for Windsor Park and Casement Park.
- 2.2 A number of significant risks and issues have the potential to threaten the programme timelines if they are not proactively managed in the coming weeks. These include:
- Fit of the Windsor Park project with the project budget;
 - The need for assurance from IFA that governance arrangements remain appropriate in advance of the significant investment relating to the Stadium project;
 - The procurement challenge in relation to the process for the appointment of the contractor on the Casement Park project;
 - A potential Judicial Review in relation to planning for the Casement Park project.
- 2.3 The Governing Bodies for IFA and UCGAA need to take decisive action in managing these risks and resolving issues in the coming weeks.
- 2.4 The Judicial Review was withdrawn by the plaintiff on 14 August 2013. This represents good news across the programme. The Department's position is that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid or constitutes compatible State Aid.
- 2.5 The legal challenge to the procurement process on Casement Park has been withdrawn by the plaintiff which allows the tenders to be opened on 11 November 2013. Whilst this will help to expedite the overall process there will still be the potential for other challenges until the final process is completed.

3.0 Spend Profile

- 3.1 In August 2013 the Governing Bodies submitted anticipated spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.
- 3.2 Actual spend on the Ravenhill project is on target against the budget for the 2013/14 year.
- 3.3 In relation to the Casement Park project, the on-going procurement challenge and a potential Judicial Review in relation to planning may increase the risk of slippage against the 2013/14 budget. In addition the procurement and planning risks have increased the potential for slippage beyond the current CSR period.

- 3.4 Similarly, the issues currently threatening delivery of the Windsor Park project in relation to fit with budget and governance may increase the risk of slippage against the 2013/14 budget and the potential for subsequent slippage into the next CSR period.
- 3.5 IFA and UCGAA must proactively manage risks and resolve current issues. There is the potential for slippage of between £3.5m to £4.3m in 2013/14 if programmes are delayed.

4.0 Communications

- 4.1 A number of informal communication activities are progressing across the three projects.

PROJECT UPDATES

5.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing very well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.

ISSUES

None at present.

6.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	Dates to be confirmed upon resolution of outstanding issues around budget, governance and State Aid.	N/A	Risks need to be managed and issues resolved by IFA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Funding Agreement signed off by DCAL & IFA			
Appoint IST & prepare detailed design			
Commence Construction			
Complete Construction			

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period. However risks and issues exist which threaten delivery of this programme.
- ii) The IFA IST tenders were returned on 23rd September 2013 and are currently being reviewed. A shortfall currently exists between the project cost (based on lowest tender price) and the available funding. This gap will need to be addressed in the coming weeks, either through value engineering or through sourcing additional funding.
- iii) Recently the IFA changed their Articles of Association without informing the Department. The changes impact on the Department's assurance that the IFA governance arrangements remain appropriate. The Department are working with the IFA to review the implications of the changes made and to be assured that appropriate governance and accountability structures have been maintained and fully meet the needs of DCAL. The Funding Agreement will not be signed off by the Department until these assurances have been received.
- iv) IFA are in discussions with Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.
- v) A meeting was held on 5th September 2013 with IFA and IFA's legal advisors to discuss the Funding Agreement. This meeting secured

significant progress on closing out the key issues within the Funding Agreement.

- vi) Feedback has been provided to the IFA on the draft Full Business Case. This work has progressed well between IFA and the Department.

ISSUES

- i) The IFA will need to provide assurance to the Department that governance arrangements are robust and transparent to allow the Funding Agreement to be approved.
- ii) The shortfall between the current estimated project cost and the available funding will need to be addressed in the coming weeks.
- iii) The Funding Agreement and Full Business Case need to be closed out to keep the project on programme.
- iv) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.

7.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submitted on 19 th June 2013.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	Completed in May 2013.
Planning Approval received	05.11.13	20 week turnaround required on planning approval	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	Dates to be confirmed upon resolution of outstanding issues around the procurement challenge, a potential Judicial Review in relation to planning and State Aid.	N/A	Risks need to be managed and issues resolved by UCGAA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Funding Agreement signed off by DCAL & UCGAA			
Appoint IST & prepare detailed design			
Commence Construction			
Complete Construction			

- i) The GAA programme remains challenging. The potential judicial review in relation to planning may increase the risk of potential delivery of some of the public funding contribution outside the current CSR period.
- ii) Planning application was submitted on the 19th June 2013. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months. There is a significant possibility that the MORA residents group may seek Leave for a Judicial Review against any decision to approve planning for the Casement Park project. UCGAA will need to carefully monitor this risk in the coming weeks and if this risk crystallises, then UCGAA should ensure that proactive and timely actions are undertaken to minimise any impact on programme timelines.
- iii) A legal challenge had been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. This has now been withdrawn.

- iv) The IST tender packs were released to the economic operators on 11th July 2013. Tender return date has been extended to 11th November 2013.
- v) The current cost plan has been reviewed to ensure fit with the project budget. GAA have issued clarifications to tendering contractors around value engineering exercises to maintain flexibility in relation to management of the budget.
- vi) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.
- vii) The approval of the Funding Agreement is on the critical path for the project. Significant progress has been made on this document in recent weeks.
- viii) The Department has now received a further draft of the Full Business Case from UCGAA. Approval of the Full Business Case is critical to project delivery.

ISSUES

- i) UCGAA need to ensure that procurement challenges are dealt with in a decisive, effective and timely manner in the coming weeks to protect the programme timeline.
- ii) UCGAA need to effectively manage the risk to the project timeline that may arise from a potential Judicial Review around planning.
- iii) The final elements of drafting in relation to the Funding Agreement need to be closed out.

Recommendation

8.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

NOEL MOLLOY

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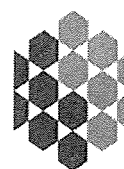
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Mick Cory
Ciaran McGurk
DCAL Stadium Team

From: Noel Molloy
Stadium Programme Director

Date: 17th December 2013

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development Programme.
- Timescale:** For consideration at 17th December 2013 Board meeting.
- Presentational Issues:** Stadium development attracts considerable media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major business objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme is entering a critical phase in the coming weeks and months with the anticipated appointment of the contractors for Windsor Park and Casement Park which has been marked by the release of the Alcatel letters for both projects on 9th December 2013.
- 2.2 A number of significant risks and issues have the potential to threaten the programme timelines if they are not proactively managed in the coming weeks. These include:
- Fit of the Windsor Park project with the project budget; and
 - A potential Judicial Review in relation to planning for the Casement Park project.
- 2.3 The matters are being proactively managed by the Governing Bodies with assistance from DCAL.
- 2.4 The Judicial Review on State Aid was withdrawn by the plaintiff on 14th August 2013. The Department's position is that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid or constitutes compatible State Aid. A positive determination on State Aid by the Commission is a Condition Precedent of the Funding Agreements with IFA and UCGAA.
- 2.5 There will still be the potential for Procurement challenges until the final process is completed.

3.0 Spend Profile

- 3.1 In August 2013 the Governing Bodies submitted anticipated spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.
- 3.2 Actual spend on the Ravenhill project is on target against the budget for the 2013/14 year.
- 3.3 In relation to the Casement Park project, the potential Judicial Review in relation to planning may increase the risk of slippage against the 2013/14 budget. In addition the planning risks have increased the potential for slippage beyond the current CSR period.
- 3.4 Similarly, the issue currently threatening delivery of the Windsor Park project in relation to fit with budget may increase the risk of slippage against the 2013/14 budget and the potential for subsequent slippage into the next CSR period.

- 3.5 IFA and UCGAA must proactively manage risks and resolve current issues. There is the potential for slippage of between £3.5m to £4.3m in 2013/14.
- 3.6 Officials have and continue to liaise with DFP with regards to spend profile allocations.

4.0 Communications

- 4.1 A number of informal communication activities are progressing across the three projects.
- 4.2 Discussions are currently ongoing in relation to the potential opening of the UBIRFU venue being pencilled in for their match against Leinster on 2nd May 2014.

PROJECT UPDATES

5.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing very well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Main construction work is ahead of programme with a potential opening of the venue being pencilled in for their match against Leinster on 2nd May 2014.
- iv) The fit out of the Educational and Heritage Centre is still on programme for completion in September 2014.
- v) DCAL are currently considering proposals from UBIRFU with regard to optimising the delivery of the socio-economic returns which are a key component of the overall programme and each individual project.
- vi) Any proposals approved can be funded through additional bids or from easements within the overall Regional Stadium Programme funding envelope.

ISSUES

None at present.

6.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	12.12.13	On Target	Provided this programme can be maintained, IFA deliver a compliant Full Business Case and there is no challenge to the identification of the Most Economical Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement on 19 th December 2013.
Funding Agreement signed off by DCAL & IFA	19.12.13	On Target	
Appoint IST & prepare detailed design	Dates to be confirmed upon resolution of outstanding issues around budget, governance and State Aid.		Risks need to be managed and issues resolved by IFA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Commence Construction			
Complete Construction			

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period. However risks and issues exist which threaten delivery of this programme.
- ii) The Independent Governance Review has been completed and makes a number of recommendations which if implemented, will provide enhanced assurance regarding the Governance of the IFA, particularly with regard to the significant funding being potentially awarded. The IFA Board unanimously accepted the recommendations of the FPM Governance Review on 28th November 2013.
- iii) DCAL have been working with the IFA on the Full Business Case and this is now in a position in which it can be agreed.
- iv) DCAL has reiterated its position on the Funding Agreement to the IFA which confirms that the Department has concluded its drafting of the Agreement. The Funding Agreement was put to the IFA Board for consideration on Thursday 28th November 2013 and has unanimously been agreed, with minor amendments to specific clauses which DCAL are content with.

- v) As the identification of the Most Economical Advantageous Tender (MEAT) for Windsor has been completed, the next step is to inform the various contractors of the intention to award through the release of an Alcatel letter.
- vi) The Alcatel letter can now be released as the following has been completed:
- The Governance Review provides the necessary assurance to DCAL;
 - The recommendations of the Governance Review have been agreed and approved by the IFA Board; and
 - The Funding Agreement has been agreed and approved by the IFA.
- vii) Provided there is no challenge to the identification of the MEAT during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with IFA.
- viii) There is currently a £4 million gap in the funding of the Windsor Park development, as the result of various issues including market fluctuations and economic operator confidence, which will be required to be resolved either through reviewing the potential for value engineering, additional bids or easements within the overall Regional Stadium Programme funding envelope.
- ix) There will be a number of “condition Precedents” within the funding agreement which will state that grants will only be paid once the following has been completed:
- The EU commission confirm that the Regional Stadium Programme is not State Aid or is permissible State Aid and;
 - That the IFA have implemented the recommendations of the independent governance review.
- x) Provided this programme can be maintained and IFA deliver a compliant Full Business Case then it would be possible to sign the Funding Agreement on 19th December 2013.
- xi) IFA are still in discussions with Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.

ISSUES

- i) The shortfall between the current estimated project cost and the available funding will need to be addressed in the coming weeks.
- ii) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.

7.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submitted on 19 th June 2013.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	Completed in May 2013.
Planning Approval received	05.11.13	20 week turnaround required on planning approval	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	12.12.13		Provided this programme can be maintained, UCGAA deliver a compliant Full Business Case, accept the Funding Agreement and there is no challenge to the identification of the Most Economical Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement on 19 th December 2013.
Funding Agreement signed off by DCAL & UCGAA	19.12.13		
Appoint IST & prepare detailed design	Dates to be confirmed upon resolution of outstanding issues around a potential Judicial Review in relation to planning and State Aid.		Risks need to be managed and issues resolved by UCGAA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Commence Construction			
Complete Construction			

- i) The GAA programme remains challenging. The potential judicial review in relation to planning may increase the risk of potential delivery of some of the public funding contribution outside the current CSR period.
- ii) Planning application was submitted on the 19th June 2013. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months. There is a significant possibility that the MORA residents

group may seek Leave for a Judicial Review against any decision to approve planning for the Casement Park project. UCGAA will need to carefully monitor this risk in the coming weeks and if this risk crystallises, then UCGAA should ensure that proactive and timely actions are undertaken to minimise any impact on programme timelines.

- iii) A legal challenge had been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. This has now been withdrawn.
- iv) The IST tender packs were released to the economic operators on 11th July 2013. The tenders for Casement Park are currently being assessed. The current programme has identified that the Tender report is to be completed on Monday 9th December 2013.
- v) DCAL has been working with UCGAA on the Full Business Case and significant work is ongoing to ensure that the Full Business Case is in a position to be agreed by 6th December 2013. The Department has now received a further draft of the Full Business Case from UCGAA. Approval of the Full Business Case is critical to project delivery.
- vi) DCAL have been working with UCGAA on the Funding Agreement to the UCGAA and significant work needs to be completed in order to have this agreed for 12th December 2013. The approval of the Funding Agreement is on the critical path for the project. Significant progress has been made on this document in recent weeks.
- vii) The Alcatel letter can be released once the following is completed:
 - The Full Business Case is agreed and;
 - The tender report is completed and accepted.

In order to remain on programme the Alcatel letter is required to be released on 9th December 2013.

- viii) Provided there is no challenge to the identification of the Most Economically Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with UCGAA.
- ix) There will be a number of "condition Precedents" within the Funding Agreement which will state that grants will only be paid once the following has been completed:
 - The EU commission confirm that the Regional Stadium Programme is not State Aid or is permissible State Aid;
 - That UCGAA have valid planning permission and;
 - That there is no legal challenge which prevents the awarding of the contract.
- x) Provided this programme can be maintained, UCGAA deliver a compliant Full Business Case and accept the Funding Agreement then it would be possible to sign the funding agreement on 19th December 2013.

- xi) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.

ISSUES

- i) UCGAA need to effectively manage the risk to the project timeline that may arise from a potential Judicial Review around planning.
- ii) The final elements of drafting in relation to the Funding Agreement need to be closed out.

Recommendation

8.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

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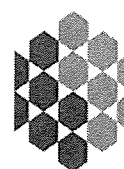
CC

Mick Cory
Sinead McCartan
Ciaran McGurk
DCAL Stadium Team

From: Noel Molloy
Stadium Programme Director

Date: 20th January 2014

To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**

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REGIONAL STADIUMS

cc list see below

SUMMARY

Issue:	Developments around the delivery of the Regional Stadium Development Programme.
Timescale:	For consideration at 28th January 2014 Board meeting.
Presentational Issues:	Stadium development attracts considerable media interest.
Recommendation:	That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
Summary:	The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme continues to make good progress but challenges remain.
- 2.2 The Judicial Review was dismissed by the High Court on 14 August 2013. The Department is liaising regularly with EU officials on the matter of State Aid and are confident of receiving an appropriate response within a timeframe which would ensure delivery to the programme timelines.
- 2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. The changes impacted on the Department's assurance that the IFA governance arrangements remain robust. An independent review of governance was completed and recommendations were accepted by the IFA Board. IFA Board have committed to implement these recommendations to allow DCAL to be assured that appropriate governance has been maintained and fully meet the needs of DCAL. The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance and therefore IFA will be required to comply with these conditions for a period of 25 years post construction.
- 2.4 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. Therefore all three stadium projects are either on site or preparing to go onto site.
- 2.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 Spend Profile

- 3.1 With the appointment of the contractors for the Windsor Park and Casement Park projects, much greater accuracy will now be possible with regard to spend across the programme.
- 3.2 Actual spend on the Ravenhill project is on target against the budget for the 2013/14 year.
- 3.3 In relation to the Casement Park project, the delay in submission to the planning application has led to some slippage against the 2013/14 budget and the likelihood for slippage beyond the current CSR period.
- 3.4 The delay to the programme brought about by the Crusaders Judicial Review has led to some slippage against the 2013/14 budget and the likelihood for subsequent slippage into the next CSR period.
- 3.5 As a result of the above issues an easement of £4.5m has been made for the 2013/14 financial year. This amount of £4.5m is still required within the programme to ensure full delivery of the projects.

- 3.6 Now that the tendering process for the appointment of the contractors for the Casement Park and Windsor Park project has been concluded, final project costs have been agreed. The budget allocations across the programme are now as follows:

	Funding allocated (including Optimism Bias)
Football – Windsor Park	£31,000,000
Gaelic Games – Casement Park	£62,508,045
Rugby – Ravenhill	£16,491,955
Total Programme Allocation	£110,000,000

- 3.7 Officials have and continue to liaise with DFP with regards to spend profile allocations.

4.0 SOCIAL CLAUSES, SOCIO-ECONOMIC RETURNS AND COMMUNITY BENEFITS

- 4.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.

- 4.2 Specific clauses included in the IST contract for the construction of the Ravenhill stadium require the employment of 7 LTU workers, the creation of 4 new apprenticeships, 2 student placements and where contractors/sub-contractors have over 20 employees, they must have over 5% of their workforce in recognised apprenticeships.

- 4.3 Specific clauses included in the IST contract for the construction of the Windsor Park stadium require the employment of 17 LTU workers, 8 new apprenticeships, 2 student placements, 5% apprenticeships requirement for contractors/sub-contractors with over 20 employees.

- 4.4 Specific clauses included in the IST contract for the construction of the Casement Park stadium include the employment of 46 LTU workers; the creation of 27 new apprenticeships, 2 student placements and 5% apprenticeships requirement for contractors/sub-contractors with over 20 employees.

- 4.5 Contractors on all three Stadium projects must also produce 5 practical proposals to deliver community initiatives and to return public benefits to the local community, such as educational initiatives with local schools and youth groups; charitable activity, practical support for programmes at 'Interface Areas' within the local communities etc.

5.0 Communications

- 5.1 A number of informal communication activities are progressing across the three projects.
- 5.2 Discussions are currently ongoing in relation to the potential official opening of the UBIRFU venue being pencilled in for their match against Leinster on 2nd May 2014.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

6.1.1 Ravenhill is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete and the main frame for the final grandstand also in place.

6.1.2 Completion of the remaining phases of construction work is planned for September 2014 with the Grandstand opened in May and the potential opportunity to host a quarter final of the Heineken Cup in April.

6.1.3 The Ravenhill project is making rapid progress towards becoming a world class facility and is currently ahead of schedule.

6.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	12.12.13	Completed	DCAL Programme Board approved FBC on 12 th December 2013.
Funding Agreement signed off by DCAL & IFA	20.12.13	Completed	Funding Agreement signed off by DCAL and IFA on 20 th December 2013.
Appoint IST & prepare detailed design	20.12.13	Pending- Design development by the contractor is currently underway.	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in the next few months.
Commence Construction	Dates to be confirmed upon resolution of Conditions Precedent around governance and State Aid.		Provided that significant delays around any legal challenges are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.
Complete Construction			

- 6.2.1 An independent review of governance was completed and recommendations were accepted by the IFA Board.
- 6.2.2 A Gateway Review 3 was completed and indicated a rating of Amber.
- 6.2.3 Tender returns indicated that the project could not be delivered within the original budget and value engineering was further implemented. However the original budget was required to be supplemented from within the overall programme budget to ensure delivery of the Programme for Government and DCAL objectives.
- 6.2.4 The IFA Integrated Supply Team tenders have been assessed and the Most Economically Advantageous Tender has been identified. As no challenges were received during the Alcatel period the Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 6.2.5 Design development by the contractor is currently underway and it is anticipated that works will commence on site in the next few months.
- 6.2.6 Provided that significant delays around any legal challenges are avoided, then the Windsor Park development can remain on

programme with completion of the construction works planned for September 2015.

- 6.2.7 Any potential issues with regard to State Aid and governance issues are dealt with by way of Conditions Precedent in the Funding Agreement to IFA.

6.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submitted on 19 th June 2013.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	Completed in May 2013.
Planning Approval received	05.11.13	Completed	Planning Approval was received on 18 th December 2013.
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	12.12.13	Completed	DCAL Programme Board approved FBC on 12 th December 2013.
Funding Agreement signed off by DCAL & UCGAA	20.12.13	Completed	Funding Agreement signed off by DCAL and UCGAA on 20 th December 2013.
Appoint IST & prepare detailed design	20.12.13	Pending- Design development by the contractor is currently underway.	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in the next few months.
Commence Construction	Dates to be confirmed upon resolution of Conditions Precedent around a potential Judicial Review in relation to planning and the issue of State Aid.		Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for late 2015.
Complete Construction			

6.3.1 A procurement challenge caused delay to the tendering process but was overcome in November 2013 with tenders being assessed late November.

6.3.2 A Gateway Review 3 was completed and indicated a rating of Amber.

6.3.3 Planning approval was received on 18th December 2013.

6.3.4 The UCGAA Integrated Supply Team tenders have been assessed and the Most Economically Advantageous Tender has been identified. As no challenges were received during the Alcatel period the Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.

- 6.3.5 Design development by the contractor is currently underway and it is anticipated that works will commence on site in the next few months.
- 6.3.6 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for late 2015.
- 6.3.7 Any potential issues with regard to State Aid and any potential legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Recommendation

- 7.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

NOEL MOLLOY

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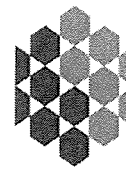
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CC Ciaran McGurk
Sinead McCartan
DCAL Stadium Team

**From: Cynthia Smith
Stadium Programme SRO**

Date: 14th February 2014

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS

cc list see below

SUMMARY

Issue:	Developments around the delivery of the Regional Stadium Development Programme.
Timescale:	For consideration at 25th February 2014 Board meeting.
Presentational Issues:	Stadium development attracts considerable media interest.
Recommendation:	That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
Summary:	The following provides an update on the Stadium Programme as a whole and outlines the position on the specific stadium projects.

Detail

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadiums Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. Therefore all three stadium projects are either on site or at pre-construction design. The programme continues to make good progress but challenges remain.
- 2.2 Noel Molloy left his role as Stadium Programme Director and left the Department in January 2014. Before Christmas the appointment of contractors for Casement Park and Windsor Park projects were secured and Noel Molloy played a huge role in delivering the stadium projects to this milestone stage.
- 2.3 DCAL have secured additional support in construction expertise and project management through Rory Miskelly from the Strategic Investment Board in the immediate term and consideration is being given to the resources required for the Stadium Programme as it enters a new phase.
- 2.4 The Judicial Review was dismissed by the High Court on 14 August 2013. The Department is liaising regularly with EU officials on the matter of State Aid and are confident of receiving an appropriate response, which we need to ensure is received within a timeframe that matches the programme timelines.
- 2.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 Spend Profile

- 3.1 Following appointment of the contractors for the Windsor Park and Casement Park projects, revised spend profiles have now been submitted to the Department and are currently being reviewed.
- 3.2 Actual spend on the Stadium Programme is on target against the budget which was revised through January monitoring for the 2013/14 year.
- 3.3 Officials have and continue to liaise with DFP with regard to spend profile allocations.

4.0 SOCIAL CLAUSES, SOCIO-ECONOMIC RETURNS AND COMMUNITY BENEFITS

- 4.1 The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- 4.2 Specific clauses included in the IST contract for the construction of the Ravenhill stadium require the employment of 7 LTU workers, the creation of 4 new apprenticeships, 2 student placements and where contractors/sub-contractors have over 20 employees, they must have over 5% of their workforce in recognised apprenticeships.

- 4.3 Specific clauses included in the IST contract for the construction of the Windsor Park stadium require the employment of 17 LTU workers, 8 new apprenticeships, 2 student placements, 5% apprenticeships requirement for contractors/sub-contractors with over 20 employees.
- 4.4 Specific clauses included in the IST contract for the construction of the Casement Park stadium include the employment of 46 LTU workers; the creation of 27 new apprenticeships, 2 student placements and 5% apprenticeships requirement for contractors/sub-contractors with over 20 employees.
- 4.5 Contractors on all three Stadium projects must also produce 5 practical proposals to deliver community initiatives and to return public benefits to the local community, such as educational initiatives with local schools and youth groups; charitable activity, practical support for programmes at 'Interface Areas' within the local communities etc.

5.0 Communications

- 5.1 A number of informal communication activities are progressing across the three projects.
- 5.2 Discussions are currently ongoing in relation to the potential official opening of the UBIRFU venue being pencilled in for their match against Leinster on 2nd May 2014.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

6.1.1 Ravenhill is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete.

6.1.2 Completion of the remaining phases of construction work is planned for September 2014 with the Grandstand to be opened in May 2014.

6.1.3 Following Ulster's 22-19 victory over Leicester Tigers at Welford Road on 18 January 2014, the team have qualified for the Heineken Cup quarter final stages and will take on Saracens at the newly redeveloped Ravenhill in April 2014.

Gilbert Ash report that they remain on target for the completion of all match critical spectator facilities by 1st March 2014.

UBIRFU must secure approval from EHC and all other relevant statutory and legislative approvals to enable UBIRFU to stage the Heineken Cup Quarter Final at Ravenhill in April 2014 and therefore are liaising with the relevant statutory bodies to ensure all relevant approvals are in place.

6.1.4 The Ravenhill project is making rapid progress towards becoming a world class facility and is currently ahead of schedule.

6.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Comment
Appoint IST & prepare detailed design	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway.
Commence Construction	April 2014	Provided that significant delays around any legal challenges are avoided, then the Windsor Park development can remain on programme with commencement of the construction works in April 2014 and completion of the construction works planned for September 2015.
Complete Construction	30.09.15	

- 6.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 6.2.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.
- 6.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. The changes impacted on the Department's assurance that the IFA governance arrangements remain robust. An independent review of governance was completed and recommendations were accepted by the IFA Board. IFA Board have committed to implement these recommendations to allow DCAL to be assured that appropriate governance has been maintained and fully meet the needs of DCAL. The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance and therefore IFA will be required to comply with these conditions for a period of 25 years post construction.
- 6.2.4 The department wishes to maximise the community & social- economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of May 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development.
- 6.2.5 Provided that significant delays around any legal challenges are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.
- 6.2.6 Any potential issues with regard to State Aid and governance issues are dealt with by way of Conditions Precedent in the Funding Agreement to IFA.

6.3 GAA/ CASEMENT Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Comment
Appoint IST & prepare detailed design	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in the next few months.
Commence Construction	April 2014	Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with commencement of construction works in April 2014 and completion of the construction works planned for late 2015.
Complete Construction	31.12.15	

6.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.

6.3.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.

6.3.3 Local residents have further raised concerns around the development of the Casement Park Stadium.

Meetings have been held on a number of occasions between the Department, UCGAA and MORA.

An extensive community consultation process which has already run for 22 months was extended by the UCGAA by a period of four weeks to enable the full views of the local community to be heard.

DCAL are aware that UCGAA and the contractor are fully committed to continuing to engage with residents in the coming weeks and DCAL will continue to support this approach.

6.3.4 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for late 2015.

6.3.5 Any potential issues with regard to State Aid and any potential legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Recommendation

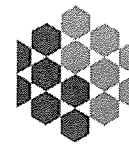
7.0 That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

CYNTHIA SMITH

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e-mail: cynthia.smith@dcalni.gov.uk

CC Ciaran McGurk
Sinead McCartan
DCAL Stadium Team
Michael O'Dowd, DCAL Finance



From: Cynthia Smith
Date: 24th March 2014
To: DCAL Departmental Board

REGIONAL STADIUMS - UPDATE

Summary

Issue: Developments around the delivery of the Regional Stadium Development.

Timescale: For consideration at 25th March 2014 Departmental Board meeting.

Presentational Issues: Stadium issues have the potential to generate media interest.

Recommendation: That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

Summary: The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

Issue

1.0 Background

- 1.1 Monthly updates are provide to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact on potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. Therefore all three stadium projects are either on site or at pre-

construction design. The programme continues to make good progress but challenges remain.

2.2 As the GAA and IFA projects have now entered a new phase where the paramount vehicle for delivery of the project is the NEC contract between the Governing Body and the IST contractor, each of the Governing Bodies need to ensure that it has the appropriate governance arrangements, structures and suitably skilled project teams in place to allow for effective delivery of the stadium projects. Roles and responsibilities will need to be clearly defined going forward.

2.3 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 State Aid Issue

3.1 The Department is liaising regularly with EU officials on the matter of State Aid and are confident of receiving an appropriate response, within a timeframe that will keep all projects on programme.

3.2 The European commission have confirmed that no further information is required from the Department in relation to the case.

4.0 Spend Profile

4.1 **2013/14 Spend** - Required spend in 2013/14 is £12,831,000. This includes an additional amount of £1.2m identified as a pressure post January monitoring round. Spend is currently on target with the full amount of £12,831,000 expected to be accrued by the year end.

4.2 **Profile of spend across the remainder of the CSR and to the end of the programme** - The contractors on each of the projects are required to profile spend to the end of the programme. To provide these profiles, contractors need certainty around State Aid and confirmation around likelihood of potential JR on planning (GAA project) which should be achieved by mid-April. Therefore, if these issues reach satisfactory resolution in the next few weeks, then by third week of April, a very strong degree of accuracy around spend profiles can be reached, which can be immediately provided to DFP in time for deadlines around June monitoring round. Without such certainty contractors can only present figures based on various sets of scenarios around when projects might start.

5.0 Social Clauses

5.1 Contractors have now been appointed on the Windsor and Casement projects.

5.2 The contractor for the Casement project has submitted a draft Employment Plan which is currently being reviewed by the Department.

5.3 The draft Employment Plan for Windsor project is due back by 13th March 2014.

5.4 The Department intends to launch an intensive period of public awareness around the opportunities available for the long-term unemployed and apprenticeships in late March/early April. A number of events will take place during these months to promote opportunities to sectors of society facing the greatest inequalities within areas of greatest objective need.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- 6.1.1 Ravenhill is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete and the grandstand nearing completion.
- 6.1.2 Completion of the remaining phases of construction work around the education and heritage facilities is planned for September 2014.
- 6.1.3 Ulster have qualified for the Heineken Cup quarter final stages and will take on Saracens at the newly redeveloped Ravenhill in April 2014. Gilbert Ash report that they remain on target for the completion of all match critical spectator facilities for this fixture.
- 6.1.4 UBIRFU have received safety certification from Belfast City Council to host a crowd of up to 18,198 at the Heineken quarter-final fixture.
- 6.1.5 The Ravenhill project is making rapid progress towards becoming a world class facility and is currently ahead of schedule. The official opening of the stadium will take place on the 2nd May 2014 with the Rabo Pro Direct league fixture versus Leinster.

Issues

- 6.1.6 The report on delivery of social clause requirements is now overdue.
- 6.1.7 UBIRFU to ensure that the Department is kept fully abreast of all arrangements for the Stadium opening in May 2014.

6.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Comment
Funding Agreement Signed	20.12.13	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway.
Commence Construction	April 2014	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with commencement of the construction works in April 2014 and completion of the construction works planned for September 2015.
Complete Construction	30.09.15	

- 6.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 6.2.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.
- 6.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014.
- 6.2.4 The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance and therefore IFA will be required to comply with these conditions for a period of 25 years post construction. A number of the Funding Agreement conditions precedent relate to governance and therefore the IFA will be required to provide evidence of compliance with these conditions by early April.
- 6.2.5 The department wishes to maximise the community & socio- economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of May 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 6.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.
- 6.2.7 Any potential issues with regard to State Aid and governance issues are dealt with by way of Conditions Precedent in the Funding Agreement to the IFA.

Issues

- 6.2.8 IFA need to ensure that all 'conditions precedent' including governance conditions are tracked and managed to ensure full sign-off before the construction notice is issued.

6.2.9 Budgets need to be monitored on a monthly basis going forward.

6.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Comment
Funding agreement signed	20.12.13	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	April 2014	Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with commencement of construction works in April 2014 and completion of the construction works planned for early 2016.
Complete Construction	28.02.16	

- 6.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 6.3.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.
- 6.3.3 Local residents have raised concerns around the development of the Casement Park Stadium. Meetings have been held on a number of occasions between the Department, UCGAA and MORA.
- 6.3.4 An extensive community consultation process which has already run for 22 months was extended by the UCGAA by a period of four weeks to enable the full views of the local community to be heard.

DCAL are aware that UCGAA and the contractor are fully committed to continuing to engage with residents in the coming weeks and DCAL will continue to support this approach.

- 6.3.5 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement. The constructive approach to resolving this issue is welcomed.
- 6.3.6 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for early 2016.
- 6.3.7 Any potential issues with regard to State Aid and any potential legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Issues

- 6.3.8 Budgets need to be monitored on a monthly basis and claims made in a timely manner.
- 6.3.9 GAA needs to ensure that any remaining issues around the Casement Social Club and the Antrim GAA are resolved before issue of the construction notice.
- 6.3.10 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.
- 6.3.11 GAA response to Gateway 3 report is long overdue.

7.0 Recommendation

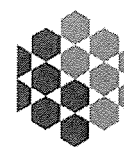
- 7.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

CYNTHIA SMITH

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cc
C McGurk
S McCartan
Stadium Team



From: Cynthia Smith
Date: 6th May 2014
To: DCAL Departmental Board

REGIONAL STADIUMS - UPDATE

Summary

Issue: Developments around the delivery of the Regional Stadium Development.

Timescale: For consideration at 8th May 2014 Departmental Board meeting.

Presentational Issues: Stadium issues have the potential to generate media interest.

Recommendation: That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

Summary: The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

Issue

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. Therefore all three stadium projects are either on site or at pre-

construction design. The programme continues to make good progress but challenges remain.

- 2.2 As the GAA and IFA projects have now entered a new phase where the paramount vehicle for delivery of the project is the NEC contract between the Governing Body and the IST contractor, each of the Governing Bodies need to ensure that it has the appropriate governance arrangements, structures and suitably skilled project teams in place to allow for effective delivery of the stadium projects. Roles and responsibilities will need to be clearly defined going forward.
- 2.3 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 State Aid Issue

- 3.1 The issue of state aid has been resolved.
- 3.2 The Judicial Review raised by Crusaders FC was dismissed by the High Court on 14 August 2013. The Department liaised regularly with EU officials on the matter of state aid and on 10th April 2014 confirmation was received from the European Commission that it is compatible state aid.
- 3.3 It was important for the Stadium Programme and wider Executive funded projects that this legal certainty has been obtained.

4.0 Spend Profile

- 4.1 **2013/14 Spend** - A total spend of £12,719,749 has been achieved against the Stadium Programme in 2013/14. Total spend to date against the Stadium Programme as of 31 March 2014 is £20,321,000.
- 4.2 **2014/15 Spend** – Required spend in 2014/15 is £85,100,000. However, an easement of £25,549,528 has been declared through June Monitoring due to the delay to the programme brought about by the Crusaders Judicial Review.

This risk to the programme has now been mitigated as the EU Commission deemed the aid to the Stadium Programme to be “compatible state aid” on 9 April 2014. However, this has led to a delay to the programme timelines for Windsor Park and Casement Park which has resulted in revised spend profiles which indicate the need for an easement of £25,549,528 against an initial spend target of £85,100,000.

- 4.3 The delay to the programme brought about by the Crusaders Judicial Review has led to some slippage against the 2013/14 and 2014/15 budget and subsequent slippage into the next CSR period.

A bid for the amount of £30,000,000 will be made for 2015/16. This is based on declared easements of £46.1m (i.e. £12.4m in 2013/14, £8.2m in 2013/14 & £25.5m in 2014/15) less pressures of £16.1m met by DFP in TBUC exercise which equates to a Net Pressure of £30.0m in 2015/16.

- 4.4 It should be noted that a ‘Judicial Review Leave Application’ against Casement Park Planning Approval has been submitted by a Casement Park Residents Group (Mooreland Owenveagh Residents Association) and may significantly impact the spend

figure for 2014/15. If the Judicial Review is successful, it is likely that a further significant easement will be declared in 2014/15 with a corresponding pressure in 2015/16.

4.5 Officials have and continue to liaise with DFP with regards to spend profile allocations.

5.0 Social Clauses

5.1 Contractors have now been appointed on the Windsor and Casement projects.

5.2 The contractors for the Casement and Windsor projects have submitted draft Employment Plans which are currently being reviewed by the Department.

5.3 The Department issued a status report on it's 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This will kick start a series of other events in the coming weeks and months aims at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor. In addition, events will be run to promote opportunities for sub-contractors and suppliers in the coming weeks.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction of Spectator Facilities	01.09.14	On target	
Complete Construction of work around education and heritage facilities	31/01/15	On target	

- 6.1.1 The Ravenhill project is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete and the main grandstand is nearing completion.
- 6.1.2 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 6.1.3 UBIRFU have received a safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 6.1.4 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 6.1.5 The official opening of the stadium will take place on the 2nd May 2014. This will coincide with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister will be present at the opening.

Issues

- 6.1.6 UBIRFU to ensure that the Department is kept fully abreast of all arrangements for the Stadium opening in May 2014.
- 6.1.7 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.

6.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway.
Commence Construction	April 2014	Construction Notice Issued (02.05.14)	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with commencement of the construction works in May 2014 and completion of the construction works planned for September 2015.
Complete Construction	30.09.15	On target	

- 6.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 6.2.2 Design development by the contractor is currently underway and release of the Construction Notice by the IFA to the contractor should be approved to enable construction works to commence on site week commencing 6 May 2014 (dependant on final conditions precedent being satisfied in advance of the planned sod cutting event on 2nd May).
- 6.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014.
- 6.2.4 The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance. The Department must be satisfied that sufficient progress has been made against the governance recommendations in order to allow the release of the construction notice.
- 6.2.5 The department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of May 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 6.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.

Issues

- 6.2.7 IFA need to ensure that all 'conditions precedent' including governance conditions are tracked and managed to ensure full sign-off before approval of the construction notice.
- 6.2.8 Budgets need to be monitored on a monthly basis going forward.

6.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	May 2014	On target	Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with commencement of construction works in May 2014 and completion of the construction works planned for early 2016.
Complete Construction	28.02.16	On target	

- 6.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 6.3.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in May 2014, subject to all condition precedents being met.
- 6.3.3 Local residents have raised concerns around the development of the Casement Park Stadium. Meetings have been held on a number of occasions between the Department, UCGAA and MORA.
- 6.3.4 MORA submitted an application to seek leave for a judicial review (against the DOE's decision to grant planning approval for Casement Park) on the 14 April 2014. The impact of this on the project is unknown at this stage and will be dependent on the Courts. This may delay the issuing of the Casement Park construction notice.
- 6.3.5 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement. The constructive approach to resolving this issue is welcomed.
- 6.3.6 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for early 2016.
- 6.3.7 Any potential issues with regard to legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Issues

- 6.3.8 Budgets need to be monitored on a monthly basis and claims made in a timely manner.
- 6.3.9 GAA needs to ensure that any remaining issues around the Casement Social Club and the Antrim GAA are resolved before issue of the construction notice.

- 6.3.10 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.
- 6.3.11 Updated spend profile to the end of the programme to be provided.
- 6.3.12 Review of the Project Budget to be undertaken pre-release of the construction notice.
- 6.3.13 GAA must ensure that appropriate governance arrangements, structures and a suitably skilled project team is in place to allow for the effective delivery of the Casement Park project.
- 6.3.14 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

7.0 Recommendation

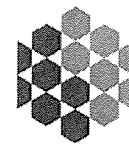
- 7.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

CYNTHIA SMITH

EXT: 028 9051 5169

E-MAIL: cynthia.smith@dcalni.gov.uk

cc
C McGurk
S McCartan
Stadium Team



From: Cynthia Smith
Date: 27th May 2014
To: DCAL Departmental Board

REGIONAL STADIUMS - UPDATE

Summary

Issue: Developments around the delivery of the Regional Stadium Development.

Timescale: For consideration at 28th May 2014 Departmental Board meeting.

Presentational Issues: Stadium issues have the potential to generate media interest.

Recommendation: That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

Summary: The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

Issue

1.0 Background

- 1.1 Monthly updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme in the past month and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects. Construction work has now commenced at Windsor Park. Construction work at

Casement Park is delayed temporarily due to the JR against planning approval. The programme continues to make good progress but challenges remain.

- 2.2 As the GAA and IFA projects have now entered a new phase where the paramount vehicle for delivery of the project is the NEC contract between the Governing Body and the IST contractor, each of the Governing Bodies need to ensure that it has the appropriate governance arrangements, structures and suitably skilled project teams in place to allow for effective delivery of the stadium projects. Roles and responsibilities will need to be clearly defined going forward.
- 2.3 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 State Aid Issue

- 3.1 The issue of state aid has been resolved.
- 3.2 Confirmation was received from the European Commission on the 14th April 2014 that aid to the Stadium Programme represents 'compatible state aid'.
- 3.3 It was important for the Stadium Programme and wider Executive funded projects that this legal certainty has been obtained.

4.0 Spend Profile

- 4.1 **2013/14 Spend** - A total spend of £12,719,749 has been achieved against the Stadium Programme in 2013/14. Total spend to date against the Stadium Programme as of 31 March 2014 is £20,321,000.
- 4.2 **2014/15 Spend** – Required spend in 2014/15 is £85,100,000. However, an easement of £25,549,528 has been declared through June Monitoring due to the delay to the programme brought about by the Crusaders Judicial Review.
- 4.3 The delay to the programme brought about by the Crusaders Judicial Review has also meant that there is now a pressure against the 2015/16 year.

A bid for an amount of £30,000,000 will be made for 2015/16. This is based on declared easements of £46.1m (i.e. £12.4m in 2012/13, £8.2m in 2013/14 & £25.5m in 2014/15) less pressures of £16.1m met by DFP in TBUC exercise which equates to a Net Pressure of £30.0m in 2015/16.

- 4.4 It should be noted that a Judicial Review hearing against the Casement Park Planning Approval has been set for September 2014 and will significantly impact on the spend figure in 2014/15 and create a further pressure in 2015/16. The impact on spend is currently being estimated by the GAA's ICT and IST.
- 4.5 Officials have and continue to liaise with DFP with regards to spend profile allocations.

5.0 Social Clauses

- 5.1 Contractors have now been appointed on the Windsor and Casement projects.
- 5.2 The contractors for the Casement and Windsor projects have submitted draft Employment Plans which are currently being reviewed by the Department.
- 5.3 The Department issued a status report on it's 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This will kick start a series of other events in the coming weeks and months aims at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor. In addition, events will be run to promote opportunities for sub-contractors and suppliers in the coming weeks.

6.0 PROJECT UPDATES

6.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Early indications are that potential exists for early delivery.
Complete Construction of Spectator Facilities	01.09.14	On target	
Complete Construction of work around education and heritage facilities	31/01/15	On target	

- 6.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.
- 6.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 6.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 6.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 6.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.

Issues

6.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.

6.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

- 6.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 6.2.2 Design development by the contractor is complete and the release of the Construction Notice by the IFA was made on 2 May 2014. Construction works commenced on site on 6 May 2014 after the Irish Cup Final.
- 6.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014.
- 6.2.4 The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance. The Department must be satisfied that sufficient progress has been made against the governance recommendations in order to allow the release of the construction notice.
- 6.2.5 The department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of September 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.

6.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

6.2.7 IFA need to ensure that all ongoing ‘conditions precedent’ including governance conditions are tracked and managed to ensure full sign-off before first payment of grant.

6.2.8 Budgets need to be monitored on a monthly basis going forward.

6.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	May 2014	Delayed	JR hearing against planning approval set for September 2014. Construction works will not be fully able to commence until October 2014 at the earliest. GAA considering further site clearance and demolition work through an options and risk appraisal.
Complete Construction	28.02.16	Delayed	

6.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.

6.3.2 Design development by the contractor is complete.

6.3.3 JR hearing against planning approval set for September 2014. Construction works will not be fully able to commence until October 2014 at the earliest. GAA considering further site clearance and demolition work through an options and risk appraisal.

6.3.4 The JR hearing against the Casement Park Planning Approval, which has been set for September 2014, will significantly impact on the spend figure in 2014/15 and create a further pressure in 2015/16. The impact on spend is currently being estimated by the GAA’s ICT and IST.

6.3.5 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casements.

Issues

6.3.6 GAA need to ensure that all ‘conditions precedent’ are tracked and managed to ensure full sign-off before the construction notice is issued.

- 6.3.7 Updated spend profile to the end of the programme to be provided to reflect delay to the programme brought about by the JR.
- 6.3.8 Review of the Project Budget to be undertaken pre-release of the construction notice.
- 6.3.9 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

7.0 Recommendation

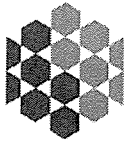
- 7.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

CYNTHIA SMITH

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cc
C McGurk
Stadium Team



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

From: Cynthia Smith
Date: 25th July 2014
To: DCAL Departmental Board

REGIONAL STADIUMS - UPDATE

Summary

Issue: Developments around the delivery of the Regional Stadium Development.

Timescale: For consideration at 5th August 2014 Departmental Board meeting.

Presentational Issues: Stadium issues have the potential to generate media interest.

Recommendation: That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.

Summary: The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

Issue

1.0 Background

- 1.1 Regular updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme continues to make excellent progress but challenges remain.
- 2.2 The Ravenhill project is now almost complete with world class spectator accommodation now available at Ravenhill. The official opening of the Stadium took place on 2nd May

2014 with only work on the education & heritage centre and community facilities yet to be completed by early 2015.

- 2.3 Significant progress also has been made recently on the Windsor Park project with the appointment of the contractors (O'Hare & McGovern). Construction work commenced on site on 6 May 2014 with a planned completion date of October 2015.
- 2.4 In relation to the Casement Park project, the contractor (Heron Buckingham JV) was appointed in December 2013 and design development by the contractor is complete. However construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's decision to grant planning approval for the Casement Park project. This will significantly impact on the spend profile in 2014/15 and create a further pressure in 2015/16.
- 2.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 Spend Profile

- 3.1 A total spend of circa £11.8m has been achieved against the Stadium Programme in 2013/14. Total spend to date against the Stadium Programme as of 31 March 2014 is circa £19.4m.
- 3.2 Based on receipts submitted by UCGAA there is an under-spend of £786k against the agreed UCGAA budget for 2013/14. The Department has sought an explanation for the under-spend and requested UCGAA to identify whether this funding is required in subsequent years.
- 3.3 This leaves a balance of £90.6m across the programme. As a result of the JR against the Casement Park planning approval decision, it is likely that the spend estimate would be £49.8m in 2014/15 and £40.8m in 2015/16. An easement of £35.3m has been declared in June monitoring for 2014/15 resulting in a corresponding pressure in 2015/16.
- 3.4 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise impact of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

4.0 Social Clauses

- 4.1 Provision of social clauses in the construction contracts for the Stadium projects have been a high priority for the Department.
- 4.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This kick-started a series of other events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor, and events to promote opportunities for sub-contractors and suppliers.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Early indications are that potential exists for early delivery.
Complete Construction of Spectator Facilities	01.09.14	On target	
Complete Construction of work around education and heritage facilities	31/01/15	On target	

- 5.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.
- 5.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 5.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 5.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 5.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.

Issues

- 5.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	On target	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

- 5.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.2 Design development by the contractor is complete and the release of the Construction Notice by the IFA was made on 2 May 2014. Construction works commenced on site on 6 May 2014 after the Irish Cup Final.
- 5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. The IFA Board has now implemented all of these recommendations. This has allowed DCAL to be assured that appropriate governance has been maintained and meet the needs of DCAL.
- 5.2.4 O'Hare and McGovern has finalised their Employment Plan and this has been agreed by all parties.
- 5.2.5 The department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City

Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of September 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.

- 5.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

- 5.2.7 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR hearing against planning approval set for September 2014. GAA considering further site clearance and demolition work through an options and risk appraisal.
Complete Construction	28.02.16	Delayed	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 Design development by the contractor is complete.
- 5.3.3 JR hearing against planning approval set for 9-12 September 2014. At the hearing on 22nd May, it was agreed that the Planning Service Affidavit should be sworn by 30 June with NIEA and Roads Service Affidavits by 7 July. The applicant was due to provide their responding Affidavit by 3rd August.
- 5.3.4 Both DCAL and the AG's office have worked to ensure those deadlines were met but the Planning Service affidavit was only sworn on 7 July and the NIEA/Roads affidavit received on 11 July 2014. The applicant has since signalled that the unavailability of their planning consultant means they will be seeking an extension to the timing of the JR. Court Service advise the next available dates are in December 2014.
- 5.3.5 The Department is not accepting the need for delay and would intend to contest any adjournment application. We have stressed to DSO through the AG's office the importance to DCAL of maintaining the current timeframe. The GAA remain committed to that timeframe and their Counsel will also write to the Court on that basis.
- 5.3.6 Construction works will not be fully able to commence until October 2014 at the earliest. The GAA is considering further works which could reasonably be taken forward ahead of

the planning JR including site clearance and demolition work and relocation of the social club through an options and risk appraisal.

- 5.3.7 The JR hearing against the Casement Park Planning Approval, which has been set for September 2014, will significantly impact on the spend figure in 2014/15 and create a further pressure in 2015/16. The impact on spend is currently being estimated by the GAA's ICT and IST.
- 5.3.8 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 5.3.9 The Department and UCGAA need to maintain pressure on DSO to protect the dates set for the JR in September 2014.
- 5.3.10 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.
- 5.3.11 Updated spend profile to the end of the programme to be provided to reflect delay to the programme brought about by the JR.
- 5.3.12 Review of the Project Budget to be undertaken pre-release of the construction notice.
- 5.3.13 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.
- 5.3.14 UCGAA to provide paper on reason for under-spend of circa £480k in 2013/14 and identify whether the funding is required in subsequent years.

6.0 Recommendation

- 6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

CYNTHIA SMITH

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cc
Rory Miskelly
C McGurk
Stadium Team

From: Rory Miskelly
Date: 20 October 2014
To: DCAL Departmental Board



REGIONAL STADIUMS - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development.
- Timescale:** For consideration at 28th October 2014 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

ISSUE

1.0 Background

- 1.1 Regular updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme continues to make good progress but significant challenges remain, particularly in relation to the Casement Park project
- 2.2 The Ulster Rugby Kingspan Stadium is now almost complete with only work on the education & heritage centre and community facilities yet to be completed by early 2015.

- 2.3 The Windsor Park project is currently under construction. Work is progressing well. The European Championship qualifier against the Faroe Islands was hosted at Windsor on 11th October with a safety certificate of circa 10,500.
- 2.4 Construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's decision to grant planning approval for the Casement Park project, with a decision expected in November.
- 2.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

3.0 Spend Profile

- 3.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 3.2 The initial spend target for 2014/15 was £85.1million.
- 3.3 A reduced capital requirement of £35.3million was declared in June monitoring due to the delay to the programme brought about by the Crusaders Judicial Review/State Aid Notification and the Judicial Review against the DOE's approval of the planning application for Casement Park.
- 3.4 As a result of the Judicial Review brought by MORA having not yet reached conclusion and the discovery of asbestos being discovered in the South Stand at Windsor Park a further reduced requirement of £21.5million has been declared in October monitoring.
- 3.5 The new spend profile for 2014/15 is therefore £28.2million, as detailed below:

	2014/15
IFA – Windsor Park	£17,252,702
UCGAA – Casement Park	£ 7,939,366
UBIRFU – Kingspan Stadium	£ 3,056,990
TOTAL	£28,249,058

- 3.6 The remaining spend of £7.9million on the Casement Park project assumes a successful outcome to the Judicial Review in November 2014.
- 3.7 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise impact of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

4.0 Social Clauses

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects have been a high priority for the Department.
- 3.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This kick-started a series of other events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor, and events to promote opportunities for sub-contractors and suppliers.

- 4.3 The Stadium team are carrying out an evaluation of the Ravenhill project in relation to delivery of the social clause requirements. This evaluation will address 'lessons learnt' from Ravenhill and will help inform the approach to delivery of social clause requirements at Windsor and Casement.
- 4.4 The Stadium team will be procuring a contract for service in the coming weeks to provide support to the Governing Bodies and contractors in relation to implementation of the social clause requirements. This resource will help ensure that 'work ready' LTU's and apprentices are available to contractors and will promote sustainability of the posts.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Target met.
Complete Construction of Spectator Facilities	01.09.14	On target	Target met.
Complete Construction of work around education and heritage facilities	28.02.15	On target	On target for completion within CSR.

- 5.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.
- 5.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 5.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 5.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 5.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 5.1.6 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

5.1.7 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.

5.1.8 Operational Plan for the venue to be submitted to the Department for review.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

5.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.

5.2.2 Design development by the contractor is complete and the release of the Construction Notice by the IFA was made on 2 May 2014. Construction works commenced on site on 6 May 2014 after the Irish Cup Final.

5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. The IFA Board has

now implemented all of these recommendations. This has allowed DCAL to be assured that appropriate governance has been maintained and meet the needs of DCAL.

- 5.2.4 O'Hare and McGovern have finalised their Employment Plan and this has been agreed by all parties.
- 5.2.5 The Department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The Department is likely to issue the Funding Agreement to Belfast City Council for the Olympia development before the end of October 2014, which will allow the Windsor and Olympia programmes to remain on track.
- 4.2.6 Some asbestos has been found in the demolition of the South Stand. This is being handled by specialist contractors with full oversight by statutory agencies. As a result an easement of £5.5m has been declared through October monitoring. This will create a corresponding pressure in 2015/16.
- 5.2.7 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

- 5.2.8 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR decision expected in November 2014 which will allow new programme timeline to be developed.
Complete Construction	28.02.16	Delayed	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 JR hearing against planning approval started on 9th September and completed on 13th October and is currently in the ruling period. A decision is expected in November 2014.
- 5.3.3 Pre-construction services have been completed by the contractor. The Construction Notice will be held until the outcome of the JR is known in November 2014. If a start for construction is achieved in November/December 2014, planned completion of construction would be September 2016.

- 5.3.4 As pre-construction services are now complete, the ICT are currently reviewing the NEC3 contract to establish the indexation applicable against the tender price. It is likely that the increase in cost arising from indexation is approximately £2.7m. This will obviously put significant pressure on the GAA budget but it is anticipated that the project is still affordable if the JR issue is resolved pre Christmas. If the JR issue is not resolved before Christmas, the affordability of the project would be in doubt.
- 5.3.5 UCGAA and the Social Club Committee have reached agreement around the re-location of the Social Club to temporary premises for two years and the subsequent move of the social club back into the new Casement Park Stadium. Further work is now required around securing planning approval, building control and the necessary construction and fit-out of the temporary social club facilities.
- 5.3.6 The Department has already eased £51.3m for 2014/15 (through June & October monitoring) to reflect the delay to the Casement project brought about by the JR. This will create a corresponding pressure across 2015/16 and 2016/17. Any potential further easement can only be quantified after the JR ruling which is expected in November.
- 5.3.7 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 5.3.8 GAA need to ensure that any outstanding issues preventing release of the construction notice are resolved in the coming weeks to allow the construction notice to be issued pending a favourable outcome to the JR.
- 5.3.9 GAA need to ensure that all 'conditions precedent' are signed off and the 'Deed of Amendment' agreed with the Department before the construction notice is issued.
- 5.3.10 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.
- 5.3.11 GAA to present a revised project budget to the Department to reflect all known cost factors.

6.0 Recommendation

- 6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

RORY MISKELLY

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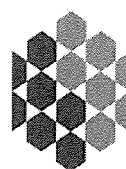
cc
Cynthia Smith
C McGurk
Stadium Team

DC1 14 82972 DB 127-14 - Stadiums update - DB 16 December

From: Rory Miskelly

Date: 9 December 2014

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development.
- Timescale:** For consideration at 16th December 2014 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

ISSUE

1.0 Background

- 1.1 Regular updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme continues to make good progress.
- 2.2 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 2.3 The Windsor Park project is currently under construction. Work is progressing well. The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.

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- 2.4 Construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's planning approval for the Casement Park project, with a decision expected before Christmas.
- 2.5 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 2.6 The Department is continuing to progress agreements with Belfast City Council around further leisure and community facilities adjacent to the stadia and has reached agreement with Belfast City Council on a 'Community Benefits Fund' to deliver programmes that will benefit communities within Belfast. The City Council have committed £100,000 a year to this fund for up to a 10 year period. Further contributions are expected from the Governing Bodies and other potential funders.
- 2.7 In addition, the construction notice for the Olympia Leisure Centre project has now been released. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.

3.0 SPEND PROFILE

- 3.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 3.2 As a result of the Judicial Review brought by MORA having not yet reached conclusion and the discovery of asbestos being discovered in the South Stand at Windsor Park an easement of £21.5million was declared in October monitoring.
- 3.3 The new spend profile for 2014/15 is therefore £28.2million, as detailed below:

	2014/15
IFA – Windsor Park	£17,252,702
UCGAA – Casement Park	£ 7,939,366
UBIRFU – Kingspan Stadium	£ 3,056,990
TOTAL	£28,249,058

- 3.4 The remaining spend of £7.9million on the Casement Park project assumes a successful outcome to the Judicial Review before Christmas.
- 3.5 Resolution of the JR will also allow the GAA's contractor to establish firm profiles for spend in 2015/16 and 2016/17.
- 3.6 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise outcome of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

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4.0 SOCIAL CLAUSES

- 4.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for LTU's and apprenticeships have been created across the programme.
- 4.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This kick-started a series of other events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Windsor, and events to promote opportunities for sub-contractors and suppliers.
- 4.3 Further events are planned in the coming weeks to support delivery of the LTU/apprenticeship opportunities at Casement Park.
- 4.4 The Stadium team are carrying out an evaluation of the Ravenhill project in relation to delivery of the social clause requirements. This evaluation will address 'lessons learnt' from Ravenhill and will help inform the approach to delivery of social clause requirements at Windsor and Casement.
- 4.5 The Stadium team will be procuring a contract for service in the coming weeks to provide support to the Governing Bodies and contractors in relation to implementation of the social clause requirements. This resource will help ensure that 'work ready' LTU's and apprentices are available to contractors and will promote sustainability of the posts by considering the potential to move LTU's and apprentice across projects.

5.0 PROJECT UPDATES**5.1 UBIRFU / RAVENHILL****Progress Against Programme Milestones (UBIRFU / RAVENHILL)**

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Target met.
Complete Construction of Spectator Facilities	01.09.14	On target	Target met.
Complete Construction of work around education and heritage facilities	28.02.15	On target	On target for completion within CSR.

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- 5.1.1 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 5.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 5.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 5.1.4 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 5.1.5 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

- 5.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.
- 5.1.7 Operational Plan for the venue to be submitted to the Department for review.

5.2 IFA/ WINDSOR PARK**Progress Against Programme Milestones (IFA/WINDSOR PARK)**

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.11.15	On target	

DC1 14 82972 DB 127-14 - Stadiums update - DB 16 December

			development can remain on programme with completion of the construction works planned for November 2015.
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- 5.2.1 The Windsor Park project is currently under construction. Work is progressing well. The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.
- 5.2.2 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. The IFA Board has now implemented all of these recommendations. This has allowed DCAL to be assured that appropriate governance has been maintained and meet the needs of DCAL.
- 5.2.4 O'Hare and McGovern have finalised their Employment Plan and this has been agreed by all parties.
- 5.2.5 The construction notice for the Olympia Leisure Centre project has now been released. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.
- 5.2.6 Some asbestos has been found in the demolition of the South Stand. This is being handled by specialist contractors with full oversight by statutory agencies. As a result an easement of £5.5m was declared through October monitoring. This will create a corresponding pressure in 2015/16.
- 5.2.7 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

Issues

- 5.2.8 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT**Progress Against Programme Milestones (UCGAA/CASEMENT PARK)**

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR decision expected in December 2014 which will allow new programme timeline to be developed.
Complete Construction	28.02.16	Delayed	

DC1 14 82972 DB 127-14 - Stadiums update - DB 16 December

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 JR hearing against planning approval started on 9th September and completed on 13th October and is currently in the ruling period. A decision is expected before Christmas.
- 5.3.3 Pre-construction services have been completed by the contractor. The Construction Notice will be held until the outcome of the JR is known in December 2014. If a start for construction is achieved in December 2014, planned completion of construction would be September 2016.
- 5.3.4 As pre-construction services are now complete, the ICT are currently reviewing the NEC3 contract to establish the indexation applicable against the tender price. It is likely that the increase in cost arising from indexation is approximately £2.7m. This will obviously put significant pressure on the GAA budget but it is anticipated that the project is still affordable if the JR issue is resolved pre Christmas. If the JR issue is not resolved before Christmas, the affordability of the project would be in doubt.
- 5.3.5 UCGAA and the Social Club Committee have reached agreement around the re-location of the Social Club to temporary premises for two years and the subsequent move of the social club back into the new Casement Park Stadium. Further work is now required around securing planning approval, building control and the necessary construction and fit-out of the temporary social club facilities.
- 5.3.6 The Department has already eased £51.3m for 2014/15 (through June & October monitoring) to reflect the delay to the Casement project brought about by the JR. This will create a corresponding pressure across 2015/16 and 2016/17. Any potential further easement can only be quantified after the JR ruling which is expected in December.
- 5.3.7 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 5.3.8 GAA need to ensure that any outstanding issues preventing release of the construction notice are resolved in the coming weeks to allow the construction notice to be issued pending a favourable outcome to the JR.
- 5.3.9 GAA need to ensure that all 'conditions precedent' are signed off and the 'Deed of Amendment' agreed with the Department before the construction notice is issued.
- 5.3.10 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.
- 5.3.11 GAA to present a revised project budget to the Department to reflect all known cost factors.

6.0 Recommendation

6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

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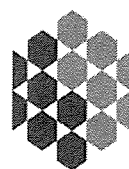
cc

Cynthia Smith

C McGurk

Stadium Team

From: Rory Miskelly
Date: 19 January 2015
To: DCAL Departmental Board



Department of
**Culture, Arts
 and Leisure**
www.dcalni.gov.uk

REGIONAL STADIUMS - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development.
- Timescale:** For consideration at 27th January 2015 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

ISSUE

1.0 Background

- 1.1 Regular updates are provided to the Departmental Board on delivery of the overall programme and each of the individual projects. This is linked to the Departmental Risk Register.
- 1.2 The Stadium Programme is a major objective for the Department on behalf of the Executive and a PfG commitment.
- 1.3 This update focuses on highlighting major developments in the Stadium Programme and any impact or potential impact on associated risks.

2.0 Programme and Project Progress

- 2.1 The programme continues to make good progress.
- 2.2 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 2.3 The Windsor Park project is currently under construction. Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014. Demolition of the South Stand is now complete and construction of new stand has commenced. Construction of the East Stand commenced in September 2014. Work is progressing well.

- 2.4 Construction work at Casement Park is currently delayed. On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project. There is strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 2.5 The redevelopment of Casement Park is an Executive Programme for Government pledge and therefore remains a key priority. The funding cannot be used by the Department for other capital projects. DCAL remain committed to the re-development of Casement Park and we will work with all parties to facilitate this becoming a reality.
- 2.6 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 2.7 The construction notice for the Olympia Leisure Centre project has now been secured and this project will be launched in partnership with Belfast City Council later this month. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the West stand at Windsor Park.
- 2.8 Discussions arising from the Olympia Leisure Centre project have facilitated the development of a partnership between Belfast City Council and the three Governing Bodies of GAA, Soccer and Rugby to create a 'Community Benefits Fund' post construction that will deliver extensive programmes of sport, physical activity, mental health initiatives and employment & learning opportunities for a range of groups across Belfast including those facing social exclusion and those experiencing long-term unemployment. Belfast City Council has committed one hundred thousand pounds (£100k) a year to this fund for up to a ten year period. Further contributions are expected from the Governing Bodies and other potential funders.

3.0 SPEND PROFILE

- 3.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 3.2 As a result of the outcome of Judicial Review, which resulted in the quashing of the planning approval on the Casement Park project, an easement of £6.25million has been declared through January monitoring for 2014/15.
- 3.3 The new spend profile for 2014/15 is therefore circa £21.9 million, as detailed below:

	2014/15
IFA – Windsor Park	£17,252,702
UCGAA – Casement Park	£ 1,689,366
UBIRFU – Kingspan Stadium	£ 3,056,990
TOTAL	£21,999,058

- 3.4 In addition, the 2015/16 budget requirement has been reduced. The Executive had allocated £46.0 million for 2015/16. As recent events have changed the plans for Casement Park, DCAL's 2015/16 requirement for the Stadium Programme has reduced to £18.87million.

- 3.5 The impact of this is that it will create a corresponding pressure across the remainder of the programme.
- 3.6 Officials have and continue to liaise with DFP with regards to spend profile allocations.

4.0 SOCIAL CLAUSES

- 4.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for Long Term Unemployed, Apprentices, and Student Placements have been created across the programme.
- 4.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This signalled the beginning of a series of events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships across the stadium programme, and events to promote opportunities for sub-contractors and suppliers.
- 4.3 Further events are planned in the coming weeks to support awareness and delivery of opportunities within the Windsor Park and Olympia Leisure Centre developments.
- 4.4 The Stadia team has evaluated current progress of the Ravenhill project in relation to delivery of the social clause requirements. Project completion within 2015 will enable final evaluation and conclusions. Lessons learnt through this evaluation, formed recommendations that have been layered throughout the Stadia Programme's approach to social clause delivery, informing the approach taken within the Windsor and Casement projects.
- 4.5 The Stadia team will procure a contract in the coming weeks for a service to support the Governing Bodies and contractors in implementation of social clause requirements. This resource is widely considered by stakeholders to be the key missing component to social clause delivery within Belfast and the North. By implementing this service, and demonstrating its need, DCAL will continue to lead in the development of social clause delivery. This service will help ensure that 'work ready' LTU's and apprentices are available to contractors when needed, and will promote sustainability of posts by enabling a natural mobilisation across capital projects.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
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Complete Construction of Spectator Facilities	01.09.14	On target	Target met.
Complete Construction of work around education and heritage facilities	28.02.15	On target	On target for completion within CSR.

- 5.1.1 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 5.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 5.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 5.1.4 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 5.1.5 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

- 5.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.
- 5.1.7 Operational Plan for the venue to be submitted to the Department for review.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
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Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.11.15	On target	

- 5.2.1 The Windsor Park project is currently under construction and work is progressing well.
- 5.2.2 The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.
- 5.2.3 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.4 Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014.
- 5.2.5 Demolition of the South Stand is now complete and construction of new stand has commenced.
- 5.2.6 Construction of the East Stand commenced in September 2014 and is progressing well.
- 5.2.7 The construction notice for the Olympia Leisure Centre project has now been secured. This project is an exciting partnership between the Department and Belfast City Council

which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.

- 5.2.8 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

Issues

- 5.2.10 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR decision expected in December 2014 which will allow new programme timeline to be developed.
Complete Construction	28.02.16	Delayed	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 Planning permission for a 38,000 all-seater stadium at Casement Park was granted by the Department of Environment in January 2014.
- 5.3.3 A local residents group, Mooreland and Owenvarragh Residents' Association, (MORA) applied for a Judicial review into the decision and this was granted by Mr Justice Treacy.
- 5.3.4 The case was heard over 13 days between 9 September and 13 October 2014.
- 5.3.5 On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.
- 5.3.6 There is a strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 5.3.7 Any new planning application will take account of the learning points raised in the judgment.
- 5.3.8 As a result of the quashing of the planning approval on the Casement Park project an easement of £6.25 million has now been declared through January monitoring for 2014/15.
- 5.3.9 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 5.3.10 GAA to develop and complete a robust Action Plan which will include sourcing and procurement of any further required specialist expertise, cost implications and timelines.
- 5.3.11 GAA need to fully assess the technical implications of Judge Horners ruling and ensure any new planning application takes account of the learning points raised.
- 5.3.12 Emergency evacuation plan to be further developed to meet GAA's need for new capacity stadium.
- 5.3.13 GAA to present a revised project budget to the Department to reflect the proposed changes to the project timeline.

6.0 Recommendation

- 6.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

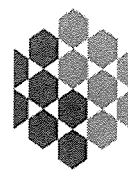
RORY MISKELLY**EXT: 028 9051 5163****E-MAIL: rory.miskelly@dcalni.gov.uk**

cc Cynthia Smith
Angela Fitzpatrick
Stadium Team

From: Rory Miskelly

Date: 16 February 2015

To: DCAL Departmental Board



Department of

**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional Stadium Development.
- Timescale:** For consideration at 24th February 2015 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional Stadium Development Programme.
- Summary:** The following provides an update on the Stadium Programme as a whole and outlines the position on the specific projects.

ISSUE

1.0 Programme and Project Progress

- 1.1 The programme continues to make good progress.
- 1.2 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 1.3 The Windsor Park project is currently under construction. Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014. Demolition of the South Stand is now complete and construction of new stand has commenced. Construction of the East Stand commenced in September 2014. Work is progressing well.
- 1.4 Construction work at Casement Park is currently delayed. On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project. There is strong resolve within the Department and Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 1.5 The redevelopment of Casement Park is an Executive Programme for Government pledge and therefore remains a key priority. The funding cannot be used by the Department for other capital projects. DCAL remain committed to the re-development of Casement Park and we will work with all parties to facilitate this becoming a reality.

- 1.6 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 1.7 The construction notice for the Olympia Leisure Centre project has now been secured and this project was launched in partnership with Belfast City Council and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the West stand at Windsor Park.
- 1.8 Discussions arising from the Olympia Leisure Centre project have facilitated the development of a partnership between Belfast City Council and the three Governing Bodies of GAA, Soccer and Rugby to create a 'Community Benefits Fund' post construction that will deliver extensive programmes of sport, physical activity, mental health initiatives and employment & learning opportunities for a range of groups across Belfast including those facing social exclusion and those experiencing long-term unemployment. Belfast City Council has committed one hundred thousand pounds (£100k) a year to this fund for up to a ten year period. Further contributions are expected from the Governing Bodies and other potential funders.

2.0 SPEND PROFILE

- 2.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 2.2 As a result of the outcome of Judicial Review, which resulted in the quashing of the planning approval on the Casement Park project, an easement of £6.25million has been declared through January monitoring for 2014/15.
- 2.3 The new spend profile for 2014/15 is therefore circa £21.9 million, as detailed below:

	2014/15
IFA – Windsor Park	£17,252,702
UCGAA – Casement Park	£ 1,689,366
UBIRFU – Kingspan Stadium	£ 3,056,990
TOTAL	£21,999,058

- 2.4 In addition, the 2015/16 budget requirement has been reduced. The Executive had allocated £46.0 million for 2015/16. As recent events have changed the plans for Casement Park, DCAL's 2015/16 requirement for the Stadium Programme has reduced to £18.87million.
- 2.5 The impact of this is that it will create a corresponding pressure across the remainder of the programme.
- 2.6 Officials have and continue to liaise with DFP with regards to spend profile allocations.

3.0 SOCIAL CLAUSES

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for Long Term Unemployed, Apprentices, and Student Placements have been created across the programme.
- 3.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This signalled the beginning of a series of events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships across the stadium programme, and events to promote opportunities for sub-contractors and suppliers.
- 3.3 The Stadia team has evaluated current progress of the Ravenhill project in relation to delivery of the social clause requirements. Project completion within 2015 will enable final evaluation and conclusions. Lessons learnt through this evaluation formed recommendations that have been layered throughout the Stadia Programme's approach to social clause delivery, informing the approach taken within the Windsor and Casement projects.
- 3.4 The Stadia team will procure a contract in the coming weeks for a service to support the Governing Bodies and contractors in the implementation of social clause requirements. This resource is widely considered by stakeholders to be the key missing component to social clause delivery within Belfast and the North. By implementing this service, and demonstrating its need, DCAL will continue to lead in the development of social clause delivery. This service will help ensure that 'work ready' LTU's and apprentices are available to contractors when needed, and will promote sustainability of posts by enabling a natural mobilisation across capital projects.

4.0 PROJECT UPDATES

4.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	Completed	Target met.
Complete Construction of Spectator Facilities	01.09.14	Completed	Target met.
Complete Construction of work around education and heritage facilities	31.03.15	On target	On target for completion within CSR.

- 4.1.1 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by early 2015.
- 4.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 4.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 4.1.4 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 4.1.5 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

- 4.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.
- 4.1.7 Operational Plan for the venue to be submitted to the Department for review.

4.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	

Complete Construction	30.11.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.
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- 4.2.1 The Windsor Park project is currently under construction and work is progressing well.
- 4.2.2 The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.
- 4.2.3 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 4.2.4 Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014.
- 4.2.5 Demolition of the South Stand is now complete and construction of new stand has commenced.
- 4.2.6 Construction of the East Stand commenced in September 2014 and is progressing well.
- 4.2.7 The construction notice for the Olympia Leisure Centre project has now been secured and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.
- 4.2.8 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

Issues

- 4.2.9 Budgets need to be monitored on a monthly basis going forward.

4.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	On 18 th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project, resulting in a delay to the construction works. There is strong resolve within the UCGAA to submit a new planning application in 2015.
Complete Construction	28.02.16	Delayed	

- 4.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 4.3.2 Planning permission for a 38,000 all-seater stadium at Casement Park was granted by the Department of Environment in January 2014.
- 4.3.3 A local residents group, Mooreland and Owenvarragh Residents' Association, (MORA) applied for a Judicial review into the decision and this was granted by Mr Justice Treacy.
- 4.3.4 The case was heard over 13 days between 9 September and 13 October 2014.
- 4.3.5 On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.
- 4.3.6 There is a strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 4.3.7 Any new planning application will take account of the learning points raised in the judgment.
- 4.3.8 As a result of the quashing of the planning approval on the Casement Park project an easement of £6.25 million has now been declared through January monitoring for 2014/15.
- 4.3.9 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 4.3.10 UCGAA to develop and complete a robust Action Plan which will include sourcing and procurement of any further required specialist expertise, cost implications and timelines.
- 4.3.11 UCGAA need to fully assess the technical implications of Judge Horner's ruling and ensure any new planning application takes account of the learning points raised.
- 4.3.12 Emergency evacuation plan to be further developed to meet GAA's need for new capacity stadium.
- 4.3.13 GAA to present a revised project budget to the Department to reflect the proposed changes to the project timeline.

5.0 Recommendation

- 5.1 That the DCAL Departmental Board notes the progress on the Regional Stadium Programme.

RORY MISKELLY

EXT: 028 9051 5163

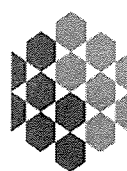
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cc Cynthia Smith
Angela Fitzpatrick
Stadium Team

From: Rory Miskelly

Date: 13 March 2015

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS AND SUB REGIONAL STADIA PROGRAMME - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional and Sub Regional Stadia Programmes.
- Timescale:** For consideration at 24th March 2015 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional and Sub Regional Stadium Programmes.
- Summary:** The following provides an update on the Regional and Sub Regional Stadia Programmes/Projects.

ISSUE

1.0 REGIONAL STADIUM PROGRAMME AND PROJECT PROGRESS

- 1.1 The programme continues to make good progress.
- 1.2 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by March 2015.
- 1.3 The Windsor Park project is currently under construction. Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014. Demolition of the South Stand is now complete and construction of new stand has commenced. Construction of the East Stand commenced in September 2014. Work is progressing well.
- 1.4 Construction work at Casement Park is currently delayed. On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project. There is strong resolve within the Department and Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 1.5 The redevelopment of Casement Park is an Executive Programme for Government pledge and therefore remains a key priority. The funding cannot be used by the Department for other capital projects. DCAL remain committed to the re-development of Casement Park and will work with all parties to facilitate this becoming a reality.

- 1.6 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 1.7 The construction notice for the Olympia Leisure Centre project has now been secured and this project was launched in partnership with Belfast City Council and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the West stand at Windsor Park.
- 1.8 Discussions arising from the Olympia Leisure Centre project have facilitated the development of a partnership between Belfast City Council and the three Governing Bodies of GAA, Soccer and Rugby to create a 'Community Benefits Fund' post construction that will deliver extensive programmes of sport, physical activity, mental health initiatives and employment & learning opportunities for a range of groups across Belfast including those facing social exclusion and those experiencing long-term unemployment. Belfast City Council has committed one hundred thousand pounds (£100k) a year to this fund for up to a ten year period. Further contributions are expected from the Governing Bodies and other potential funders.

2.0 PROJECT UPDATES

2.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
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Complete Construction of Spectator Facilities	01.09.14	Completed	Target met.
Complete Construction of work around education and heritage facilities	31.03.15	On target	On target for completion within CSR.

- 2.1.1 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by March 2015.
- 2.1.2 The official opening of the Stadium took place on 2 May 2014.

- 2.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 2.1.4 Ulster Rugby Kingspan Stadium has been selected to host the 2015 final of the Guinness PRO12 competition.
- 2.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.

Issues

- 2.1.6 Operational Plan for the venue to be submitted to the Department for review.

2.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
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Refurbishment of the North Stand	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	20.07.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.11.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

- 2.2.1 The Windsor Park project is currently under construction and work is progressing well.

- 2.2.2 The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.
- 2.2.3 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 2.2.4 Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014.
- 2.2.5 Demolition of the South Stand is now complete and construction of new stand has commenced.
- 2.2.6 Construction of the East Stand commenced in September 2014 and is progressing well.
- 2.2.7 The construction notice for the Olympia Leisure Centre project has now been secured and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.
- 2.2.8 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

Issues

- 2.2.9 Budgets need to be monitored on a monthly basis going forward.
- 2.2.10 IFA and Windsor Park Steering Group to liaise with OHMG to ensure achievement of targets relating to employment of LTU's before completion of stadium in November 2015.

2.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	On 18 th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project, resulting in a delay to the construction works. There is strong resolve within the UCGAA to submit a new planning application in 2015.
Complete Construction	28.02.16	Delayed	

- 2.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.

- 2.3.2 Planning permission for a 38,000 all-seater stadium at Casement Park was granted by the Department of Environment in January 2014.
- 2.3.3 A local residents group, Mooreland and Owenvarragh Residents' Association, (MORA) applied for a Judicial review into the decision and this was granted by Mr Justice Treacy.
- 2.3.4 The case was heard over 13 days between 9 September and 13 October 2014.
- 2.3.5 On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.
- 2.3.6 There is a strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 2.3.7 Any new planning application will take account of the learning points raised in the judgment.
- 2.3.8 As a result of the quashing of the planning approval on the Casement Park project an easement of £6.25 million has now been declared through January monitoring for 2014/15.
- 2.3.9 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 2.3.10 UCGAA working on developing a robust Action Plan which includes the sourcing and procurement of any specialist expertise, cost implications and timelines.
- 2.3.11 UCGAA need to fully assess the technical implications of Judge Horner's ruling and ensure any new planning application takes account of the learning points raised.
- 2.3.12 Emergency evacuation plan to be further developed to meet GAA's need for new capacity stadium.
- 2.3.13 GAA to present a revised project budget/plan to the Department to reflect the proposed changes to the project timeline.

3.0 SOCIAL CLAUSES

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for Long Term Unemployed, Apprentices, and Student Placements have been created across the programme.
- 3.2 The Stadia team has evaluated current progress of the Ravenhill project in relation to delivery of the social clause requirements. Project completion by March 2015 will enable final evaluation and conclusions. Lessons learnt through this evaluation formed recommendations that have been layered throughout the Stadia Programme's approach to social clause delivery, informing the approach taken within the Windsor and Casement projects.

3.3 Social Clause Delivery, Project Progress:

3.3.1 Ravenhill – An additional 5 LTU workers have been employed on-site for the final months of the project. This means that all social clause targets have now been met in full. Final target achievement will be reported in full upon completion, with many of the categories having already doubled or tripled their targets.

3.3.2 Windsor Park – Social clause delivery remains on target for all aspects except for LTU employment. Delivery remains a contractual obligation, and the project steering group has expressed concern both informally on several occasions and now formally through a letter to the contractor. The Stadium Team is working regularly with the contractor to aid delivery, and measures have been taken to provide support throughout the delivery process.

Improvements have however been seen in recent months and the situation will be monitored closely.

3.3.3 Casement – Social clause delivery will await project commencement of construction.

3.4 Under Ministerial Direction, the Stadia team is in the process of procuring a contract for a service to support the Governing Bodies and contractors in the implementation of social clause requirements. The tender submission deadline falls within the first week of April.

3.5 This resource is widely considered by stakeholders to be the key missing component to social clause delivery. By implementing this service, and demonstrating its need, DCAL will continue to lead in the development of social clause delivery. This service will help ensure that 'work ready' LTU's and apprentices are available to contractors when needed, and will promote sustainability of posts by enabling a natural mobilisation across capital projects.

4.0 SUB REGIONAL STADIA PROGRAMME

4.1 As set out in the March 2011 paper endorsed by the Executive, investment in sub-regional stadia 'represents an important step forward in rectifying the long-standing deficit in stadium provision in Northern Ireland.

4.2 The Executive has endorsed £36m for the development for football as a priority in the next CSR.

4.3 A Strategic Outline Case has been developed and is currently with DFP for approval. The next step is to develop an Outline Business Case for the Sub Regional Stadia which the Executive has allocated specific funding to take forward in 2015/16.

4.4 The Programme is currently being developed with delivery planned to commence in April 2016 and run to March 2018.

4.5 The forthcoming process for allocation of funding will be a fair, open and transparent process with an evidenced based approach to demonstrating need of investment.

5.0 SPEND PROFILE

- 5.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 5.2 The spend profile for 2014/15 is therefore circa £21.6 million.
- 5.3 The spend profile for 2015/16 is £13.3m. £11.3 million is required to complete Windsor Park project and £2m to progress Casement Park and ancillary projects. No further funding is required at Kingspan Stadium as it will be completed. Anticipated spend on the Casement Park project beyond 2015/16 is currently under review and will be linked to the new project schedule which is currently being developed.
- 5.4 As outlined above work has progressed with the Sub Regional Programme with £0.6m being secured by the Department to develop the Programme in 2015/16.
- 5.5 Officials have and continue to liaise with DFP with regards to spend profile allocations.

6.0 RECOMMENDATION

- 6.1 That the DCAL Departmental Board notes the progress on the Regional and Sub Regional Stadium Programmes.

RORY MISKELLY

EXT: 028 9051 5163

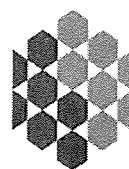
E-MAIL: rory.miskelly@dcalni.gov.uk

cc Cynthia Smith
Angela Fitzpatrick
Stadium Team

From: Rory Miskelly

Date: 16 April 2015

To: DCAL Departmental Board



Department of
**Culture, Arts
and Leisure**

www.dcalni.gov.uk

REGIONAL STADIUMS AND SUB REGIONAL STADIA PROGRAMME - UPDATE

SUMMARY

- Issue:** Developments around the delivery of the Regional and Sub Regional Stadia Programmes.
- Timescale:** For consideration at 28th April 2015 Departmental Board meeting.
- Presentational Issues:** Stadium issues have the potential to generate media interest.
- Recommendation:** That the DCAL Departmental Board notes the progress on the Regional and Sub Regional Stadium Programmes.
- Summary:** The following provides an update on the Regional and Sub Regional Stadia Programmes/Projects.

ISSUE

1.0 REGIONAL STADIUM PROGRAMME AND PROJECT PROGRESS

- 1.1 The programme continues to make good progress.
- 1.2 The Ulster Rugby Kingspan Stadium & education centre and community facilities are now complete.
- 1.3 The Windsor Park project is currently under construction. Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014. Demolition of the South Stand is now complete and construction of new stand has commenced. Construction of the East Stand commenced in September 2014. Work is progressing well.
- 1.4 On Tuesday 31st March 2015, the Department was notified by the IFA that there was a structural problem with the existing West Stand
- 1.5 The Department are awaiting the IFA's structural engineers' report to determine the nature and impact of the problem. In the meantime, the Stadium team are in close liaison with the IFA on the matter. Until this report is received it is too early to speculate on possible causes
- 1.6 Construction work at Casement Park is currently delayed. On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.

There is strong resolve within the Department and Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.

- 1.7 Since the ruling the UCGAA, the relevant team members have studied the judgement in order that the new planning application will fully address and take into account the points raised in the judgement.
- 1.8 There have been recent media reports regarding the Safety Technical Groups concerns around Casement Park.
- 1.9 The STG's concerns relate to the unique design challenges of the stadium on the Casement site, in particular the emergency exiting arrangements for a capacity of 38,000.
- 1.10 The Safety Technical Group (STG) continue to be a key stakeholder and this ongoing design development post the JR decision will be subject to further review and input by the Safety Technical Group. Their continued input will inform the ongoing health and safety design process and event management plan to ensure all the issues raised are addressed prior to the issue of the General Safety Certificate by Belfast City Council. Safety considerations are equally concerned with both the physical design and future operational event management.
- 1.11 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 1.12 The construction notice for the Olympia Leisure Centre project has now been secured and this project was launched in partnership with Belfast City Council and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the West stand at Windsor Park.
- 1.13 Discussions arising from the Olympia Leisure Centre project have facilitated the development of a partnership between Belfast City Council and the three Governing Bodies of GAA, Soccer and Rugby to create a 'Community Benefits Fund' post construction that will deliver extensive programmes of sport, physical activity, mental health initiatives and employment & learning opportunities for a range of groups across Belfast including those facing social exclusion and those experiencing long-term unemployment. Belfast City Council has committed one hundred thousand pounds (£100k) a year to this fund for up to a ten year period. Further contributions are expected from the Governing Bodies and other potential funders.

2.0 PROJECT UPDATES

2.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
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Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	Completed	Target met.
Complete Construction of Spectator Facilities	01.09.14	Completed	Target met.
Complete Construction of work around education and heritage facilities	31.03.15	Completed (31.03.15)	Target met.

- 2.1.1 The Ulster Rugby Kingspan Stadium and education & Heritage centre and community facilities are now complete.
- 2.1.2 The official opening of the Stadium took place on 2 May 2014.
- 2.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 2.1.4 Ulster Rugby Kingspan Stadium has been selected to host the 2015 final of the Guinness PRO12 competition.

2.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete
Construction of South Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	On target for completion by specified dates. Dates for Refurbishment of West Stand may be subject to change and will be dependent on Structural Engineers report on Stand.
Refurbishment of the North Stand	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	20.07.15	On target	
Completion of External Works	30.11.15	On target	
Complete Construction	30.11.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

- 2.2.1 The Windsor Park project is currently under construction and work is progressing well.
- 2.2.2 The European Championship qualifier against the Finland was hosted at Windsor Park on 29th March with a safety certificate of circa 10,500.
- 2.2.3 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 2.2.4 Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014.
- 2.2.5 Demolition of the South Stand is now complete and construction of new stand has commenced and is progressing well.
- 2.2.6 Construction of the East Stand commenced in September 2014 and is progressing well.

- 2.2.7 Prior to the Northern Ireland v Finland game on the 29th March 2015, a structural survey was carried out on the existing stand to ensure it was structurally sound and provided to Belfast City Council as part of the process for obtaining a Safety Certificate for the European Championship qualifier.
- 2.2.8 On Tuesday 31st March 2015, the Department was notified by the IFA that there was a structural problem with the existing stand.
- 2.2.9 The department are awaiting the IFA's structural engineers report to determine the nature and impact of the problem. In the meantime, the Stadium team are in close liaison with the IFA on the matter. Until this report is received it is too early to speculate on possible causes.
- 2.2.10 The construction notice for the Olympia Leisure Centre project has now been secured and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.
- 2.2.11 Excluding the west stand, the remainder of the project remains on track for completion in November 2015.
- 2.2.12 With regards to the timeline on the west stand, this is dependent on the forthcoming report.

Issues

- 2.2.13 Budgets need to be monitored on a monthly basis going forward.
- 2.2.14 Structural Engineers report on the West Stand to be shared with the department.
- 2.2.15 IFA and Windsor Park Steering Group to liaise with OHMG to ensure achievement of targets relating to employment of LTU's before completion of stadium in November 2015.

2.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	On 18 th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project, resulting in a delay to the construction works. There is strong resolve within the UCGAA to submit a new planning application in 2015.
Complete Construction	28.02.16	Delayed	

- 2.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 2.3.2 Planning permission for a 38,000 all-seater stadium at Casement Park was granted by the Department of Environment in January 2014.
- 2.3.3 A local residents group, Mooreland and Owenvarragh Residents' Association, (MORA) applied for a Judicial review into the decision and this was granted by Mr Justice Treacy.
- 2.3.4 The case was heard over 13 days between 9 September and 13 October 2014.
- 2.3.5 On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.
- 2.3.6 There is a strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 2.3.7 Any new planning application will take account of the learning points raised in the judgment.
- 2.3.8 As a result of the quashing of the planning approval on the Casement Park project an easement of £6.25 million has now been declared through January monitoring for 2014/15.
- 2.3.9 There have been recent media reports regarding Safety Technical Group concerns around Casement Park.
- 2.3.10 The STG concerns relate to the unique design challenges of the stadium on the Casement site, in particular the emergency exiting arrangements for a capacity of 38,000.
- 2.3.11 The Safety Technical Group continue to be a key stakeholder and this ongoing design development post the JR decision will be subject to further review and input by the Safety Technical Group. Their continued input will inform the ongoing health and safety design process and event management plan to ensure all the issues raised are addressed prior to the issue of the General safety Certificate by Belfast City Council. Safety

considerations are equally concerned with both the physical design and future operational event management.

Issues

- 2.3.11 UCGAA working on developing a robust Action Plan which includes the sourcing and procurement of any specialist expertise, cost implications and timelines.
- 2.3.12 UCGAA need to fully assess the technical implications of Judge Horner's ruling and ensure any new planning application takes account of the learning points raised.
- 2.3.13 Emergency evacuation plan to be further developed and agreed with STG to meet GAA's need for new capacity stadium.
- 2.3.14 GAA to present a revised project budget/plan to the Department to reflect the proposed changes to the project timeline.

3.0 SOCIAL CLAUSES

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for Long Term Unemployed, Apprentices, and Student Placements have been created across the programme.
- 3.2 The Stadia team has evaluated current progress of the Ravenhill project in relation to delivery of the social clause requirements. Project completion by March 2015 will enable final evaluation and conclusions. Lessons learnt through this evaluation formed recommendations that have been layered throughout the Stadia Programme's approach to social clause delivery, informing the approach taken within the Windsor and Casement projects.
- 3.3 Social Clause Delivery, Project Progress:
- 3.3.1 Ravenhill – An additional 5 LTU workers have been employed on-site for the final months of the project. This means that all social clause targets have now been met in full. Final target achievement will be reported in full upon completion, with many of the categories having already doubled or tripled their targets.
- 3.3.2 Windsor Park – Social clause delivery remains on target for all aspects except for LTU employment. Delivery remains a contractual obligation, and the project steering group has expressed concern both informally on several occasions and now formally through a letter to the contractor. The Stadium Team is working regularly with the contractor to aid delivery, and measures have been taken to provide support throughout the delivery process.
- Improvements have however been seen in recent months and the situation will be monitored closely.
- 3.3.3 Casement – Social clause delivery will await project commencement of construction.
- 3.4 Under Ministerial Direction, the Stadia team is in the process of procuring a contract for a service to support the Governing Bodies and contractors in the implementation of social clause requirements. Tenders are currently being assessed.
- 3.5 This resource is widely considered by stakeholders to be the key missing component to social clause delivery. By implementing this service, and demonstrating its need, DCAL will continue to lead in the development of social clause delivery. This service will help ensure that 'work ready' LTU's and apprentices are available to contractors when needed, and will promote sustainability of posts by enabling a natural mobilisation across capital projects.

4.0 SUB REGIONAL STADIA PROGRAMME

- 4.1 As set out in the March 2011 paper endorsed by the Executive, investment in sub-regional stadia 'represents an important step forward in rectifying the long-standing deficit in stadium provision in Northern Ireland.
- 4.2 The Executive has endorsed circa £36.0m for the development for football as a priority in the next CSR.
- 4.3 The Department received confirmation in January 2015 that a resource budget of £0.6m has been allocated by DFP which will allow us to progress in line with the programme timeline.
- 4.3 A Strategic Outline Case has been developed and is currently with DFP for approval.
- 4.4 Programme specific details in terms of eligibility criteria, funding strands, funding limits etc are currently being finalised. Plans for formal public consultation with key stakeholders are underway.
- 4.5 The timeline remains that 2015/16 will step through the various audits of need, competitions, Business Cases and that capital delivery will be undertaken in financial years 2016-2018.
- 4.6 The forthcoming process for allocation of funding will be a fair, open and transparent process with an evidenced based approach to demonstrating need of investment.
- 4.7 All projects will be assessed under 'challenge fund' principles with award recommendations being made based on eligibility and projects attaining a high assessment score. The Minister intends to approve all award decisions.

5.0 SPEND PROFILE

- 5.1 The spend profile for 2014/15 was circa £21.6 million. Full spend was achieved.
- 5.2 Total spend to date against the Stadium Programme as of 31 March 2015 is circa £42.0m. This leaves a balance of £86.0m across the programme.
- 5.3 The current spend profile for 2015/16 is circa £13.3m. With circa £11.3m anticipated to bring the Windsor Park project to completion. The Kingspan Stadium project has now been completed with no spend requirement for 2015/16. Anticipated spend on the Casement Park and ancillary projects during 2015/16 is circa £2m. Spend beyond 2015/16 is currently under review and will be linked to the new project schedule which is currently being developed.
- 5.4 As outlined above work has progressed with the Sub Regional Programme with £0.6m being secured by the Department to develop the Programme in 2015/16.
- 5.5 Officials have and continue to liaise with DFP with regards to spend profile allocations.

6.0 RECOMMENDATION

- 6.1 That the DCAL Departmental Board notes the progress on the Regional and Sub Regional Stadia Programmes.

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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (September Update)

Risk Register - Key to Terms Used

Risk:	uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
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Likelihood:	probability of occurrence
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Additional Actions:	enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors
3. Medium	£10,000's lost; or Localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or Failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or Attention from Assembly / PAC; or Death

RISK EVALUATION - LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

DCAL Departmental Risk Register

Date of completion

Sep-11

Date last reviewed by Board/Director:	Sept 11
Date of next review by Board/Director:	Oct 11
Date last reviewed by Audit Committee: (if applicable)	May-11

1. Strategic Objective - To ensure the effective oversight of relevant Arm's Length Bodies.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	1. Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department	M-H Red	M-H Red	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements.</p> <p>Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Two Independent Board Members in place.</p>	M Amber	M Amber	<p>DID has reviewed the sponsorship manual and a Working Group has been set up to provide further clarification of roles and responsibilities, and to review and update the Sponsorship Manual. (Deborah Brown - Nov 2011)</p> <p>Remaining ALB risk assessments to be completed (Gavin Patrick - Nov 2011)</p> <p>Embedding new governance procedures within ALBs. Changes to the N/S FM to be agreed with DAHAG to clarify DCAL Governance arrangements. (Arthur Scott - Dec 2011) - J Layberry to discuss with P Hoey.</p> <p>Fraud Training to continue to be rolled out to ALBs. Awareness session provided Sept 2011. (Gavin Patrick - March 2012)</p> <p>Review of Board TOR. (Gavin Patrick Sept 2011)</p>	M Amber	L-M Amber

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.	H (Red)	M (Red)	<ul style="list-style-type: none"> * DCAL has 'observer' status at OTC Board meetings. * DCAL receives OTC's Annual accounts. * Tripartite Agreement with NMNI / OTC / W5. Providing input into the W5 Strategic & Business Plans. * DENI / OTC 1998 Funding Agreement * Financial Assistance Agreement (original & new). * Supplementary Agreement (final draft). * Regular contact with OTC members. Three meeting held in last 5 months. * Regular contact with W5 SMT - (historically also subvention meetings were held). * W5 reports to NMNI Board - DCAL attends these. Chairman of W5 undertakes this reporting. * DCAL promotes the STEM agenda - which is of importance to W5. * GSU input into drawdown process. * Close involvement of DCAL Perm. Sec, Dep. Sec and Head of SMRD Division. <p>A steering group has been formed and will consider -</p> <ul style="list-style-type: none"> - the delivery vehicle for the science centre - the appropriate levels of assurance required by the Department from OTC. <p>Consultants appointed to review Science Centre provision and report. Report has issued</p>	M (Amber)	M (Amber)	<p>As the stakeholder meetings progress, and the outcomes become clearer, the Treated Risk value may fall.</p> <p>Liaise with W5 on outcomes of Locum report</p> <p>Review of current DCAL Governance/Accountability arrangements is complete. Future arrangements to be established.</p> <p>Develop new funding agreement with OTC and appropriate governance, oversight and accountability arrangements, subject to</p> <ul style="list-style-type: none"> * Ministerial agreement * Agreement with OTC Board 	L-M (Green)	L-M (Green)

Previous Risk Rating	H	M
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M	M
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L-M	L-M
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3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Inadequate oversight of the WPFG Company prevents the realisation of benefits from the World Police and Fire Games.	H (Red)	M-H (Red)	<p>Chair of Board appointed. Board established and 3 new members appointed including a DCAL rep. Company established & Memorandum of Association & Articles of Association agreed. Comments received from Company on MSFM Substantive CEO appointed on 21 June 2011 4 Interim Executive Staff appointed by the Company. Audit and Risk Management Committee established & Chair appointed - met 28 July 2011. Corporate Services Committee established & Chair appointed - met 28 July 2011. Draft Schedule of Delegation & other policies in preparation - received for comments. Governance Schedule drafted and completed. Introductory Accountability Meeting held with CEO and Board Member - 24 June 2011.</p> <p>Next Accountability Meeting scheduled for 4 August 2011. CEO met with Minister on 30 June 2011. Further meeting to take place involving Chair and CEO on 15 August 2011. DCAL engaging with DFP and DHSSPS regarding the External and Internal Audit function in the Company. Update provide to DCAL Board on 29 June 2011. Next update scheduled for 9 August 2011.</p>	M-H	M (Red)	<p>Permanent Executive staff to be employed. MSFM to be finalised. WPFG Operational Plan to be developed by the Interim Directors to include project programme & financial profiling. WPFG Operational Plan to be presented to Departmental Board in October 2011. Monthly Accountability meeting to take place. DCAL representatives to attend Quarterly ARMC meetings. Internal & External Auditors to be appointed. DCAL to appoint independent Board members to the ARMC. Sponsorship Risk Assessment to be reviewed in October following receipt of Operation Plan. Risk Rating to be reviewed at that stage.</p> <p>(Mick Cory - October 2011)</p>	M (Amber)	L-M (Amber)

Previous Risk Rating	H	M- H
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M- H	M
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M	L-M
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4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.	M-H (Red)	M-H (Red)	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis. NASCO Implementation Strategy.</p> <p>Phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Draft consultation document produced; considering revocation of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice sought on revocation. Counsel advice awaited</p>	M-L (Amber)	M (Amber)	<p>Ministerial approval required - briefing in September 2011.</p> <p>NASCO continued scrutiny of mixed stock fisheries.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further legal advice awaited on revocation of commercial licenses.</p> <p>Further steps to control recreational fisheries.</p> <p>Further meeting with Minister planned once legal advice on revocation of salmon net licences is considered.</p> <p>Legislation / Consultation required</p> <p>Introduce measures to ensure compliance with EU Directives and NASCO principles.</p>	M-L (Amber)	M (Amber)

Previous Risk Rating M- H M- H

M-L M

M-L M

5. Strategic Goal : Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets. 2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.	M-H (Red)	M-H (Red)	1. Adherence to Procurement Guidelines 2. Production of appropriate Business Cases in line with NIGEAE. 3. Internal Audit reviews. 4. Single Tender Action workshops (January 2011). 5. Quarterly in year monitoring process. 6. Monthly reporting of spend against budget internally. 7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements. 8. Discussion at accountability meetings. 9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy. 10. Project to increase forecasting accuracy. 11. PPEs carried out on projects. 12. Review of PPE process approved at May Board meeting.	M (Amber)	M (Amber)	1. Revised Procurement Guidance Note 02/10 on STAs issued August 2011 for endorsement by Procurement Board members and implementation from 5 September 2011. Following Permanent Secretary approval, guidance note will now be circulated. Departmental guidance on two points of application to be prepared and provided to ALBs. 2. Follow up on Internal Audit review. 3. Monitoring of ALB application of guidance. 4. Monthly identification of pressures and easements and early management of deminimis elements. 5. Engage with NDPBs on specific forecasting problems and share lessons learned through finance forum. 6. Implementation of new PPE process. New procedures launched in July 2011 along with series of awareness raising sessions. Further training planned for October 2011.	M (Amber)	L-M (Amber)

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H (Red)	H (Red)	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H (Red)	M (Red)	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning will be presented to SMT in October and will incorporate issues around industrial action and pandemics.	M-H (Green)	L (Green)
Previous Risk Rating		H	H		H	M		M-H (Green)	L (Green)

7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk	
		Imp	Like
Delivery of three regional stadiums within current CSR	Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale	MH	H

Previous Risk Rating		
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How risk is currently managed	Residual Risk	
	Imp	Like
Stadium Capital Programme Board reviewing operational and financial progress through regular meetings. Individual Project Boards established. Business Plans prepared and being considered. MoUs agreed defining key roles and responsibilities. Engagement with Planning Service and other stakeholders. Consideration of project-specific issues eg treatment of historic costs. CPD methodology and advice being applied to procurement. Gateway 0 Review underway and draft recommendations on programme structures being considered for implementation.	MH	M

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Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like
<p>Senior Responsible Officers for each project to update Programme Board on a regular basis. Programme Board to provide advice and feedback.</p> <p>Programme and Project Boards to maintain ongoing engagement with Planning Service.</p> <p>Governing Bodies to continue engagement with stakeholders Business Plan issues to be resolved including potential changes to GBs strategic requirements to be considered.(M. Cory end September)</p> <p>Gateway 0 review recommendations to be implemented with the assistance of SIB, including the revision of governance structures to create a Sponsor Board, redefine the Programme Board, appoint a programme director with experience of challenging construction programmes. produce Programme and Project schedules, revise and agree reporting mechanisms and produce a delivery strategy.(M Cory mid October).</p>	MH	LM

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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (October Update)

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5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

DCAL Departmental Risk Register

Date of completion

Oct-11

Date last reviewed by Board/Director:	20/9/11
Date of next review by Board/Director:	Oct 11
Date last reviewed by Audit Committee: (if applicable)	Sep-11

1. Strategic Objective - To ensure the effective oversight of relevant Arm's Length Bodies.

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Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	1. Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department	M-H Red	M-H Red	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements.</p> <p>Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Two Independent Board Members in place. Fraud awareness session provided Sept 2011.</p>	M Amber	M Amber	<p>DID has reviewed the sponsorship manual and a Working Group has been set up to provide further clarification of roles and responsibilities, and to review and update the Sponsorship Manual. A sponsor definition has been agreed and a document on proposed changes to the manual have been sent to SMT for consideration. It is anticipated this will be brought to the Dec Board.</p> <p>Remaining ALB risk assessments to be completed (Gavin Patrick - Nov 2011)</p> <p>Embedding new governance procedures within ALBs. Changes to the N/S FM to be agreed with DAHAG to clarify DCAL Governance arrangements. (Arthur Scott - Dec 2011) - J Layberry to discuss with P Hoey.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs. (Gavin Patrick - March 2012)</p> <p>Review of Board TOR - to be completed once Board has completed its self-assessment.</p>	M Amber	L-M Amber

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.	H (Red)	M (Red)	<ul style="list-style-type: none"> * DCAL has 'observer' status at OTC Board meetings. * DCAL receives OTC's Annual accounts. * Tripartite Agreement with NMNI / OTC / W5. Providing input into the W5 Strategic & Business Plans. * DENI / OTC 1998 Funding Agreement * Financial Assistance Agreement (original & new). * Supplementary Agreement (final draft). * Regular contact with OTC members. Three meeting held in last 5 months. * Regular contact with W5 SMT - (historically also subvention meetings were held). * W5 reports to NMNI Board - DCAL attends these. Chairman of W5 undertakes this reporting. * DCAL promotes the STEM agenda - which is of importance to W5. * GSU input into drawdown process. * Close involvement of DCAL Perm. Sec, Dep. Sec and Head of SMRD Division. <p>A steering group has been formed and produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL Governance/Accountability arrangements is completed, and future arrangements identified.</p>	M (Amber)	M (Amber)	<p>As the stakeholder meetings progress, and the outcomes become clearer, the Treated Risk value may fall.</p> <p>Liaise with NMNI, W5 and other stakeholders on the outcomes of Locum report</p> <p>Develop new funding agreement with OTC and appropriate governance, oversight and accountability arrangements, subject to</p> <ul style="list-style-type: none"> * Ministerial agreement * Agreement with OTC Board 	L-M (Green)	L-M (Green)

Previous Risk Rating	H	M
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M	M
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L-M	L-M
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3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Inadequate oversight of the WPFG Company prevents the realisation of benefits from the World Police and Fire Games.	H (Red)	M-H (Red)	<p>Company established & Memorandum of Association & Articles of Association agreed.</p> <p>Chair of Board appointed. Substantive CEO appointed on 21 June 2011</p> <p>Comments received from Company on MSFM Board established</p> <p>ARMC Committee established & Chair and independant members appointed. DCAL representatives attend.</p> <p>Corporate Services Committee established & Chair appointed - met 28 July 2011.</p> <p>Draft Schedule of Delegation & other policies in preparation - received for comments.</p> <p>Governance Schedule drafted and completed. Monthly accountability meetings being held with CEO and Board Member - 24 June 2011.</p> <p>Internal Audit service being tendered.</p>	M-H	M (Red)	<p>Permanent Executive staff to be employed.</p> <p>WPFG Operational Plan to be developed by the CEO to include project programme & financial profiling.</p> <p>WPFG Operational Plan to be presented to Departmental Board in October 2011.</p> <p>Internal & External Auditors to be appointed.</p> <p>Sponsorship Risk Assessment to be received following receipt of Operation Plan. Risk Rating to be reviewed at that stage.</p> <p>(Mick Cory - October 2011)</p>	M (Amber)	L-M (Amber)

Previous Risk Rating	H	M-H
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M-H	M
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M	L-M
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4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.	M-H (Red)	M-H (Red)	Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis. NASCO Implementation Strategy in place. Draft consultation document produced; considering revocation of commercial salmon licenses and steps to control recreational fishing. Legal advice sought on revocation. Counsel advice awaited.	M-L (Amber)	M (Amber)	Introduce measures to ensure compliance with EU Directives and NASCO principles. Phase out mixed stock salmon fisheries in line with NASCO obligations. Review salmon plan to ensure full compliance. Further legal advice awaited on revocation of commercial licenses. Further steps to control recreational fisheries. Ministerial approval required - Further meeting with Minister planned once legal advice on revocation of salmon net licences is considered. Legislation / Consultation required	M-L (Amber)	M (Amber)

Previous Risk Rating	M- H	M- H
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M-L	M
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M-L	M
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5. Strategic Goal : Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets. 2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.	M-H (Red)	M-H (Red)	1. Adherence to Procurement Guidelines 2. Production of appropriate Business Cases in line with NIGEAE. 3. Internal Audit reviews. 4. Single Tender Action workshops (January 2011). 5. Quarterly in year monitoring process. 6. Monthly reporting of spend against budget internally. 7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements. 8. Discussion at accountability meetings. 9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy. 10. Project to increase forecasting accuracy. 11. PPEs carried out on projects. 12. Review of PPE process approved at May Board meeting. 13. Monitoring of ALB application of guidance. 14. Monthly identification of pressures and easements and early management of deminimis elements. 15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions.	M (Amber)	M (Amber)	1. Revised Procurement Guidance Note 02/10 on STAs issued August 2011 for endorsement by Procurement Board members. Comments were made back on the need to address the issue of materiality. Await decisions on this before guidance can be finalised. Departmental guidance on two points of application to be prepared and provided to ALBs. 2. Follow up on Procurement Internal Audit review. 3. Engage with NDPBs on specific forecasting problems and share lessons learned through finance forum. 4. Further training on PPE planned for October 2011.	M (Amber)	L-M (Amber)

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H (Red)	H (Red)	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H (Red)	M (Red)	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed.	M-H (Green)	L (Green)
Previous Risk Rating		H	H		H	M		M-H (Green)	L (Green)

7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.	MH	H	<p>Stadium Capital Programme Board established - reviewing operational and financial progress through regular meetings. Project timelines being finalised; Risk Register established, key risks identified; Issues log monitored; Financial monitoring being established.</p> <p>Individual Project Boards established. Business Plans prepared and being considered.</p> <p>MoUs agreed defining key roles and responsibilities.</p> <p>Engagement with Planning Service and other key stakeholders.</p> <p>Consideration of project-specific issues eg treatment of historic costs.</p> <p>CPD methodology and advice being applied to procurement.</p> <p>Gateway 0 Review completed and recommendations to be implemented. Senior Responsible Officers for each project to update Programme Board on a regular basis. Programme Board to provide advice and feedback.</p>	MH	M	<p>Programme and Project Boards to maintain ongoing engagement with Planning Service. Governing Bodies to continue engagement with stakeholders</p> <p>Business Plan issues to be resolved.(M. Cory end September)</p> <p>Gateway 0 review recommendations to be implemented with the assistance of SIB, including the revision of governance structures to create a Sponsor Board, redefine the Programme Board, appoint a programme director with experience of challenging construction programmes. produce Programme and Project schedules, revise and agree reporting mechanisms and produce a delivery strategy.(M Cory mid October).</p>	MH	LM

Previous Risk Rating	MH	H
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	MH	M
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	MH	LM
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (November Update)

Risk Register - Key to Terms Used

Risk:	uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	events / issues that could cause the risk to materialise
Inherent Risk:	the exposure arising from a specific risk before any action has been taken to manage it
Impact:	the degree of consequence, for example, for performance or reputation
Likelihood:	probability of occurrence
Impact & Likelihood:	risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen
How risk is Managed:	measures or controls which are already in place to mitigate against risk
Residual Risk:	the level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors
3. Medium	£10,000's lost; or Localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or Failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or Attention from Assembly / PAC; or Death

RISK EVALUATION - LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

DCAL Departmental Risk Register

Date of completion

Nov-11

Date last reviewed by Board/Director:	18/10/11
Date of next review by Board/Director:	Nov 11
Date last reviewed by Audit Committee: (if applicable)	Sep-11

1. Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	1. Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department	M-H Red	M-H Red	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements.</p> <p>Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Two Independent Board Members in place. Fraud awareness session provided Sept 2011.</p>	M Amber	M Amber	<p>DID has reviewed the sponsorship manual and a Working Group has been set up to provide further clarification of roles and responsibilities, and to review and update the Sponsorship Manual. A sponsor definition has been agreed and a document on proposed changes to the manual have been sent to SMT for consideration. It is anticipated this will be brought to the Dec Board.</p> <p>Remaining ALB risk assessments to be completed (Gavin Patrick - Dec 2011)</p> <p>Embedding new governance procedures within ALBs. Changes to the N/S FM to be agreed with DAHAG to clarify DCAL Governance arrangements. (Arthur Scott - Dec 2011) - J Layberry discussing with DHAG, DOF, DFP and NSMC on Tues, 15th Nov.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs. (Gavin Patrick - March 2012)</p> <p>Review of Board TOR - to be completed once Board has completed its self-assessment.</p>	M Amber	L-M Amber

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.	H (Red)	M (Red)	<p>* DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>* Key control documents and agreements: DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft).</p> <p>* Regular meetings with OTC and W5 SMT;</p> <p>* W5 reports to NMNI Board - minutes reviewed by Branch</p> <p>* GSU manages drawdown process;</p> <p>A steering group has been formed and has produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL Governance/Accountability arrangements is completed, and future arrangements identified.</p> <p>Minister and DCAL Board agreed way forward. Preliminary discussion with NMNI Chair and CX held.</p>	M (Amber)	M (Amber)	<p>Liaise with NMNI, W5 and other stakeholders on the outcomes of Locum report</p> <p>Develop new funding agreement with OTC and appropriate governance, oversight and accountability arrangements,</p> <p>OTC DCAL meeting to agree implementation arrangements - planned 18 November 2011.</p> <p>As the stakeholder meetings progress, and the outcomes become clearer, the Treated Risk value may fall.</p>	L-M (Green)	L-M (Green)

Previous Risk Rating	H	M
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M	M
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L-M	L-M
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3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.	H (Red)	M-H (Red)	<p>New Chair of Board appointed w/e from 26 Sept. Minister to meet new Chair and CEO on 12 Oct.</p> <p>BCC appointed Councillor Adam Newton to replace Alderman William Humphreys on the Board.</p> <p>Company established & Memorandum of Association & Articles of Association agreed.</p> <p>Comments received from Company on MSFM Substantive CEO appointed on 21 June 2011</p> <p>4 Interim Executive Staff appointed by the Company. Audit and Risk Management Committee established & Chair appointed - met on 28 July & 5 Oct.</p> <p>Company appointed 2 independent Board members to the ARMC – Leanne McCullough & Paul Duffy. Corporate Services Committee established & Chair appointed - met 28 July 2011.</p> <p>Draft Schedule of Delegation & other policies agreed.</p> <p>Governance Schedule drafted and completed.</p> <p>Accountability Meetings held with CEO on 24 June, 4 August, 13 Sept & 11 Oct 2011.</p> <p>Next Accountability Meeting scheduled for 15 Nov.</p> <p>CEO met with Minister on 15 August 2011 prior to New York visit.</p> <p>Company taking forward procurement of Internal Auditors.</p> <p>DCAL to take forward appointment of External Auditors.</p>	M-H	M (Red)	<p>Programme & Resource Plans being developed by the Company.</p> <p>Permanent Executive staff to be employed. MSFM agreed by Company Board pending clarification on para 3.4.1.</p> <p>Update on WPFG 'Programme & Resource Plans' to be presented to DCAL Board on 18 Oct.</p> <p>Internal & External Auditors to be appointed.</p> <p>Sponsorship Risk Assessment to be reviewed following receipt of 'Programme & Resource Plans' which is due to be presented to the Company Board in November.</p> <p>Risk Rating to be reviewed at that stage.</p> <p>(Mick Cory – November 2011)</p>	M (Amber)	L-M (Amber)

Previous Risk Rating	H	M-H
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M-H	M
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M	L-M
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4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.	M-H (Red)	M-H (Red)	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis. NASCO Implementation Plan in place.</p> <p>Draft consultation document produced; considering revocation of commercial salmon licenses and steps to control recreational fishing.</p> <p>NASCO Implementation plan being implemented, further steps under active consideration, including public consultation.</p> <p>Legal advice received on revocation of licences.</p> <p>Preliminary briefing with Minister held</p>	M-L (Amber)	M (Amber)	<p>Introduce further measures to ensure compliance with EU Directives and NASCO principles.</p> <p>consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance</p> <p>Further steps to control recreational fisheries will be required - subject to consultation.</p> <p>Ministerial approval required - Further meeting with Minister planned once legal advice on revocation of salmon net licences has been considered. Legislation / Public Consultation required</p>	M-L (Amber)	M (Amber)

Previous Risk Rating	M- H	M- H
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M-L	M
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M-L	M
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5. Strategic Goal : Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets. 2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.	M-H (Red)	M-H (Red)	1. Adherence to Procurement Guidelines 2. Production of appropriate Business Cases in line with NIGEAE. 3. Internal Audit reviews. 4. Single Tender Action workshops (January 2011). 5. Quarterly in year monitoring process. 6. Monthly reporting of spend against budget internally. 7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements. 8. Discussion at accountability meetings. 9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy. 10. Project to increase forecasting accuracy. 11. PPEs carried out on projects. 12. Review of PPE process approved at May Board meeting. 13. Monitoring of ALB application of guidance. 14. Monthly identification of pressures and easements and early management of deminimis elements. 15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions. 16. PPE training is provided across Dept and ALBs.	M (Amber)	M (Amber)	1. Revised Procurement Guidance Note 02/10 on STAs issued August 2011 for endorsement by Procurement Board members. Comments were made back on the need to address the issue of materiality. Await decisions on this before guidance can be finalised. Departmental guidance on two points of application to be prepared and provided to ALBs. 2. Follow up on Procurement Internal Audit review. 3. Engage with NDPBs on specific forecasting problems and share lessons learned through finance forum.	M (Amber)	L-M (Amber)

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H (Red)	H (Red)	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H (Red)	M (Red)	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed.	M-H (Green)	L (Green)
Previous Risk Rating		H	H		H	M		M-H (Green)	L (Green)

7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.	MH	H	<p>Gateway 0 review recommendations agreed: to be implemented with the assistance of SIB, including the revision of governance structures to create a Sponsor Board, redefine the Programme Board, appoint a programme director with experience of challenging construction programmes, produce Programme and Project schedules, revise and agree reporting mechanisms and produce a delivery strategy.</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery responsibility;</p> <p>Sponsor Board being established</p> <p>Individual Project Boards established. Business Plans prepared and being considered.</p> <p>Project timelines (Gantt chart) demonstrate deliverability within CSR period, Sports governing bodies confirmed this to Minister (10/10/11).</p> <p>Consideration of project-specific issues eg treatment of Rugby historic costs.</p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p>	MH	M	<p>First Sponsor Board to be held;</p> <p>Key programme documentation to be provided by Sport NI SRO;</p> <p>Programme Director to be appointed;</p> <p>Programme and Project Boards to maintain ongoing engagement with Planning Service.</p> <p>Governing Bodies to continue engagement with stakeholders</p> <p>GAA Business Plan issues to be resolved.</p>	MH	LM

Previous Risk Rating	MH	H
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	MH	M
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	MH	LM
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (December Update)

Risk Register - Key to Terms Used

Risk:	uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	events / issues that could cause the risk to materialise
Inherent Risk:	the exposure arising from a specific risk before any action has been taken to manage it
Impact:	the degree of consequence, for example, for performance or reputation
Likelihood:	probability of occurrence
Impact & Likelihood:	risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen
How risk is Managed:	measures or controls which are already in place to mitigate against risk
Residual Risk:	the level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors
3. Medium	£10,000's lost; or Localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or Failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or Attention from Assembly / PAC; or Death

RISK EVALUATION - LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

DCAL Departmental Risk Register

Date of completion

Dec-11

Date last reviewed by Board/Director:	22/11/11
Date of next review by Board/Director:	Dec 11
Date last reviewed by Audit Committee: (if applicable)	Dec-11

1a Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.
Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	1. Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department	M-H Red	M-H Red	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements.</p> <p>Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Two Independent Board Members in place. Fraud awareness session provided Sept 2011.</p>	M Amber	M Amber	<p>DID has reviewed the sponsorship manual and a Working Group has been set up to provide further clarification of roles and responsibilities, and to review and update the Sponsorship Manual. A sponsor definition has been agreed and a document on proposed changes to the manual have been sent to SMT for consideration. This will be brought to the Dec Board.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan - Dec 2011)</p> <p>Embedding new governance procedures within ALBs. Changes to the N/S FM to be agreed with DAHAG to clarify DCAL Governance arrangements. (Arthur Scott - Dec 2011)</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs. (Sinead McCartan - March 2012)</p> <p>Review of Board TOR - to be completed once Board has completed its self-assessment.</p>	M Amber	L-M Amber

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.	H (Red)	M (Red)	<p>* DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>* Key control documents and agreements: DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft).</p> <p>* Regular meetings with OTC and W5 SMT;</p> <p>* W5 reports to NMNI Board - minutes reviewed by Branch</p> <p>* GSU manages drawdown process;</p> <p>A steering group has been formed and has produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL Governance/Accountability arrangements is completed, and future arrangements identified.</p> <p>Minister and DCAL Board agreed way forward. Preliminary discussion with NMNI Chair and CX held.</p> <p>OTC DCAL meeting to agree implementation arrangements - 18 November 2011.</p>	M (Amber)	M (Amber)	<p>Liaise with NMNI, W5 and other stakeholders on the outcomes of Locum report</p> <p>Develop new funding agreement with OTC and appropriate governance, oversight and accountability arrangements,</p> <p>Implementation expected by end of March 2012</p> <p>As the stakeholder meetings progress, and the outcomes become clearer, the Treated Risk value may fall.</p>	L-M (Green)	L-M (Green)

Previous Risk Rating	H	M
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M	M
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L-M	L-M
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3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.	H (Red)	M-H (Red)	<p>New Chair of Board appointed w/e from 26 Sept. All Director posts filled w/e from 10 November. Company established & Memorandum of Association & Articles of Association agreed. MSFM agreed subject to some minor amendments. Substantive CEO appointed on 21 June 2011 4 Interim Executive Staff appointed by the Company. Audit and Risk Management Committee established & Chair appointed. Meeting quarterly. Company appointed 2 independent Board members to the ARMC – Leanne McCullough & Paul Duffy. Policy and Procedures Committee established & Chair appointed. Meeting quarterly. Draft Schedule of Delegation & other policies agreed. Governance Schedule drafted and completed. Monthly Accountability Meetings held with CEO. Next Accountability Meeting scheduled for 13 Dec. KPMG appointed as Internal Auditors on 30/11/11. Company taking forward appointment of External Auditors from the Private Sector. Monthly DCAL Board updates.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFG Board on 10/11/11. 2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk Register based on assessment of the Programme Plan. DCAL Sponsorship Risk Assessment reviewed by Branch & GSU - risk rating reduced from High to Medium.</p>	M-H	M (Red)	<p>Programme Plan to be refined and used as monitoring tool from January 2012.</p> <p>Permanent Executive staff to be appointed.</p> <p>External Auditors to be appointed.</p> <p>Gateway process to be implements (3 in total during lifetime of the project)</p> <p>Business Case Addendum to be completed & Financial profiles agreed.</p> <p>(Mick Cory – “Residual Risk” rating to be reviewed when independent assurance in place, i.e. the first Gateway review complete and systems tested through Internal and External Audit)</p>	M-H (Amber)	L-M (Amber)

Previous Risk Rating	H	M-H
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M-H	M
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M	L-M
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4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.	M-H (Red)	M-H (Red)	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis. NASCO Implementation Plan in place.</p> <p>Draft consultation document produced; considering revocation of commercial salmon licenses and steps to control recreational fishing.</p> <p>NASCO Implementation plan being implemented, further steps under active consideration, including public consultation.</p> <p>Legal advice received on revocation of licences.</p> <p>Preliminary briefing with Minister held</p>	M-L (Amber)	M (Amber)	<p>Introduce further measures to ensure compliance with EU Directives and NASCO principles.</p> <p>Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance</p> <p>Further steps to control recreational fisheries will be required - subject to consultation.</p> <p>Ministerial approval required - Further meeting with Minister planned once legal advice on revocation of salmon net licences has been considered. Legislation / Public Consultation required</p> <p>Action plan to be developed and discussed by Board</p>	M-L (Amber)	M (Amber)

Previous Risk Rating	M-H	M-H
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M-L	M
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M-L	M
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5. Strategic Goal : Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets. 2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.	M-H (Red)	M-H (Red)	1. Adherence to Procurement Guidelines 2. Production of appropriate Business Cases in line with NIGEAE. 3. Internal Audit reviews. 4. Single Tender Action workshops were held in January 2011 and guidance on STAs (with examples) was subsequently issued to ALBs. 5. Quarterly in year monitoring process. 6. Monthly reporting of spend against budget internally. 7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements. 8. Discussion at accountability meetings. 9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy. 10. Project to increase forecasting accuracy. 11. PPEs carried out on projects. 12. Review of PPE process approved at May Board meeting. 13. Monitoring of ALB application of guidance. 14. Monthly identification of pressures and easements and early management of deminimis elements. 15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions. 16. PPE training is provided across Dept and ALBs. 17. Procurement Guidance Note (PGN) 02/10 on STAs has been superceded by PGN 03/11 "Awards of Contracts without a Competition" which was endorsed by the Procurement Board members on 24 November 2011. At the same meeting it was suggested that the the Board considers recommending to Accounting Officers that contracts valued at less than £500, which are awarded without a competition, would not be subject to procurement rules where value for money and probity standards are satisfied. If the Board is content with this recommendation it will be incorporated into a revision of the Procurement Control Limits due to commence shortly. Departmental guidance will be issued once a decision is taken by the Procurement Board.	M (Amber)	M (Amber)	1. Follow up on Procurement Internal Audit review. 2. Engage with NDPBs on specific forecasting problems and share lessons learned through finance forum.	M (Amber)	L-M (Amber)

Previous Risk Rating	M-H	M-H
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M	M
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M	L-M
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6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H (Red)	H (Red)	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H (Red)	M (Red)	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed.	M-H (Green)	L (Green)
Previous Risk Rating		H	H		H	M		M-H (Green)	L (Green)

7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.	MH	H	<p>Gateway 0 review recommendations agreed: to be implemented with the assistance of SIB, including the revision of governance structures to create a Sponsor Board, redefine the Programme Board, appoint a programme director with experience of challenging construction programmes, produce Programme and Project schedules, revise and agree reporting mechanisms and produce a delivery strategy.</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery responsibility;</p> <p>Sponsor Board being established</p> <p>Individual Project Boards established. Business Plans prepared and being considered.</p> <p>Project timelines (Gantt chart) demonstrate deliverability within CSR period, Sports governing bodies confirmed this to Minister (10/10/11).</p> <p>Consideration of project-specific issues eg treatment of Rugby historic costs.</p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p>	MH	M	<p>First Sponsor Board to be held;</p> <p>Key programme documentation to be provided by Sport NI SRO;</p> <p>Programme Director to be appointed;</p> <p>Programme and Project Boards to maintain ongoing engagement with Planning Service.</p> <p>Governing Bodies to continue engagement with stakeholders</p> <p>GAA Business Plan issues to be resolved.</p>	MH	LM

Previous Risk Rating	MH	H
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	MH	M
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	MH	LM
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1b. Strategic Goal - To ensure that DCAL's Arm's Length Bodies deliver against their business objectives
Risk Owner: Deputy Secretary - Cynthia Smith

Business Area Objective	Threat/Risk	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure that all of DCAL's Arm's Length Bodies deliver against all of their business objectives as specified in their business plans	Failure to meet targets specified in ALB business plans.	M-H Red	M-H Red	Quarterly assurance statements seek confirmation that there is a business planning process and whether or not key targets are on schedule to be achieved. Accountability meetings. Departmental representation on project working groups.	M Amber	M Amber	Need to develop more robust ALB business monitoring system	M Amber	M Amber
	Previous Risk Rating	M-H	M-H		M	M		M	M



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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (January Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|--|
| 1. Low | No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues |
| 2. Low - Medium | £1000's lost; or some localised press coverage; or isolated errors |
| 3. Medium | £10,000's lost; or localised media attention; or NIAO criticism |
| 4. Medium - High | Failure of key support services; or £100.000's lost; or failure to meet national standards |
| 5. High | Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death |

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|---|
| 1. Low | May occur only in exceptional circumstances |
| 2. Low - Medium | Might conceivably occur at some time |
| 3. Medium | Could occur at some time |
| 4. Medium - High | Will probably occur in most circumstances |
| 5. High | Is expected to occur in most circumstances |

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: January Update

	Date of Completion
Last reviewed by Board/Director	14/12/11
Next review by Board/Director	31/01/12
Last reviewed by Audit Committee (if applicable)	06/12/11

1a Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	1. Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements.</p> <p>Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards</p>	M	M	<p>DID has reviewed the sponsorship manual and a Working Group has been set up to provide further clarification of roles and responsibilities, and to review and update the Sponsorship Manual. A sponsor definition has been agreed and a document on proposed changes to the manual has been sent to SMT for consideration. The Sponsorship Forum met on Thursday, 26th Jan and the Perm Sec outlined on "new way of working" focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A "script" has been drafted and will be shared with staff for comment. This will inform a revised structure for the Sponsorship Manual.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – Feb 2012)</p> <p>Embedding new governance procedures within ALBs.</p> <p>DCAL suggested changes to the N/S FM to</p>	M	L-M

				<p>managed in accordance with best practice.</p> <p>Two Independent Board Members in place.</p> <p>Fraud awareness session provided Sept 2011.</p>			<p>support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs. (Sinead McCartan - March 2012)</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness.</p>			
Previous Month's Risk Rating:										
		M-H	M-H			M	M		M	L-M

1b. Strategic Goal - To ensure that DCAL's Arm's Length Bodies deliver against their business objectives

Risk Owner: Deputy Secretary - Cynthia Smith

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure that all of DCAL's Arm's Length Bodies deliver against all of their business objectives as specified in their business plans	Failure to meet targets specified in ALB business plans.	M-H	M-H	<p>Quarterly assurance statements seek confirmation that there is a business planning process and whether or not key targets are on schedule to be achieved.</p> <p>Accountability meetings.</p> <p>Departmental representation on project working groups.</p>	M	M	The Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual. Performance management will clearly help with Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.	M	M
Previous Month's Risk Rating:		M-H	M-H		M	M		M	M

2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.	H	M	<p>* DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>* Key control documents and agreements: DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft).</p> <p>* Regular meetings with OTC and W5 SMT;</p> <p>* W5 reports to NMNI Board - minutes reviewed by Branch</p> <p>* GSU manages drawdown process;</p> <p>A steering group has been formed and has produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL Governance/Accountability arrangements is completed, and</p>	M	L-M	<p>Key work programme underway, agreed with SIB / OTC:</p> <p>Legal matters taken forward by SIB</p> <ul style="list-style-type: none"> • New Board appointments – DCAL • W5 Performance Indicators – SIB arrangind drafting of schedule of outputs • W5 Business Plan – OTC taking forward • Communications plan – staff to be informed <p>Review funding agreement with OTC and appropriate governance, oversight and accountability arrangements,</p> <p>Implementation expected by end of March 2012</p> <p>As the stakeholder meetings progress and the outcomes become clearer, the Treated Risk value may fall.</p> <p>NIAO are to review OTC matters in 2012/13.</p>	L-M	L-M

				<p>future arrangements identified.</p> <p>Minister and DCAL Board agreed way forward. Preliminary discussion with NMNI Chair and CX held.</p> <p>OTC DCAL meeting to agree implementation arrangements - 18 November 2011.</p> <p>Liaison with NMNI, W5 and other stakeholders on the outcomes of Locum report – broadly accepted.</p> <p>Implementation of new Governance arrangements for W5 underway, with SIB assistance.</p>						
Previous Month's Risk Rating:										
		H	M		M	M			L-M	L-M

3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.	H	M-H	<p>New Chair of Board appointed w/e from 26 Sept. All Director posts filled w/e from 10 November.</p> <p>Company established & Memorandum of Association & Articles of Association agreed.</p> <p>MSFM agreed.</p> <p>Substantive CEO appointed on 21 June 2011.</p> <p>4 Interim Executive Staff appointed by the Company.</p> <p>Audit and Risk Management Committee established & Chair appointed. Meeting quarterly.</p> <p>Company appointed 2 independent Board members to the ARMC – Leanne McCullough & Paul Duffy.</p> <p>Policy and Procedures Committee established & Chair appointed.</p>	M-H	M	<p>Programme Plan to be refined and used as monitoring tool from January 2012. Progress Reviewed 19/1/12 with Company – this is behind schedule</p> <p>Permanent Executive staff to be appointed.</p> <p>External Auditors appointment underway.</p> <p>Gateway 0 review planned - 9 February 2012</p> <p>Business Case Addendum to be completed & Financial profiles agreed – expected finalisation end of Jan for submission to DFP</p> <p>(Mick Cory – “Residual Risk” rating to be reviewed when independent assurance in place, i.e. the first Gateway review complete and systems tested through Internal and External Audit)</p>	M-H	L-M

			<p>Meeting quarterly.</p> <p>Draft Schedule of Delegation & other policies agreed.</p> <p>Governance Schedule drafted and completed.</p> <p>Monthly Accountability Meetings held with CEO</p> <p>KPMG appointed as Internal Auditors on 30/11/11.</p> <p>Company taking forward appointment of External Auditors from the Private Sector.</p> <p>Monthly DCAL Board updates.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFGB Board on 10/11/11.</p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk Register based on assessment of the Programme Plan.</p> <p>DCAL Sponsorship Risk Assessment reviewed by Branch & GSU - risk rating reduced from High to Medium.</p>				
Previous Month's Risk Rating:		H	M-H	M-H	M	M-H	L-M

4. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.	M-H	M-H	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis.</p> <p>NASCO Implementation Plan in place.</p> <p>Draft consultation document produced; considering revocation of commercial salmon licenses and steps to control recreational fishing.</p> <p>NASCO Implementation plan being implemented, further steps under active consideration, including public consultation.</p> <p>Legal advice received on revocation of licences.</p> <p>Preliminary briefing with Minister held.</p>	M-L	M	<p>Introduce voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Consultation on longer term arrangements required during 2012.</p> <p>Possibility of legislation required?</p> <p>Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan to be developed and discussed by Board.</p>	L_M	L
Previous Month's Risk Rating:		M-H	M-H		M-L	M		M-L	M

5. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p>	M-H	M-H	<p>1. Adherence to Procurement Guidelines</p> <p>2. Production of appropriate Business Cases in line with NIGEAE.</p> <p>3. Internal Audit reviews.</p> <p>4. Single Tender Action workshops were held in January 2011 and guidance on STAs (with examples) was subsequently issued to ALBs.</p> <p>5. Quarterly in year monitoring process.</p> <p>6. Monthly reporting of spend against budget internally.</p> <p>7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements.</p> <p>8. Discussion at accountability meetings.</p> <p>9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy.</p> <p>10. Project to increase forecasting accuracy.</p> <p>11. PPEs carried out on projects.</p> <p>12. Review of PPE process approved</p>	M	M	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs on specific forecasting problems and share lessons learned through finance forum.</p> <p>3. The SMT will be asked to consider and approve the proposal that purchases falling below the new £500 de minimis limit are no longer reported to the Department</p>	M	L-M

				<p>at May Board meeting.</p> <p>13. Monitoring of ALB application of guidance.</p> <p>14. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions.</p> <p>16. PPE training is provided across Dept and ALBs.</p> <p>17. Procurement Guidance Note (PGN) 02/10 on STAs has been superseded by PGN 03/11 "Awards of Contracts without a Competition" which was endorsed by the Procurement Board members on 24 November 2011. At the same meeting it was suggested that the Board considers recommending to Accounting Officers that contracts valued at less than £500, which are awarded without a competition, would not be subject to procurement rules where value for money and probity standards are satisfied. If the Board is content with this recommendation it will be incorporated into a revision of the Procurement Control Limits due to commence shortly. Departmental guidance will be issued once a decision is taken by the Procurement Board.</p>					
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Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M
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6. Strategic Goal : All
Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H	H	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H	M	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed by March 2012.	M-H	L

Previous Month's Risk Rating:	H	H		H	M		M-H	L
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7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	Inadequate controls, capability and programme management prevent the realisation of the stadiums within the timescale, to cost and of Quality required.	H	H	<p>Gateway 0 review recommendations agreed: to be implemented with the assistance of SIB, including the revision of governance structures to create a Sponsor Board, redefine the Programme Board, appoint a programme director with experience of challenging construction programmes, produce Programme and Project schedules, revise and agree reporting mechanisms and produce a delivery strategy.</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery responsibility;</p> <p>Sponsor Board being established</p> <p>Individual Project Boards established. Business Plans prepared and being considered.</p> <p>Project timelines (Gantt chart)</p>	H	H	<p>Key programme documentation still to be provided by Sport NI SRO;</p> <p>Programme Director appointment underway (SIB);</p> <p>Interim programme advisor appointed (by SIB) – Documentation and state of projects to be considered by appointee as a matter of URGENCY.</p> <p>Gateway Reviews of Projects required?</p> <p>Follow up Gateway review on Programme required.</p>	H	H

				<p>demonstrate deliverability within CSR period; Sports governing bodies confirmed this to Minister (10/10/11).</p> <p>Consideration of project-specific issues e.g. treatment of Rugby historic costs.</p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p> <p>GAA Business Plan issues resolved; approval given to SNI.</p> <p>First Sponsor Board held;</p>					
Previous Month's Risk Rating:		MH	H		MH	M		MH	LM

8. Strategic Goal : City of Culture

Risk Owner: SMR Division - Arthur Scott

Business Area Objective	Threat/Risk Owner	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	Failure to: <ul style="list-style-type: none"> • deliver a fully funded, successful programme of events; • achieve the benefits set out as part of the City of Culture bid and Culture Company Business Plan; • achieve the draft Programme for Government key commitment: To provide financial and other support across government to ensure the success of the Derry~Londonderry City of 	H	H	DCAL have been working closely with the Derry ~ Londonderry partnership (Ilex, Derry City Council and SIB) since the announcement of the award.	H	M - H	Culture Company and partners continue to seek funding commitments from all identified funding sources. <i>On-going</i> A draft business plan is in development which sets out options for DCAL to support City of Culture, from £1.4m to £8m over the 2012 - 2015 period. The business case includes a full range of risks. <i>February 2012</i> DCAL resources required to deliver any significant award of funding to be considered as part of the DCAL/ CoC Business Case. <i>March 2012</i> A meeting of all key stakeholders has been arranged for 14 February to develop a consistent central government approach to the PfG commitment. The meeting will also address critical interdependencies such as capital infrastructure projects <i>February 2012</i>	M - H	M - H
		RED	RED	Since the inception of the Culture company, DCAL have been providing advice and support, including £40k resource funding for start up activity in 2011/ 12. DCAL and other central government funders met at senior level in December 2011 and January 2012 to discuss support structures and risks.	RED	RED		RED	RED

Culture 2013.

Leading to:

- loss of value for money;
- reputational damage to DCAL and the NI Executive's ability to manage major events;
- negative impact on development of the culture, arts and leisure sectors in the north west.

Risk Owner:

**Joanna
McConway**

Assignee: Joanna McConway



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an Aisedom**

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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2011-2012 (February Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
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Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: February Update

	Date of Completion
Last reviewed by Board/Director	31/01/12
Next review by Board/Director	28/02/12
Last reviewed by Audit Committee (if applicable)	06/12/11

1a Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>To ensure the effective oversight of relevant Arm's Length Bodies.</p> <p><u>DN 1b is now removed as it is covered within the wider issue of oversight of our ALBs</u></p>	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department</p> <p>Budgetary implications:</p> <p>Total ALB 2011/12 Resource Budget Allocation = £95.22m</p> <p>Total ALB 2011/12 Capital Budget Allocation = £18.23m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p><u>Greater focus is now being placed on monitoring and reporting against</u></p>	M	M	<p>The Sponsorship Forum met on Thursday, 26th Jan and the Perm Sec outlined on "new way of working" focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A "script" has been drafted and <u>has</u> be shared with staff for comment. This will inform a revised structure for the Sponsorship Manual – <u>which will be rationalised on a principles basis with supporting annexes.</u></p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – <u>May</u> 2012)</p> <p>Embedding new governance procedures within ALBs.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs. (Sinead McCartan - March 2012)</p>	M	L-M

				<p><u>business plan targets.</u></p> <p>Two Independent Board Members in place.</p> <p>Fraud awareness session provided Sept 2011.</p> <p>Accountability meetings.</p> <p><u>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.</u></p>			<p>Review of Board TOR - to be completed alongside the Review of Effectiveness.</p> <p><u>Business Plans are now being used as the primary tool to hold the ALBs to account and the</u> Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p> <p><u>QAS are being updated based on lessons learned over the last year.</u></p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	<p>Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.</p> <p><u>Budgetary Implications:</u></p> <p>W5 2011/12 Resource Budget Allocation = £0.6m</p> <p>No Capital Budget for 2011/12</p> <p>Reputational damage to the Department cannot be adequately forecast and is highly dependent on the scale and impact of any</p>	H	M	<p>DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>Key control documents and agreements:</p> <ul style="list-style-type: none"> DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft). * Regular meetings with OTC and W5 SMT; * W5 reports to NMNI Board - minutes reviewed by Branch * GSU manages drawdown process; <p>A steering group has been formed and has produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL</p>	M	L-M	<p>Key work programme underway, agreed with SIB / OTC:</p> <p>Legal matters taken forward by SIB</p> <ul style="list-style-type: none"> New Board appointments – DCAL W5 Performance Indicators – SIB arranging drafting of schedule of outputs W5 Business Plan – OTC taking forward Communications plan – staff to be informed <u>by OTC</u> <p>Review funding agreement with OTC and appropriate governance, oversight and accountability arrangements, <u>to be finalised.</u></p> <p>Implementation expected by end of March 2012</p> <p>As the stakeholder meetings progress and the outcomes become clearer, the Treated Risk value may fall.</p> <p><u>Key Stakeholder meeting to be organised for end of March 2012</u></p> <p>NIAO are to review OTC matters in 2012/13.</p>	L-M	L-M

	failure			<p>Governance/Accountability arrangements is completed, and future arrangements being identified.</p> <p>Minister and DCAL Board agreed way forward. Preliminary discussion with NMNI Chair and CX held.</p> <p>OTC DCAL meeting held to agree implementation arrangements - 18 November 2011.</p> <p>Liaison with NMNI, W5 and other stakeholders on the outcomes of Locum report – broadly accepted.</p> <p>Implementation of new Governance arrangements for W5 underway, with SIB assistance.</p>					
Previous Month's Risk Rating:	H	M		M	L-M		L-M	L-M	

3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p><u>Budgetary Implications:</u></p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>No Capital Budget</p>	H	M-H	<p><u>Company and Board now established.</u> CEO appointed.</p> <p>Audit and Risk Management Committee established, <u>with</u> Chair <u>and independents.</u> Meeting quarterly. <u>Other key sub committees in place.</u> Monthly Accountability Meetings held with CEO <u>and key staff.</u></p> <p>KPMG appointed as Internal Auditors on 30/11/11.</p> <p>Company taking forward appointment of External Auditors from the Private Sector.</p> <p>Monthly DCAL Board updates.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFG Board on 10/11/11. <u>Further work required</u></p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk</p>	M-H	M	<p>Programme Plan to be refined and used as monitoring tool from January 2012. Progress Reviewed 19/1/12 with Company – this is behind schedule – <u>Company has advised of steps being taken to address this:</u></p> <ul style="list-style-type: none"> <u>Short term assistance from BT</u> <u>Discussions with SIB re further assistance.</u> <p><u>Once finalised (timescale 3 months) – focus will be on delivery, where key risk remains.</u></p> <p>Permanent Executive staff to be appointed.</p> <p>External Auditors appointment underway.</p> <p>Gateway 0 review <u>–underway w.b</u> 9 February 2012</p> <p>Business Case Addendum completed & Financial profiles agreed – expected finalisation <u>and</u> submission to DFP <u>end of Feb. Critical turnaround by DFP required – flagged to them.</u></p> <p><u>Minister to meet Chair and Chief Executive for</u></p>	M-H	L-M

	Allocation			Register based on assessment of the Programme Plan. DCAL Sponsorship Risk Assessment reviewed by Branch & GSU - risk rating reduced from High to Medium.			update every Quarter (Mick Cory – “Residual Risk” rating to be reviewed when independent assurance in place, i.e. the first Gateway review complete and systems tested through Internal and External Audit)		
Previous Month's Risk Rating:		H	M-H		M-H	M		M-H	L-M

4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital Budget Allocation = £0.1m</p>	M-H	M-H	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis.</p> <p>NASCO Implementation Plan in place.</p> <p>Draft consultation document produced; considering non-issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>NASCO Implementation plan being implemented, further steps under active consideration, including public consultation.</p> <p>Legal advice received on revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed</p>	M-L	M	<p>Introduce voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Consultation on longer term arrangements required during 2012.</p> <p>Assembly debate 21/2. Possible buy-out scheme for Commercial fishermen in 2012?</p> <p>Possibility of legislation required?</p> <p>Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan to be developed and discussed by Board.</p>	L-M	L

Previous Month's Risk Rating:	M-H	M-H			M-L	M			L-M	L

5. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. Adherence to Procurement Guidelines</p> <p>2. Production of appropriate Business Cases in line with NIGEAE.</p> <p>3. Internal Audit reviews.</p> <p>4. Single Tender Action workshops were held in January 2011 and guidance on STAs (with examples) was subsequently issued to ALBs.</p> <p>5. Quarterly in year monitoring process.</p> <p>6. Monthly reporting of spend against budget internally.</p> <p>7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements.</p> <p>8. Discussion at accountability meetings.</p> <p>9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy.</p> <p>10. Project to increase forecasting accuracy.</p> <p>11. PPEs carried out on projects.</p>	M	M	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs <u>and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised.</u> Share lessons learned through finance forum.</p> <p><u>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources</u></p> <p>3. The SMT will be asked to consider and approve the proposal that purchases falling below the new £500 de minimis limit are no longer reported to the Department</p>	M	L-M

<p>Budget Allocation = £112.12m</p> <p>Total ALB / Department 2011/12 Capital Budget Allocation = £16.27m</p>				<p>12. Review of PPE process approved at May Board meeting.</p> <p>13. Monitoring of ALB application of guidance.</p> <p>14. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions.</p> <p>16. PPE training is provided across Dept and ALBs.</p> <p>17. Procurement Guidance Note (PGN) 02/10 on STAs has been superseded by PGN 03/11 "Awards of Contracts without a Competition" which was endorsed by the Procurement Board members on 24 November 2011. At the same meeting it was suggested that the Board considers recommending to Accounting Officers that contracts valued at less than £500, which are awarded without a competition, would not be subject to procurement rules where value for money and probity standards are satisfied. If the Board is content with this recommendation it will be incorporated into a revision of the Procurement Control Limits due to commence shortly. Departmental guidance will be issued once a decision is taken by the Procurement Board.</p>					
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Previous Month's Risk Rating:

M-H

M-H

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M

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L-M

6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed by March 2012. 	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

7. Strategic Goal : Stadium Delivery

Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p>Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.</p> <p>Budgetary Implications:</p> <p>Total 2011/12 Capital Budget Allocation = £1m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Gateway 0 review recommendations agreed <u>and</u> implemented</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery <u>agent role</u></p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p> <p>GAA Business Plan issues resolved; approval given to SNI. <u>Letter of offer issued</u></p> <p><u>Key programme documentation provided by Sport NI SRO;</u></p> <p><u>Second</u> Sponsor Board held;</p> <p><u>Interim SIB advisor appointed</u> <u>Documentation and state of projects considered.</u> <u>SIB assessment provided to Sponsor Board.</u></p>	H	H	<p><u>Alternative delivery arrangements being considered URGENTLY</u></p> <p><u>Minister has asked for the following plans to be developed URGENTLY:</u> <u>realistic programme and project plans</u> <u>Benefits Realisation plans</u> <u>Plan for achieving planning permissions</u></p> <p>Programme Director appointment <u>to be completed</u> ;</p> <p>Gateway Reviews of Projects required.</p> <p>Follow up Gateway review on Programme required.</p> <p><u>IFA / Linfield agreement to be finalised, and acceptance by 'family' confirmed.</u></p>	H	H

				Deliverability of GAA and IFA of CRITICAL concern					
Previous Month's Risk Rating:		H	H		H	H		H	H

8. Strategic Goal : City of Culture

Risk Owner: SMR Division - Arthur Scott

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>Failure to:</p> <ul style="list-style-type: none"> • deliver a fully funded, successful programme of events; • achieve the benefits set out as part of the City of Culture bid and Culture Company Business Plan; • achieve the draft Programme for Government key commitment: To provide financial and other support across government to ensure the success of the Derry ~ Londonderry 	H	H	<p>DCAL have been working closely with the Derry ~ Londonderry partnership (Ilex, Derry City Council and SIB) since the announcement of the award.</p> <p>Since the inception of the Culture company, DCAL have been providing advice and support, including £40k resource funding for start up activity in 2011/ 12.</p> <p>DCAL and other central government funders met at senior level in December 2011 and January 2012 to discuss support structures and risks. on 14 February to agree a consistent central government approach. DCAL is responsible for support to the Cultural Programme on behalf of the Executive. OFMDFM and DSD continue to consider interdependent capital projects.</p> <p>Noel Lavery, OFMDFM, has been</p>	H	M - H	<p>Culture Company and partners continue to seek funding commitments from all identified funding sources. <i>On-going</i></p> <p>A draft business plan is in development which sets out options for DCALthe Executive -to support City of Culture, up to £11m from £1.4m to £8m over the 2012 - 2015 period. The business case includes a full range of risks. <i>March February 2012</i></p> <p>DCAL resources required to deliver any significant award of funding to be considered as part of the DCAL/ CoC Business Case. <i>March 2012</i></p> <p>A meeting of all key stakeholders has been arranged for 14 February to develop a consistent central government approach to the PFC commitment. The meeting will also address critical interdependencies such as capital infrastructure projects <i>February 2012</i></p>	M - H	M - H

	<p>City of Culture 2013.</p> <p>Leading to:</p> <ul style="list-style-type: none"> • loss of value for money; • reputational damage to DCAL and the NI Executive's ability to manage major events; • negative impact on development of the culture, arts and leisure sectors in the north west. <p><u>Budgetary Implications:</u></p> <p>Business Plan in development - options for DCAL Executive -to support City of Culture, up to £11m from £1.4m to £8m over the 2012 - 2015 period.</p>			<p><u>appointed SRO for the PFG commitments on City of Culture.</u></p>			<p><u>Governance structures for Executive support of the Cultural Programme are in development including a Benefits Realisation Plan and oversight Advisory Group make up. A Gateway Health check is being considered to provide assurance on exiting structures. The DCMS Independent Advisory Panel visit Derry~Londonderry on 27 February to assess progress against the bid criteria. March 2012</u></p> <p><u>Assignee: Joanna McConway</u></p>		
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Previous month's rating:	H	H		H	M-H		M-H	M-H
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DEPARTMENTAL RISK REGISTER

2011-2012 (March Update)

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2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: March Update

	Date of Completion
Last reviewed by Board/Director	28/02/12
Next review by Board/Director	27/03/12
Last reviewed by Audit Committee (if applicable)	06/03/12

1a Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.
 Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies. DN 1b is now removed as it is covered within the wider issue of oversight of our ALBs	Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department <u>Budgetary implications:</u> Total ALB 2011/12 Resource Budget Allocation = £95.22m Total ALB 2011/12 Capital Budget Allocation = £18.23m	M-H	M-H	Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice. Greater focus is now being placed on monitoring and reporting against	M	M	The Sponsorship Forum met on Thursday, 26 th Jan and the Perm Sec outlined on "new way of working" focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A "script" has been drafted and has been shared with staff for comment. This will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. Remaining ALB risk assessments to be completed (Sinead McCartan – May 2012) Embedding new governance procedures within ALBs. DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. Fraud Awareness Training to continue to be rolled out to ALBs. (Sinead McCartan - March 2012)	M	L-M

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				<p>business plan targets. Two Independent Board Members in place.</p> <p>Fraud awareness session provided Sept 2011.</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.</p>			<p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p> <p>QAS are being updated based on lessons learned over the last year,</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	<p>Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.</p> <p><u>Budgetary Implications:</u></p> <p>W5 2011/12 Resource Budget Allocation = £0.6m</p> <p>No Capital Budget for 2011/12</p> <p>Reputational damage to the Department cannot be adequately forecast and is highly dependent on the scale and impact of any</p>	H	M	<p>DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>Key control documents and agreements:</p> <ul style="list-style-type: none"> DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft). * Regular meetings with OTC and W5 SMT; * W5 reports to NMNI Board - minutes reviewed by Branch * GSU manages drawdown process; <p>A steering group has been formed and has produced LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL</p>	M	L-M	<p>Key work programme underway, agreed with SIB / OTC:</p> <p>Legal matters taken forward by SIB</p> <ul style="list-style-type: none"> New Board appointments – DCAL W5 Performance Indicators – SIB arranging drafting of schedule of outputs W5 Business Plan – OTC taking forward Communications plan – staff to be informed by OTC <p>Review funding agreement with OTC and appropriate governance, oversight and accountability arrangements, to be finalised.</p> <p>Implementation expected by end of March 2012</p> <p>As the stakeholder meetings progress and the outcomes become clearer, the Treated Risk value may fall.</p> <p>Key Stakeholder meeting to be organised for early April<u>end of March</u> 2012</p> <p>NIAO are to review OTC matters in 2012/13.</p>	L-M	L-M

	failure			<p>Governance/Accountability arrangements is completed and future arrangements being identified.</p> <p>Minister and DCAL Board agreed way forward. Preliminary discussion with NMNI Chair and CX held.</p> <p>OTC DCAL meeting held to agree implementation arrangements - 18 November 2011.</p> <p>Liaison with NMNI, W5 and other stakeholders on the outcomes of Locum report – broadly accepted.</p> <p>Implementation of new Governance arrangements for W5 underway, with SIB assistance.</p>			<p><u>Future Departmental Governance will be based around</u></p> <ul style="list-style-type: none"> <u>A new Governance and Financial Assistance Agreement</u> <u>Assurance statement – from OTC Chair to Perm Secretary</u> <u>Letter of understanding from DCAL to OCR re the 1998 Funding Agreement</u> 		
Previous Month's Risk Rating:		H	M		M	L-M		L-M	L-M

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3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p><u>Budgetary Implications:</u></p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>No Capital Budget</p>	H	M-H	<p>Company and Board now established. CEO appointed,</p> <p>Audit and Risk Management Committee established, with Chair and independents. Meeting quarterly. Other key sub committees in place. Monthly Accountability Meetings held with CEO and key staff.</p> <p>KPMG appointed as Internal Auditors on 30/11/11.</p> <p>Company taking forward appointment of External Auditors from the Private Sector.</p> <p>Monthly DCAL Board updates.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFG Board on 10/11/11. Further work required</p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk</p>	M-H	M	<p><u>Interim Project Manager appointed on 27 Feb to develop the Programme Plan. Milestone Plan presented to Board in March and detailed draft Programme Plan to be developed for April Board meeting. Programme Plan to be refined and used as monitoring tool from January 2012. Progress Reviewed 19/1/12 with Company—this is behind schedule—Company has advised of steps being taken to address this:</u></p> <ul style="list-style-type: none"> •Short term assistance from BT •Discussions with SIB re further assistance. <p><u>Once finalised (timescale 3 months) —Focus moving to will be on-delivery, where key risk remains.</u></p> <p>Permanent Executive staff to be appointed. <u>Company advertised externally for Project Manager – closing date 16 March.</u></p> <p><u>Tailored External Auditors appointment underway.</u></p>	M-H	L-M

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	Allocation			<p>Register based on assessment of the Programme Plan.</p> <p>DCAL Sponsorship Risk Assessment reviewed by Branch & GSU - risk rating reduced from High to Medium.</p> <p><u>PWC appointed as External Auditors in March 2012</u></p>			<p>Gateway Re0 review complete. Being reviewed by the Company. Amber/Red RAG rating. 6 recommendations identified; 4 'Critical' and 2 'Essential within 4 weeks'. - <u>underway w.b 9 February 2012 2 for action by DCAL.</u></p> <p>Business Case Addendum completed & Financial profiles agreed. Issued to DFP Supply on 16 March. - <u>expected finalisation and submission to DFP end of Feb. Critical turnaround by DFP required - flagged to them.</u></p> <p>Minister to meet Chair and Chief Executive for update every Quarter - <u>next meeting scheduled for 8 May.</u></p> <p>(Mick Cory - "Residual Risk" rating to be reviewed when independent assurance in place, i.e. the first Gateway review complete and systems tested through Internal and External Audit)</p>		
Previous Month's Risk Rating:		H	M-H		M-H	M		M-H	L-M

4. Strategic Goal - To determine additional salmon conservation measures

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued <u>in the absence of a positive assessment</u>.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital</p>	M-H	M-H	<p>Legislative controls – enforcement of regulations. Fisheries protection activities now organised on a professional basis.</p> <p>NASCO Implementation Plan in place.</p> <p>Draft consultation document produced; considering non-issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>NASCO Implementation plan being implemented, further steps under active consideration, including public consultation.</p> <p>Legal advice received on <u>issuing of and</u> revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed</p>	M-L	M	<p>Introduce voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Consultation on longer term arrangements required during 2012.</p> <p>Assembly debate 21/2. Ministerial Statement Statement to Assembly 12/03</p> <p>Possible <u>compensation and/or</u> buy-out scheme for Commercial fishermen in 2012?</p> <p>Possibility of legislation required?</p> <p>Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan to be developed and discussed by</p>	L-M	L

	Budget Allocation = £0.1m					Board.				
Previous Month's Risk Rating:		M-H	M-H			M-L	M		L-M	L

5. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p>Budgetary Implications:</p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. <u>Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</u></p> <p>2. <u>Monthly reporting of spend to Finance Committee and Dept Board. Adherence to Procurement Guidelines</u></p> <p>2. Production of appropriate Business Cases in line with NIGEAE.</p> <p>3. Internal Audit reviews.</p> <p>4. Single Tender Action workshops were held in January 2011 and guidance on STAs (with examples) was subsequently issued to ALBs.</p> <p>5. Quarterly in year monitoring process.</p> <p>6. Monthly reporting of spend against budget internally.</p> <p>7. Monthly reporting to Board on forecasted spend for year against budget (Department and NDPBs) and identification of pressures and easements.</p> <p>8. Discussion at accountability</p>	M	M	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Share lessons learned through finance forum.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources</p> <p>3. The SMT will be asked to consider and approve the proposal that purchases falling below the new £500 de minimis limit are no longer reported to the Department</p>	M	L-M

		<p>Budget Allocation = £112.12m</p> <p>Total ALB / Department 2011/12 Capital Budget Allocation = £16.27m</p>			<p>meetings.</p> <p>9. Establishment of finance forum with NDPBs and emphasis on forecasting accuracy.</p> <p>10. Project to increase forecasting accuracy.</p> <p>11. PPEs carried out on projects.</p> <p>12. Review of PPE process approved at May Board meeting.</p> <p>13. Monitoring of ALB application of guidance.</p> <p>14. 13. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>15. New PPE process implemented. New procedures launched in July 2011 along with series of awareness raising sessions.</p> <p>16. PPE training is provided across Dept and ALBs.</p> <p>17. Procurement Guidance Note (PGN) 02/10 on STAs has been superseded by PGN 03/11 "Awards of Contracts without a Competition" which was endorsed by the Procurement Board members on 24 November 2011. At the same meeting it was suggested that the Board considers recommending to Accounting Officers that contracts valued at less than £500, which are awarded without a competition, would not be subject to procurement rules where value for money and probity standards are satisfied. If the Board is content with this recommendation it</p>					
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				will be incorporated into a revision of the Procurement Control Limits due to commence shortly. Departmental guidance will be issued once a decision is taken by the Procurement Board.						
Previous Month's Risk Rating:			M-H	M-H		M	M		M	L-M

6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work is to be completed by March 2012. 	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

7. Strategic Goal : Stadium Delivery
 Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p>Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2011/12 Capital Budget Allocation = £1m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery agent role</p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p> <p>GAA Business Plan issues resolved; approval given to SNI. Letter of offer issued</p> <p>Key programme documentation provided by Sport NI SRO;</p> <p>Second Sponsor Board held;</p> <p>Interim SIB advisor appointed Documentation and state of projects considered.</p> <p>SIB assessment provided to Sponsor Board.</p>	H	H	<p>Alternative delivery arrangements being considered URGENTLY</p> <p>Minister has asked for the following plans to be developed URGENTLY: realistic programme and project plans Benefits Realisation plans Plan for achieving planning permissions</p> <p>Programme Director appointment to be completed ;</p> <p>Gateway Reviews of Projects required.</p> <p>Follow up Gateway review on Programme required.</p> <p>IFA / Linfield agreement to be finalisedfinalised, and acceptance by 'family' confirmed. <u>IFA element of Business Plan approved by the Department.</u></p>	H	H

				Deliverability of GAA and IFA of CRITICAL concern				
Previous Month's Risk Rating:		H	H		H	H		H H

8. Strategic Goal : City of Culture

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Risk Owner: ~~SMR~~ Culture Division - Arthur Scott

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>Failure to:</p> <ul style="list-style-type: none"> • deliver a fully funded, successful programme of events; • achieve the benefits set out as part of the City of Culture bid and Culture Company Business Plan; • achieve the draft Programme for Government key commitment: To provide financial and other support across government to ensure the success of the Derry ~ Londonderry City of Culture 2013. <p>Leading to:</p> <ul style="list-style-type: none"> • loss of value for money; • reputational damage to DCAL and the NI Executive's ability to manage major events; • negative impact on development of the culture, 	H	H	<p><i>DCAL have been working closely with the Derry ~ Londonderry partnership (Hlex, Derry City Council and SIB) since the announcement of the award.</i></p> <p><i>Since the inception of the Culture company, DCAL have been providing advice and support, including £40k resource funding for start up activity in 2011/12.</i></p> <p><i>DCAL and other central government funders met at senior level on 14 February to agree a consistent central government approach. DCAL is responsible for support to the Cultural Programme on behalf of the Executive. OFMDFM and DSD continue to consider interdependent capital projects.</i></p> <p><i>Noel Lavery, OFMDFM, has been appointed SRO for the PfG commitments on City of Culture.</i></p>	H	M - H	<p>Culture Company and partners continue to seek funding commitments from all identified funding sources. <i>On-going</i></p> <p><i>A draft business plan is in development which sets out options for the Executive to support City of Culture, up to £11m 12.6m over the 2012 – 2015 period. The business case includes a full range of risks.</i> <i>March 2012</i></p> <p><i>DCAL resources required to deliver any significant award of funding to be considered as part of the DCAL/ CoC Business Case.</i> <i>March 2012</i></p> <p><i>Governance structures for Executive support of the Cultural Programme are in development including a <u>Project Delivery Plan</u>, <u>Benefits Realisation Plan</u>, and <u>DCAL oversight Advisory Group</u>, <u>standard risk register</u> and <u>issues log</u>. make-up.</i> <i>May 2012</i></p>	M - H	M - H

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	<p>arts and leisure sectors in the north west.</p> <p><u>Budgetary Implications:</u></p> <p>Business Plan in development - approved options for Executive to support City of Culture, up to £14.2.6m over the 2012 - 2015 period.</p>				<p><u>A DCAL business case for support of the Cultural Programme up to £12.6m has been approved by DFP subject to development of a Management and Monitoring Section.</u></p> <p><u>The first meeting of the PfG Oversight Group was held on 19 April 2012.</u></p> <p><u>The CEO of Derry City Council had indicated that the Council could fund all running costs of the Culture Company but have since indicated that this could give rise to significant budgetary pressures.</u></p> <p><u>Interdependant capital projects have been identified and included in the DCAL risk register for tracking progress. They include a venue for the Turner Prize (80&81, Ebrington) and a temporary venue at Ebrington for events.</u></p>			<p>A Gateway Health check is being considered to-is to be commissioned by OFMDFM to provide assurance on exiting structures. <i>May 2012</i></p> <p>The DCMS Independent Advisory Panel visited <u>Derry~Londonderry</u> on 27 February to assess progress against the bid criteria. Awaiting feedback from DCMS A matrix of progress against recommendations has been developed. <i>March 2012 on-going</i></p> <p><u>Copy of OFMDFM and DSD risks re CoC has been requested.</u> <i>April 2012</i></p> <p><u>Assignee: Joanna McConway</u></p>		
Previous	month's rating:	H	H		H	M-H		M-H	M-H	

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**Culture, Arts
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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (April Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|--|
| 1. Low | No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues |
| 2. Low - Medium | £1000's lost; or some localised press coverage; or isolated errors |
| 3. Medium | £10,000's lost; or localised media attention; or NIAO criticism |
| 4. Medium - High | Failure of key support services; or £100,000's lost; or failure to meet national standards |
| 5. High | Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death |

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|---|
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| 3. Medium | Could occur at some time |
| 4. Medium - High | Will probably occur in most circumstances |
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CALCULATION OF RISK RATING

		IMPACT				
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LIKELIHOOD		Low	L-M	Medium	M-H	High
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Version Control: April Update

	Date of Completion
Last reviewed by Board/Director	27/03/12
Next review by Board/Director	23/04/12
Last reviewed by Audit Committee (if applicable)	06/03/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2011/12 Resource Budget Allocation = £95.22m</p> <p>Total ALB 2011/12 Capital Budget Allocation = £18.23m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place.</p> <p>Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on monitoring and reporting against</p>	M	M	<p>The Sponsorship Forum met on Thursday, 26th Jan and the Perm Sec outlined on "new way of working" focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A "script" has been drafted and has been shared with staff for comment. This will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – May 2012)</p> <p>Embedding new governance procedures within ALBs.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the</p>	M	L-M

				<p>business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011.</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.</p>			<p>primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p> <p>QAS are being updated based on lessons learned over the last year,</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of benefits of W5 (Business Plan - To open up the collections of our National Museums making them accessible to all.)									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of benefits of W5.	<p>Failure of the Odyssey Trust Company to deliver public value leads to reputational damage to the Department.</p> <p><u>Budgetary Implications:</u></p> <p>W5 2011/12 Resource Budget Allocation = £0.6m</p> <p>No Capital Budget for 2011/12</p> <p>Reputational damage to the Department cannot be adequately forecast and is highly dependent on the scale and impact of any</p>	H	M	<p>DCAL has 'observer' status at OTC Board meetings, and receives OTC Annual accounts.</p> <p>Key control documents and agreements:</p> <ul style="list-style-type: none"> • DENI / OTC 1998 Funding Agreement; Tripartite Agreement with NMNI / OTC / W5; Financial Assistance Agreement (original & new); supplementary Agreement (final draft). • * Regular meetings with OTC and W5 SMT; • * W5 reports to NMNI Board - minutes reviewed by Branch • * GSU manages drawdown process; <p>A steering group has commissioned and received LOCUM report reviewing the Science Centre provision and the form and delivery vehicle for the science centre.</p> <p>Review of current DCAL</p>	L-M	L-M	<p>NIAO are to review OTC matters in 2012/13.</p> <p>Agree W5 Business Plan</p> <p>Appoint DCAL Board members</p> <p>Establish monitoring and Accountability meetings</p>	L-M	L-M

	failure			<p>Governance/Accountability arrangements is completed and future arrangements being identified.</p> <p>Minister and DCAL Board agreed way forward.</p> <p>Liaison with NMNI, W5 and other stakeholders on the outcomes of Locum report – broadly accepted.</p> <p>Reviewed funding agreement with OTC and appropriate governance, oversight and accountability arrangements now finalised and implemented 30 March 2012.</p> <p>Departmental Governance will be based around</p> <ul style="list-style-type: none"> • A new Governance and Financial Assistance Agreement • Assurance statement – from OTC Chair to Perm Secretary • Letter of understanding from DCAL to OTC re the 1998 Funding Agreement 					
Previous Month's Risk Rating:		H	M		M	L-M		L-M	L-M

3. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p><u>Budgetary Implications:</u></p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>No Capital Budget Allocation</p>	H	M-H	<p>Company and Board now established. CEO appointed.</p> <p>Audit and Risk Management Committee established, with Chair and independents. Meeting quarterly. Other key sub committees in place. Monthly Accountability Meetings held with CEO and key staff.</p> <p>KPMG appointed as Internal Auditors on 30/11/11. PwC appointed as External Auditors in March 2012.</p> <p>Monthly Accountability Meetings held with CEO and Key Staff.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFG Board on 10/11/11.</p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk Register based on assessment of the Programme Plan.</p>	M-H	M	<p>Focus moving to delivery, where key risk remains.</p> <p>Interim Project Manager appointed on 27 Feb to develop the Programme Plan. Milestone Plan presented to Board in March and detailed draft Programme Plan to be developed for April Board meeting. Company advertised externally for Project Manager – closing date 16 March.</p> <p>Business Case Addendum completed & agreed. Issued to DFP Supply on 16 March.</p> <p>Minister to meet Chair and Chief Executive for update every Quarter – next meeting scheduled for 8 May.</p> <p>Continued operation of accountability regime and assurance regarding progress.</p> <p>Treated and Residual Risk Ratings to be reviewed when independent assurance in place.</p> <p>(Mick Cory)</p>	M-H	L-M

				<p>DCAL Sponsorship Risk Assessment reviewed by Branch & GSU - risk rating reduced from High to Medium.</p> <p>Tailored Gateway Review complete. Amber/Red RAG rating. 6 recommendations identified; 4 'Critical' and 2 'Essential within 4 weeks'. 2 for action by DCAL.</p> <p>"Residual Risk" rating has been reassessed following Gateway review; kept as is due to lack of final programme plan.</p>					
Previous Month's Risk Rating:		H	M-H		M-H	M		M-H	L-M

4. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p><u>Budgetary Implications:</u></p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Voluntary</p>	M-L	M	<p>Consultation on longer term arrangements required during 2012. Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan being developed for Ministerial agreement.</p> <p>Possible compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored?</p> <p>Possibility of legislation required?</p>	L-M	L

	Budget Allocation = £0.1m			measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed.							
Previous Month's Risk Rating:		M-H	M-H			M-L	M			L-M	L

5. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p>	M	M	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Share lessons learned through finance forum.</p> <p>Finance Forum to be arranged for end May 2012.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources.</p>	M	L-M

Budget Allocation =
£112.12m

Total ALB /
Department
2011/12 Capital
Budget Allocation =
£16.27m

Previous Month's Risk Rating:

M-H

M-H

M

M

M

L-M

6. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). 	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

7. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p>Inadequate controls, capability and programme management prevent the realisation of the stadiums within the timescale, to cost and of Quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2011/12 Capital Budget Allocation = £1m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>SIB engaged in programme assurance role</p> <p>Sport NI assigned delivery agent role</p> <p>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</p> <p>GAA Business Plan issues resolved; approval given to SNI. Letter of offer issued</p> <p>Key programme documentation provided by Sport NI SRO;</p> <p>Second Sponsor Board held;</p> <p>Interim SIB advisor appointed.</p> <p>Documentation and state of projects considered.</p> <p>SIB assessment provided to Sponsor</p>	H	H	<p>Alternative delivery arrangements have been put in place within the Department being considered URGENTLY</p> <p>A new Programme Director has been appointed and a Programme team is being put in place</p> <p>Minister has asked for the following plans to be developed URGENTLY:</p> <p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Plan for achieving planning permissions <u>are currently being developed</u></p> <p>Plans will include timings for Project and Programme Gateway reviews</p> <p>Programme Director appointment to be completed;</p> <p>Gateway Reviews of Projects required.</p> <p>Follow up Gateway review on Programme</p>	H	H

				Board. Deliverability of GAA and IFA of CRITICAL concern			required: IFA / Linfield agreement finalised, and acceptance by 'family' confirmed. IFA element of Business Plan approved by the Department.		
Previous Month's Risk Rating:		H	H		H	H		H	H

8. Strategic Goal : City of Culture

Risk Owner: Culture Division - Arthur Scott

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>Failure to:</p> <ul style="list-style-type: none"> • deliver a fully funded, successful programme of events; • achieve the benefits set out as part of the City of Culture bid and Culture Company Business Plan; • achieve the draft Programme for Government key commitment: To provide financial and other support across government to ensure the success of the Derry ~ Londonderry 	H	H	<p>DCAL have been working closely with the Derry ~ Londonderry partnership (Ilex, Derry City Council and SIB) since the announcement of the award.</p> <p>Since the inception of the Culture company, DCAL have been providing advice and support, including £40k resource funding for start up activity in 2011/ 12.</p> <p>DCAL and other central government funders met at senior level on 14 February to agree a consistent central government approach. DCAL is responsible for support to the Cultural Programme on behalf of the Executive. OFMDFM and DSD continue to consider interdependent capital projects.</p> <p>Noel Lavery, OFMDFM, has been appointed SRO for the PfG commitments on City of Culture.</p>	H	M - H	<p>Culture Company and partners continue to seek funding commitments from all identified funding sources. <i>On-going</i></p> <p>A draft business plan is in development which sets out options for the Executive to support City of Culture, up to £12.6m over the 2012 - 2015 period. The business case includes a full range of risks. <i>March 2012</i></p> <p>DCAL resources required to deliver any significant award of funding to be considered as part of the DCAL/ CoC Business Case. <i>March 2012</i></p> <p>Governance structures for Executive support of the Cultural Programme are in development including a Benefits Realisation Plan and oversight Advisory Group make up. A Gateway Health check is being considered to provide assurance on exiting structures. The DCMS Independent Advisory Panel visited Derry~Londonderry on 27 February to</p>	M - H	M - H

	<p>City of Culture 2013.</p> <p>Leading to:</p> <ul style="list-style-type: none"> • loss of value for money; • reputational damage to DCAL and the NI Executive's ability to manage major events; • negative impact on development of the culture, arts and leisure sectors in the north west. <p><u>Budgetary Implications:</u></p> <p>Business Plan in development - options for Executive to support City of Culture, up to £11m over the 2012 - 2015 period.</p>						<p>assess progress against the bid criteria. Awaiting feedback from DCMS <i>March 2012</i></p> <p><u>Assignee: Joanna McConway</u></p>		
Previous month's rating:	H	H		H	M-H		M-H	M-H	

9. Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of 2012 Olympic / Paralympic events	<p>Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism</p> <p>Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.</p>	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ, NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers <p>Participation in London led desktop exercises and contingency arrangements.</p> <p>Participation in local test exercises</p>	H	H	<p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI.</p> <p>Communications planning underway.</p>	H	H

Previous Month's Risk Rating:	N/A	N/A	New risk	N/A	N/A	N/A	N/A
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Department of
**Culture, Arts
and Leisure**

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AN ROINN

**Cultúr, Ealaíon
agus Fóillíochta**

MÁNNYSTRIE O

**Fowkgates, Airts
an Aisedom**

文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (May Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: May Update

	Date of Completion
Last reviewed by Board/Director	23/04/12
Next review by Board/Director	22/05/12
Last reviewed by Audit Committee (if applicable)	06/03/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2011/12 Resource Budget Allocation = £95.22m</p> <p>Total ALB 2011/12 Capital Budget Allocation = £18.23m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice. Greater focus is now being placed on monitoring and reporting against</p>	M	M	<p>The Sponsorship Forum met on Thursday, 26th Jan and the Perm Sec outlined on "new way of working" focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A "script" has been drafted and has been shared with staff for comment. This will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – JuneMay 2012)</p> <p>Embedding new governance procedures within ALBs.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness.</p>	M	L-M

				<p>business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011.</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.</p>			<p>Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p> <p>QAS are being updated based on lessons learned over the last year; Draft revisions to QAS to incorporate elements of governance statement (which replaces the SIC in 12/13) and to require sign-off by both Chair and CEO, with attendance of Chair (or another board member) at accountability meetings.</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG

Risk Owner: SMR - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p><u>Budgetary Implications:</u></p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>No Capital Budget Allocation</p>	H	M-H	<p>Company and Board now established. CEO appointed.</p> <p>Audit and Risk Management Committee established, with Chair and independents. Meeting quarterly. Other key sub committees in place. Monthly Accountability Meetings held with CEO and key staff.</p> <p>KPMG appointed as Internal Auditors on 30/11/11. PwC appointed as External Auditors in March 2012.</p> <p>Monthly Accountability Meetings held with CEO and Key Staff.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPFG Board on 10/11/11.</p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk Register based on assessment of the Programme Plan.</p>	M-H	M	<p>Focus moving to delivery, where key risk remains.</p> <p>Interim Project Manager appointed on 27 Feb to develop the Programme Plan. Milestone Plan presented to Board in March and detailed draft Programme Plan to be developed for April Board meeting. Company advertised externally for Project Manager—closing date 16 March.</p> <p>Business Case Addendum completed & agreed. Issued to DFP Supply on 16 March.</p> <p>Minister to meet Chair and Chief Executive for update every Quarter—next meeting scheduled for 8 May.</p> <p>Continued operation of accountability regime and assurance regarding progress.</p> <p>Treated and Residual Risk Ratings to be reviewed when independent assurance in place.</p> <p><u>Company holding a Risk Management</u></p>	M-H	L-M

				<p>DCAL Sponsorship Risk Assessment reviewed by Branch & GSU – risk rating reduced from High to Medium.</p> <p>Tailored Gateway Review complete. Amber/Red RAG rating. 6 recommendations identified; 4 'Critical' and 2 'Essential within 4 weeks'. 2 for action by DCAL.</p> <p>"Residual Risk" rating has been reassessed following Gateway review; kept as is due to <u>change of personnel at s at CEO level. lack of final programme plan.</u></p> <p><u>Sponsorship Risk Assessment being reviewed by Branch & GSU in light of Gateway.</u></p> <p><u>Business Case Addendum approved by DFP on 27 March.</u></p> <p><u>Minister met Chair & CEO for 3rd Quarterly update on 8 May.</u></p> <p><u>Interim PM appointed on 27 February. Master Programme Plan and associated documentation issued to DCAL on 15 May. PM Regime in operation.</u></p>			<p><u>Workshop on 18 May to identify the key threats to delivery. Board members asked to identify their 3 main priorities. DCAL rep identified the following.</u></p> <p><u>Resources – failure to meet targets</u> <u>Events Management- lack of assurance</u> <u>Benefits/Legacy – failure to achieve targets</u></p> <p><u>DCAL Risk Register to be updated after the workshop</u></p> <p>(Mick Cory)</p>			
Previous Month's Risk Rating:			H	M-H		M-H	M		M-H	L-M

3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Voluntary</p>	M-L	M	<p>Consultation on longer term arrangements required during 2012. Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan being developed for Ministerial agreement.</p> <p>Possible compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored?</p> <p>Possibility of legislation required?</p>	L-M	L

	Budget Allocation = £0.1m			measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed.					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p>	M	L-MM	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Share lessons learned through finance forum.</p> <p>Finance Forum to be arranged for end May 2012.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources.</p>	M	L-MM

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	Budget Allocation = £112.12m Total ALB / Department 2011/12 Capital Budget Allocation = £16.27m								
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

5. Strategic Goal : All

Risk Owner: Corporate Services Division - Deborah Brown

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). 	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

6. Strategic Goal : Stadium Delivery

Risk Owner: Sport Division – Colin Watson

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p>Inadequate controls, capability and programme management prevent the realisation of delivery of the stadiums within the timescale, to cost and of Quality required.</p> <p>Budgetary Implications:</p> <p>Total 2014/15/16 Capital Budget Allocation = £420m (but subject to change)</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>SIB engaged in programme assurance role</p> <p><u>Alternative delivery arrangements have been put in place within the Department</u></p> <p><u>A new Programme Director has been appointed and a Programme team is being put in place</u></p> <p><u>Sport NI assigned delivery agent role</u></p> <p><u>Rugby Business Plan agreed, and 1st letter of offer issued by Sport NI.</u></p> <p><u>GAA Business Plan issues resolved; approval given to SNI. Letter of offer issued</u></p> <p><u>Key programme documentation provided by Sport NI SRQ;</u></p> <p><u>Second Sponsor Board held;</u></p>	H	H	<p>Alternative delivery arrangements have been put in place within the Department</p> <p>A new Programme Director has been appointed and a Programme team is being put in place</p> <p>Realistic programme and project plans Benefits Realisation plans Plan for achieving planning permissions are currently being developed. Plans will include timings for Project and Programme Gateway reviews.</p> <p>IFA / Linfield agreement finalised, and acceptance by 'family' confirmed. IFA element of Business Plan approved by the Department.</p>	H	H

				<p>Interim SIB advisor appointed.</p> <p>Documentation and state of projects considered.</p> <p>SIB assessment provided to Sponsor Board.</p> <p>Deliverability of GAA and IFA of CRITICAL concern</p>						
Previous Month's Risk Rating:			H	H		H	H		H	H

7. Strategic Goal : City of Culture

Risk Owner: Culture Division - Arthur Scott

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p><u>Running costs issue resolved.</u></p> <p><u>DFP have approved Management and Monitoring section of the business case</u></p> <p><u>DCAL Admin Costs</u></p> <p><u>DCAL requires up to £200k admin budget to deliver internal management and monitoring functions (Project Sponsor, Gateway, NISRA monitoring)</u></p> <p><u>Current red risks on project risk register:</u></p>	H	H	<p>DCAL have been working closely with the Derry - Londonderry partnership (Hex, Derry City Council and SIB) since the announcement of the award.</p> <p>Since the inception of the Culture company, DCAL have been providing advice and support, including £40k resource funding for start-up activity in 2011/12.</p> <p>DCAL and other central government funders met at senior level on 14 February to agree a consistent central government approach. DCAL is responsible for support to the Cultural Programme on behalf of the Executive. OFMDFM and DSD continue to consider interdependent capital projects.</p> <p>Noel Lavery, OFMDFM, has been appointed SRO for the PFG commitments on City of Culture.</p>	H	M - H	<p>Culture Company and partners continue to seek funding commitments from all identified funding sources.</p> <p><i>On-going</i></p> <p>A draft business plan is in development which sets out options for the Executive to support City of Culture, up to £12.6m over the 2012-2015 period. The business case includes a full range of risks.</p> <p><i>March 2012</i></p> <p>DCAL resources required to deliver any significant award of funding to be considered as part of the DCAL/ CoC Business Case.</p> <p><i>March 2012</i></p> <p>Governance structures for Executive support of the Cultural Programme are in development including a Benefits Realisation Plan and oversight Advisory Group make up. A Gateway Health check is being considered to provide assurance on exiting structures. The DCMS Independent Advisory Panel visited Derry - Londonderry on 27 February to</p>	M - H	M - H

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		<p><u>Likelihood of achieving</u> <u>Sponsorship target:</u> <u>Lack of Strategic Project Planning;</u> <u>Capacity of Culture Company and Board;</u> <u>Venues (80&81, Vital Venue).</u></p> <p><u>Failure to:</u></p> <ul style="list-style-type: none"> • <u>deliver a fully funded, successful programme of events;</u> • <u>achieve the benefits set out as part of the City of Culture bid and Culture Company Business Plan;</u> • <u>achieve the draft Programme for Government key commitment: To provide financial and other support across government to ensure the success of the Derry—</u> 			<p><u>Sponsorship – Partnership Manager appointed.</u></p> <p><u>Strategic Planning – Cultural Programme delivery profiles revised May 2012.</u></p> <p><u>Culture Co Capacity – Culture Co executive are highly skilled and are providing up to date and relevant information to the Board for approval. Series of sub committees have been set up to deal with specific issues – Finance, Audit, Legacy, Marketing.</u></p> <p><u>Venues – 80&81 business case submitted to DFP for approval. Vital Venue business case signed off by DFP, but not DSD Minister. Culture Co have provided additional information to assist DSD Minister's consideration of the case.</u></p>			<p><u>assess progress against the bid criteria. Awaiting feedback from DCMS March 2012</u></p> <p><u>Sponsorship – Prioritised list of events in development. Sponsorship event in London 19 June 2012.</u></p> <p><u>Strategic Planning – DRD IT Skillset to be sought to facilitate development of a Project Delivery Plan.</u></p> <p><u>Culture Co Capacity– SRO (Sharon O'Connor) has provided a standing agenda list for Culture Co Board including clarification on delegated limits for decision making to executive. Project Delivery Plan to be developed to manage executive capacity and business continuity. Poor relationships between Culture Co and DCC to be managed through regular (weekly and monthly) DCAL project meetings.</u></p> <p><u>Venues – SIB Project Manager to be appointed to assist delivery of 80&81 and Vital Venue. DSD Minister to provide approval fro Vital Venue business case.</u></p> <p style="text-align: center;"><u>Assignee: Joanna McConway</u></p>		
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	<p>Londonderry City of Culture 2013.</p> <p>Leading to:</p> <ul style="list-style-type: none"> • loss of value for money; • reputational damage to DCAL and the NI Executive's ability to manage major events; • negative impact on development of the culture, arts and leisure sectors in the north-west. <p><u>Budgetary Implications:</u></p> <p>Business Plan in development – options for Executive to support City of Culture, up to £11m over the 2012–2015 period.</p>								
Previous month's rating:	H	H		H	M-H		M-H	M-H	

8. Risk Owner: SMR Division - Mick Cory

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of 2012 Olympic / Paralympic events	Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>DCAL operations hub – Torch relay and ‘Games Time’.</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ, NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers <p>Participation in London led desktop exercises and contingency arrangements.</p>	MH	MH	<p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>2012 NI Operations Plan in place around Torch Relay. Review and revision required in context of wider ‘Games Time’ arrangements.</p> <p>DCAL operations hub planning well advanced. Additional staff resources secured to support arrangements during Torch Relay.</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI.</p> <p>Communications planning underway well advanced. Joint protocol document agreed with Government partners, OFMDFM; DOJ; NIO & PSNI.</p> <p>Reporting into M.I.G commenced 17th May 2012. Continue through to end of ‘Games Time’ (10 Sept 2012).</p> <p>Consolidated reports to be sent to DCAL</p>	MH	MH

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				Participation in local test exercises			SMT. Learning from test exercise disseminated with partners and lessons learned agreed.		
Previous	Month's Risk Rating:	H	H		H	H		H	H



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**Culture, Arts
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AN ROINN

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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (June Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: May Update

	Date of Completion
Last reviewed by Board/Director	22/05/12
Next review by Board/Director	26/06/12
Last reviewed by Audit Committee (if applicable)	29/05/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss and reputational damage to the Department</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2011/12 Resource Budget Allocation = £95.22m</p> <p>Total ALB 2011/12 Capital Budget Allocation = £18.23m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice. Greater focus is now being placed on monitoring and reporting against</p>	M	M	<p><u>The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes.</u></p> <p>The Sponsorship Forum met on Thursday, 26th Jan and the Perm Sec outlined on “new way of working” focussing on roles and responsibilities, being definite about what is required and holding Chairs and Boards to account. A “script” has been drafted and has been shared with staff for comment. This will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – June 2012)</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of Board TOR - to be completed</p>	M	L-M

				<p>business plan targets. Two Independent Board Members in place.</p> <p><u>A "script" has been drafted focusing on roles and responsibilities with the requirement for Chair and Boards to hold the Executive to account. The script has been shared with staff for comment.</u></p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011.</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals, ensuring the role of the Board is appropriately discharged.</p>			<p>alongside the Review of Effectiveness. Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p> <p><u>Draft revisions to QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13). Further work is progressing, following comments from Chairs at the Strategic Partnership Forum, on an associated assurance from Chairs and their attendance at accountability meetings. -and to require sign-off by both Chair and CEO, with attendance of Chair (or another board member) at accountability meetings.</u></p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p>Budgetary Implications:</p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>No Capital Budget Allocation</p>	H	M-H	<p>Company and Board now established. New CEO appointed. Corporate Governance and Accountability regime now in place and operational.</p> <p>Gateway review completed and recommendations substantially implemented.</p> <p>Procurement workshop held and procurement activity underway. High level procurement plan to be in place by July.</p> <p>Company Risk workshop held, and updated draft risk register produced. Department to meet the Company to refine the document.</p> <p>Three critical risks arise for DCAL:</p> <ol style="list-style-type: none"> Event delivery and management arrangements are in hand and deliverable Income and sponsorship generation targets are achieved 	M-H	M	<p>Focus moving to delivery, where key risks remains.</p> <p>Continued operation of accountability regime and assurance regarding progress.</p> <p>Quality Assurance team to be established by the Company.</p> <p>Treated and Residual Risk Ratings to be reviewed when independent assurance in place.</p> <p>Procurement plan in place by July</p> <p>Company holding a Risk Management Workshop on 18 May to identify the key threats to delivery. Board members asked to identify their 3 main priorities. DCAL rep identified the following.</p> <p>Resources — failure to meet targets</p> <p>Events Management — lack of assurance</p> <p>Benefits/Legacy — failure to achieve targets</p> <p>DCAL Risk Register to be updated after the</p>	M-H	L-M

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				<p><u>3. Benefits are realised.</u></p> <p>Audit and Risk Management Committee established, with Chair and independents. Meeting quarterly. Other key sub-committees in place. Monthly Accountability Meetings held with CEO and key staff.</p> <p>KPMG appointed as Internal Auditors on 30/11/11. PwC appointed as External Auditors in March 2012.</p> <p>Monthly Accountability Meetings held with CEO and Key Staff.</p> <p>Draft Programme & Resource Plans presented to and agreed by the 2013 WPCG Board on 10/11/11.</p> <p>2013 Branch & GSU reviewed Risk Rating in DCAL Corporate Risk Register based on assessment of the Programme Plan.</p> <p>DCAL Sponsorship Risk Assessment reviewed by Branch & GSU – risk rating reduced from High to Medium.</p> <p>Tailored Gateway Review complete. Amber/Red RAG rating. 6 recommendations identified; 4 'Critical' and 2 'Essential' within 4 weeks'. 2 for action by DCAL.</p> <p>"Residual Risk" rating has been</p>	<p>workshop</p> <p>(Mick Cory)</p>		
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				<p>reassessed following Gateway review; kept as is due to lack of final programme plan.</p> <p>Business Case Addendum approved by DFP on 27 March.</p> <p>Minister met Chair & CEO for 3rd Quarterly update on 8 May.</p> <p>Interim PM appointed on 27 February. Master Programme Plan and associated documentation issued to DCAL on 15 May. PM Regime in operation.</p>						
Previous Month's Risk Rating:			H	M-H		M-H	M		M-H	L-M

3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued – closes 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and</p>	M-L	M	<p>Analysis of Consultation responses on longer term arrangements required during summer 2012. Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan being developed for Ministerial agreement.</p> <p>Possible compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored?</p> <p>Possibility of legislation required?</p>	L-M	L

	Budget Allocation = £0.1m			<p>NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court</p>					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p>	M	L-M	<p>1. Follow up on Procurement Internal Audit review.</p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Issue was raised at Strategic Partnership Forum and a note will now issue to all ALBs. Share lessons learned through finance forum.</p> <p>Finance Forum to be arranged for end of <u>September</u> May 2012.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources.</p>	M	L

	Budget Allocation = £112.12m Total ALB / Department 2011/12 Capital Budget Allocation = £16.27m								
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives. <u>Budgetary Implications:</u> Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.	H	H	1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.	H	M	1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run).	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<u>Inherent risks associated with large capital projects of this nature, especially planning, procurement challenges and increases in project costs prevent the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</u> Budgetary Implications: Total 2012/13 Capital Budget Allocation = £20m (but subject to likely change to £7.6m on the outcome of	H	H	<u>Gateway 0 review recommendations agreed and implemented</u> <u>SIB engaged in programme assurance role</u> <u>A new Programme Director has been appointed and a Programme team is being put in place</u> <u>Procurement strategy agreed with CPD.</u> <u>Planning working group in place. Step by step plan developed for the IFA and GAA (rugby already has planning approval)</u>	H	H	<u>Realistic programme and project plans</u> <u>Benefits Realisation plans</u> <u>Plans for timings for Project and Programme Gateway reviews.</u> <u>Continued involvement with CPD during procurement stages.</u> <u>Continued close liaison with DoE Strategic Projects Division.</u> <u>Project-specific community engagement progressed.</u>	H	H

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	June monitoring)) Total Capital Budget Allocation over CSR period = £110m								
Previous Month's Risk Rating:		H	H		H	H		H	H

7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p><u>Running costs issue resolved.</u></p> <p><u>DFP have approved Management and Monitoring section of the business case</u></p> <p><u>Running costs of the Culture Company</u></p> <p>£1m pressure identified in DCC budget for running costs of the Culture Company.</p> <p><u>Business Case for Cultural Programme</u></p> <p>Final DFP approval pending for</p>	H	H	<p><u>Sponsorship – Partnership Manager appointed.</u></p> <p><u>Strategic Planning – Cultural Programme delivery profiles revised May 2012.</u></p> <p><u>Culture Co Capacity – Culture Co executive are highly skilled and are providing up to date and relevant information to the Board for approval. Series of sub committees have been set up to deal with specific issues – Finance, Audit, Legacy, Marketing.</u></p> <p><u>Venues – 80&81 business case submitted to DFP for approval. Vital Venue business case signed off by DFP, but not DSD Minister. Culture Co have provided additional information to assist DSD Minister's consideration of the case.</u></p> <p><u>Running costs – gap identified at PfG</u></p>	H	M - H	<p><u>Sponsorship – Prioritised list of events in development. Sponsorship event in London 19 June 2012.</u></p> <p><u>Strategic Planning – DRD IT Skillset to be sought to facilitate development of a Project Delivery Plan.</u></p> <p><u>Culture Co Capacity– SRO (Sharon O'Connor) has provided a standing agenda list for Culture Co Board including clarification on delegated limits for decision making to executive. Project Delivery Plan to be developed to manage executive capacity and business continuity. Poor relationships between Culture Co and DCC to be managed through regular (weekly and monthly) DCAL project meetings.</u></p> <p><u>Venues – SIB Project Manager to be appointed to assist delivery of 80&81 and Vital Venue. DSD Minister to provide approval fro Vital Venue business case.</u></p>	M - H	M - H

	<p><u>business case:</u></p> <p>DCAL Admin Costs</p> <p>DCAL requires up to £200k admin budget to deliver internal management and monitoring functions (Project Sponsor, Gateway, NISRA monitoring)</p> <p><u>Current red risks on project risk register:</u></p> <p><u>Likelihood of achieving Sponsorship target;</u> <u>Lack of Strategic Project Planning;</u> <u>Capacity of Culture Company and Board;</u> <u>Venues (80&81, Vital Venue).</u></p>			<p><u>Oversight Group meeting on 19/04/12. DCC developed a number of options for addressing the gap through changes to the Cultural Programme budget/ content—none of the options presented are acceptable to DCAL.</u></p> <p><u>Business case—Management and monitoring section submitted for DFP consideration on 11/05/12.</u></p> <p><u>DCAL Admin—£200k requirement flagged up to DFP.</u></p>			<p><u>Assignee: Joanna McConway</u></p> <p><u>Running costs—meeting between DCAL Perm Sec and DCC Town Clerk 16/05/12 to discuss issue.</u></p> <p><u>Business case—final approval of business case dependant on resolution of running costs issue. Letter of Offer in development.</u></p> <p><u>Assignee: Joanna McConway</u></p>		
Previous month's rating:	H	H		H	M-H		M-H	M-H	

8. Risk Owner: SMR Division - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of 2012 Olympic / Paralympic events	<p>Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism</p> <p>Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.</p>	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>DCAL operations hub – Torch relay and ‘Games Time’. Olympic Torch relay took place 2-7 June – no major incident and Hub operated successfully</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination in place with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ, NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers 	M	M	<p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>2012 NI Operations Plan in place around Torch Relay. Review and revision required in context of wider ‘Games Time’ arrangements.</p> <p>DCAL operational planning for remainder of Games s-hub planning-well advanced. Additional staff resources to be secured to support arrangements during Torch Relayremainder of Games.</p> <p>Immediate focus is on PGTC (SportNI led) and London 2012 Festival (ACNI led) events. Planning phase for Paralympics’ celebrations 25 August (DCAL led)</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI.</p> <p>Communications planning well advanced. Joint protocol document agreed with Government partners, OFMDFM; DOJ; NIO &</p>	M	M

				<p>Participation in London led desktop exercises and contingency arrangements. Participation in local test exercises</p> <p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>2012 NI Operations Plan in place around Torch Relay. Review and revision required in context of wider 'Games Time' arrangements</p>			<p>PSNI.</p> <p>Reporting into M.I.G commenced 17th May 2012. Continue through to end of 'Games Time' (10 Sept 2012).</p> <p>Consolidated reports to be sent to DCAL SMT.</p> <p>Learning from test exercise disseminated with partners and lessons learned agreed.</p> <p>2012 GLU participating in a number of de-brief events with partners - Lessons learned report to be finalised and shared with WPF / City of Culture.</p>		
Previous Month's Risk Rating:		H H	H H		H	H		H	H



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AN ROINN

**Cultúr, Ealaíon
agus Fóillíochta**

MÁNNYSTRIE O

**Fowkgates, Airts
an Aisedom**

文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (August Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: August Update

	Date of Completion
Last reviewed by Board/Director	26/06/12
Next review by Board/Director	7/8/12
Last reviewed by Audit Committee (if applicable)	29/05/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	Inadequate governance controls in the Department and its ALBs leads to financial loss, <u>non-achievement of objectives</u> and reputational damage to the Department. <u>Greater focus is now being placed on monitoring and reporting against business plan targets.</u> <u>Two Independent Board Members in place.</u> - Budgetary	M-H	M-H	Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice. <u>Greater focus is now being placed on monitoring and reporting against</u>	M	M	The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. Remaining ALB risk assessments to be completed (Sinead McCartan – September <u>June</u> 2012) <u>Risk assessment process has been reviewed and updated and will be rolled out to ALBs to reassess risk ratings.</u> DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.	M	L-M

	<p>implications:</p> <p>Total ALB 2011/12 Resource Budget Allocation = £95.22m</p> <p>Total ALB 2011/12 Capital Budget Allocation = £18.23m</p>			<p>business plan targets. Two Independent Board Members in place.</p> <p>A "script" has been drafted focusing on roles and responsibilities with the requirement for Chair and Boards to hold the Executive to account. The script has been shared with staff for comment.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. Further work is progressing, following comments from Chairs at the Strategic Partnership Forum, on an associated assurance from Chairs and their attendance at accountability meetings.</p> <p>However there are timing issues which may prevent the clearance of QAS by Audit Committees and Boards. The Department is reviewing this to try to streamline and better align the process with ALB regarding timelines.</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p><u>Budgetary Implications:</u></p> <p>WPFG 2011/12 Resource Budget Allocation = £1.14m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p><u>DCAL has also agreed to try to</u></p>	H	M-H	<p>Company and Board now established. New CEO appointed. Corporate Governance and Accountability regime now in place and operational.</p> <p>Gateway review completed and recommendations substantially implemented.</p> <p>Procurement workshop held and procurement activity underway. High level procurement plan to be in place by July.</p> <p>Company Risk workshop held, and updated draft risk register produced. Department to meet the Company to refine the document.</p> <p>Three critical risks arise for DCAL:</p> <ol style="list-style-type: none"> 1. Event delivery and management arrangements are in hand and deliverable 2. Income and sponsorship generation targets are achieved 	M-H	M	<p><u>Internal Auditors have given a Limited Assurance in respect of a review of Programme Planning as only 3 of the 6 milestone in March 2012 were completed and the milestone plan does not link dependent activities.</u></p> <p><u>Additional ARC meeting to be scheduled for end of August to clear Internal & External Audit Reports for 2011/12 to enable laying of accounts before the 15 November deadline.</u></p> <p><u>Deloitte to finalise a review of Accommodation in August 2012 to give a definitive bottom line position in respect of bed capacity.</u></p> <p><u>Further Gateway Review to take place in September.</u></p> <p><u>Quality Assurance Team to be established to include a representative from BCC, Sport NI and Commonwealth Games Delivery Team. TOR being drafted.</u></p> <p><u>Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's</u></p>	M-H	L-M

<p><u>manage a potential pressure of £843k as part of the BC Addendum process.</u></p> <p>No Capital Budget Allocation</p>				<p>3. Benefits are realised.</p> <p><u>—High Level Procurement Plan completed in July 2012.</u></p> <p><u>HMRC has given an interim ruling on the VAT liability, i.e. Company able to reclaim 40% of VAT liability, which should assist financial profiling.</u></p>		<p><u>comments.</u></p> <p><u>HMRC has given a provisional view on the VAT amount, which may give rise to a liability post games. This figure will be quantified.</u></p> <p><u>A paper setting out how social objectives of the Games will be met submitted to DCAL. A response to issue highlighting Minister's requirements in respect of 'social clauses' in procurement documentation and demonstrable benefit in areas of social need.</u></p> <p><u>Focus moving to delivery, where key risks remains.</u></p> <p><u>Quality Assurance team to be established by the Company.</u></p> <p><u>Treated and Residual Risk Ratings to remain unchanged given concerns around Programme Plan, Procurement and Accommodation and uncertainties around Sponsorship income and VAT liability. be reviewed when independent assurance in place.</u></p> <p><u>Procurement plan in place by July</u></p> <p>(Mick Cory)</p>				
Previous Month's Risk Rating:				H	M-H		M-H	M	M-H	L-M

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3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2011/12 Resource Budget Allocation = £5.12m</p> <p>Inland Fisheries 2011/12 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued – closes 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and</p>	M-L	M	<p>Analysis of consultation responses required during summer 2012. Consider phase out mixed stock salmon fisheries in line with NASCO obligations.</p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required - subject to consultation. Ministerial approval required - Action plan being developed for Ministerial agreement.</p> <p>Possible compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored?</p> <p>Possibility of legislation required?</p>	L-M	L

	Budget Allocation = £0.1m			<p>NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court</p>					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2011/12 Resource</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p>	M	L-M	<p>1. Follow up on Procurement Internal Audit review. The review has commenced and findings are due by 20th August 2012.</p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Issue was raised at Strategic Partnership Forum and a note will now issue to all ALBs.</p> <p>Finance Forum to be arranged for end of September 2012.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources.</p>	M	L

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	Budget Allocation = £112.12m Total ALB / Department 2011/12 Capital Budget Allocation = £16.27m								
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p><u>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid.</u></p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

6. Strategic Goal : Stadium Delivery										
Risk Owner: Sport Division – Colin Watson										
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
		Imp	Like		Imp	Like		Imp	Like	
Delivery of three regional stadiums within current CSR	<p>Inherent risks associated with large capital projects of this nature, especially: planning, procurement challenges and increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p>Budgetary Implications:</p> <p>Total 2012/13 Capital Budget Allocation = £20m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>SIB engaged in programme assurance role</p> <p>A new Programme Director has been appointed and a Programme team is being put in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Planning working group in place. Step by step plan developed for the IFA and GAA (rugby already has planning approval)</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Plans for timings for Project and Programme Gateway reviews.</p> <p>Continued involvement with CPD during procurement stages.</p> <p><u>GAA considering additional resources within their project team.</u></p> <p>Continued close liaison with DoE Strategic Projects Division.</p> <p><u>Consideration of a one-off fixture in October 2012 to facilitate planning surveys.</u></p> <p>Project-specific community engagement progressed.</p> <p><u>Contracts workshops for each project to mitigate risk of low tender submissions.</u></p>	H	H	

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	<p>(but subject to likely change to £7.6m on the outcome of June monitoring))</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>								
Previous Month's Risk Rating:		H	H			H	H		

7. Strategic Goal : City of Culture													
Risk Owner: Culture Division - Arthur Scott													
Business Area Objective		Threat/Budgetary Implications		Inherent Risk		How risk is currently managed		Residual Risk		Action Plan (including assignee and completion date)		Treated Risk	
				Imp	Like			Imp	Like			Imp	Like
CITY OF CULTURE		<p>Current red risks on project risk register:</p> <p>Failure to achieve sponsorship and other income targets, leading to reduction in programme activity and failure to achieve benefits.</p> <p>Failure to adequately strategically plan the project, leading to loss of value for money, poorly executed project, failure to deliver benefits.</p> <p>Insufficient capacity</p>	<p><u>H</u></p> <p>RED</p> <p><u>H</u></p>	<p><u>H</u></p> <p>RED</p> <p><u>H</u></p>	<p>Income targets – Monthly income target profiles to be updated and scrutinised at DCAL Oversight Group Meetings. Monthly.</p> <p>Strategic Planning – Cultural Programme reviewed and prioritised by Graeme Farrow July 2012. £2.5m of activity has been designated low priority (ie will not have a significant impact on benefits realisation targets if it does not go ahead).</p> <p>Accountability: Sub committees set up to deal with specific issues – Finance, Audit, Legacy, Marketing. Terms of Reference finalised for Finance Committee who will approve all payments up to £100k. (Culture Co Exec delegated limit £25k).</p> <p>Venues – SIB Project Manager in</p>	<p><u>H</u></p> <p>RED</p> <p><u>H</u></p>	<p><u>M - H</u></p> <p>RED</p> <p><u>M - H</u></p>	<p>Income targets:</p> <p>Strategic: Letter of Offer, Project Delivery Plan, Benefits Realisation and individual project plans to be completed by 31 July 2012 by Culture Company.</p> <p>Artifax project management system for events to be procured and installed and a member of staff recruited to populate the system with detailed actions for each project. by September 2012 by Culture Company</p> <p>Accountability: DCAL to nominate a rep for the Culture Company Finance Committee. End of July 2012 - Arthur Scott.</p> <p>Drawdown process to be finalised and agreed by end of July by DCC/ DCAL.</p> <p>Gateway Review to be commissioned by</p>	<p><u>M - H</u></p> <p>RED</p> <p><u>M - H</u></p>	<p><u>M - H</u></p> <p>RED</p> <p><u>M - H</u></p>			

	<p>within Culture Company Board and Executive to manage governance and accountability requirements, leading to loss of value for money and reputational damage.</p> <p>Failure to deliver venues on time or to required standard (80&81, Vital Venue), leading to reduction in programme activity and failure to achieve benefits.</p> <p>Risk Owner: Arthur Scott Running costs issue resolved.</p> <p>DFP have approved Management and Monitoring section of the business case DCAL Admin Costs</p>			<p><u>post.</u></p> <p><u>Vital Venue tenders received – over budget. No events management strategy/ box office services to manage bookings after Cultural Programme launch in September 2012.</u></p> <p><u>80&81 – Tate team visited site in July 2012. Raised concerns re landscaping around building and look&feel of site and need for IT generated visual run-through of planned final building and surroundings by 1 Sept.</u></p> <p><u>Sponsorship—Partnership Manager appointed;</u></p> <p><u>Strategic Planning—Cultural Programme delivery profiles revised May 2012.</u></p> <p><u>Culture Co-Capacity—Culture Co executive are highly skilled and are providing up to date and relevant information to the Board for approval. Series of sub committees have been set up to deal with specific issues— Finance, Audit, Legacy, Marketing.</u></p> <p><u>Venues—80&81 business case submitted to DFP for approval. Vital</u></p>			<p><u>DCAL (funded by SIB). Business case fro Ministerial approval to be prepared by end of July 2012 by Joanna McConway.</u></p> <p><u>Staffing levels in Culture Co to be considered in context of Lessons Learnt from Peace One Day and Clipper by end July 2012 by Culture Co/ DCC/ DCAL.</u></p> <p><u>Venues – Vital Venue events strategy to be developed and a request for expressions of interest to be issued by end of July by Culture Company.</u></p> <p><u>Vital Venue box office to be in place to manage bookings - by end of August by Culture Co.</u></p> <p><u>80&81 – Gallery architect to be procured to develop soft landscaping by 1 September 2012 by Ilex (may transfer to Culture Co to commission).</u></p> <p><u>List of Culture Company requirements of Ilex to be finalised (evaluation and monitoring, landscaping at Ebrington, etc) to be finalised to accompany Ilex/ Culture Co MoUs on Monitoring and Evaluation and Venues by end July 2012 by Culture Co.</u></p> <p><u>Assignee: Joanna McConway</u></p> <p><u>Sponsorship—Prioritised list of events in development. Sponsorship event in London 19 June 2012.</u></p>		
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		<p>DCAL requires up to £200k admin budget to deliver internal management and monitoring functions (Project Sponsor, Gateway, NISRA monitoring)</p> <p>Current red risks on project risk register:</p> <p>Likelihood of achieving Sponsorship target; Lack of Strategic Project Planning; Capacity of Culture Company and Board; Venues (80&81, Vital Venue).</p>			<p>Venue business case signed off by DFP, but not DSD Minister. Culture Co have provided additional information to assist DSD Minister's consideration of the case.</p>			<p>Strategic Planning— DRD IT Skillset to be sought to facilitate development of a Project Delivery Plan.</p> <p>Culture Co Capacity— SRO (Sharon O'Connor) has provided a standing agenda list for Culture Co Board including clarification on delegated limits for decision making to executive. Project Delivery Plan to be developed to manage executive capacity and business continuity. Poor relationships between Culture Co and DCC to be managed through regular (weekly and monthly) DCAL project meetings.</p> <p>Venues — SIB Project Manager to be appointed to assist delivery of 80&81 and Vital Venue. DSD Minister to provide approval for Vital Venue business case.</p> <p>Assignee: Joanna McConway</p>		
Previous month's rating:			H	H		H	M-H		M-H	M-H

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8. Risk Owner: SMR Division - Mick Cory										
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
		Imp	Like		Imp	Like		Imp	Like	
Delivery of 2012 Olympic / Paralympic events	<p>Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism</p> <p>Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.</p>	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>DCAL operations hub – Torch relay and ‘Games Time’. Olympic Torch relay took place 2-7 June – no major incident and Hub operated successfully</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination in place with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ, NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers 	M	ML	<p>DCAL operational planning for remainder of Games well advanced. Additional staff resources to be secured to support arrangements during remainder of Games.</p> <p>Immediate focus is on PGTC (SportNI led) and London 2012 Festival (ACNI led) events. Planning phase for Paralympics’ celebrations 25 August (DCAL led) and remaining Ministerial engagements.</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI. Reporting into M.I.G commenced 17th May 2012. Continue through to end of ‘Games Time’ (10 Sept 2012).</p> <p>Consolidated reports to be sent to DCAL SMT.</p> <p>Learning from test exercise disseminated with partners and lessons learned agreed.</p>	M	ML	

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				<p>Participation in London led desktop exercises and contingency arrangements. Participation in local test exercises</p> <p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p><u>DCAL operational planning for remainder of Games well advanced. Additional staff support made available from 2013 WPFGB Branch to support arrangements during remainder of Games.</u></p> <p><u>Reporting into M.I.G commenced 17th May 2012. Continue through to end of 'Games Time' (10 Sept 2012). Consolidated reports to be sent to DCAL SMT.</u></p> <p><u>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI. Learning from test exercise disseminated with partners and lessons learned agreed.</u></p> <p><u>2012 GLU participating in a number of de-brief events with partners - Lessons learned report to be finalised</u></p>			<p><u>2012 GLU participating in a number of de-brief events with partners - Lessons learned report to be finalised and shared with WPFGB / City of Culture.</u></p>		
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				and shared with WPKG / City of Culture.					
Previous	Month's Risk Rating:	H H	H H		HM	HL		HM	HM -

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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (September Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: September Update

	Date of Completion
Last reviewed by Board/Director	7/8/12
Next review by Board/Director	18/9/12
Last reviewed by Audit Committee (if applicable)	13/09/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department. <i>Greater focus is now being placed on monitoring and reporting against business plan targets. Two independent Board Members in place.</i> <u>Budgetary implications:</u> Total ALB	M-H	M-H	Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.	M	M	The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. Remaining ALB risk assessments to be completed (Sinead McCartan – October 2012) Risk assessment process has been reviewed and updated and will be rolled out to ALBs to reassess risk ratings. DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual. <i>Emerging findings in the review of SNI are</i>	M	L-M

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	<p>20124/132 Resource Budget Allocation = £95.22m86.94m</p> <p>Total ALB 20124/132 Capital Budget Allocation = £48.23m13.49m</p>			<p><u>Greater focus is now being placed on monitoring and reporting against business plan targets.</u> <u>Two Independent Board Members in place.</u></p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p><u>now being addressed through a Governance Review by CIPFA which is due to report at the end of September.</u></p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>However there are timing issues which may prevent the clearance of QAS by Audit Committees and Boards. The Department is reviewing this to try to streamline and better align the process with ALB regarding timelines.</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £1.9544m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m</p> <p>DCAL has also</p>	H	M-H	<p>Company and Board wellnow established. NewCEO in placeappointed. Corporate Governance and Accountability regime now-in place and operational.</p> <p>Gateway review completed and all recommendations substantially implemented.</p> <p>Procurement workshop held and procurement activity underway.</p> <p>High level procurement plan to be in place. by July.</p> <p>Company Risk workshop held, and updated draft risk register produced. Department to meet the Company to refine the document.DCAL have provided comments on the risk register and the WPFG Board have discussed and agreed it.</p> <p>Internal Auditors (KPMG) have given a Satisfactory Assurance in respect of</p>	M-H	L-M	<p>Internal Auditors (KPMG) have given a Satisfactory Limited Assurance in respect of the Year End Report against the Audit Plan for 2011/12.</p> <p>External Auditors (PwC) have given an unqualified audit opinion in relation the Company's 11/12 Accounts. review of Programme Planning as only 3 of the 6 milestone in March 2012 were completed and the milestone plan does not link dependent activities.</p> <p>2013 WPFG Additional ARC meeting to be scheduled for end of August to clear agreed the Internal & External Audit Reports for 2011/12 on 4 September. 2013 WPFG Annual Report & Accounts also agreed subject to some minor amendments. These will be sent for WPFG Board approval on 20 September to enable laying of accounts before the 15 November deadline.</p> <p>Deloitte to finalise a review of Accommodation in August 2012 to give a definitive bottom line position in respect of bed capacity. The</p>	M-H	L-M

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		<p>agreed to try to manage a potential pressure of £843k as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p><u>the Year End Report against the Audit Plan for 2011/12.</u></p> <p><u>External Auditors (PwC) have given an unqualified audit opinion in relation the Company's 11/12 Accounts.</u></p> <p><u>2013 WPFGR ARC agreed the Internal & External Audit Reports for 2011/12 on 4 September. 2013 WPFGR Annual Report & Accounts also agreed subject to some minor amendments. These will be sent for WPFGR Board approval on 20 September.</u></p> <p>Three critical risks arise for DCAL:</p> <ol style="list-style-type: none"> 1. Event delivery and management arrangements are in hand and deliverable 2. Income and sponsorship generation targets are achieved 3. Benefits are realised. <p><u>High Level Procurement Plan completed in July 2012.</u></p> <p>HMRC has given an interim ruling on the VAT liability, i.e. Company able to reclaim 40% of VAT liability, which should assist financial profiling.</p> <p><u>Current position on sponsorship is that a total of £1.024m (Cash + Benefit in Kind) has been secured or is at an advanced stage. Target is</u></p>			<p><u>Company is working with BVCB & Deloitte to determine the accommodation capacity. Recent update shows that there is capacity for 9,200 athletes currently. Company to review in October and consider capping competitor numbers, or further strategy to manage Accommodation risk.</u></p> <p>Further Gateway Review to take place in <u>October. DCAL officials will be interviewed. September.</u></p> <p><u>Management of DCAL identified critical risks are as follows:</u></p> <ol style="list-style-type: none"> 1. <u>Quality Assurance Team to be has been established. Membership will change dependent on the Team's focus.</u> 2. <u>Progress on sponsorship and other income monitored on a monthly basis at Accountability meetings. Company contingency arrangements to be monitored if income does not materialise</u> 3-2. <u>4.</u> 3. <u>Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</u> <p>HMRC has given a provisional view on the VAT amount, which may give rise to a liability post games. <u>This figure will be quantified. KPMG assisting the Company to prepare a paper on VAT.</u></p>		
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				£1.4m.			<p>A paper setting out <u>out</u> out how social objectives of the Games will be met submitted to DCAL. A response to issue highlighting Minister's requirements in respect of 'social clauses' in procurement documentation and demonstrable benefit in areas of social need. <u>the wider social benefits of the Games is being prepared by the Company.</u></p> <p>Treated and <u>Rating of likelihood of Residual Risk lowered to low-medium, given progress made to date. Overall rating still now amber. Treated risk</u> ratings remains unchanged, to ensure level of awareness and vigilance on these risks remain high. given concerns around Programme Plan, Procurement and Accommodation and uncertainties around Sponsorship income and VAT liability.</p> <p>(Mick Cory)</p>			
Previous Month's Risk Rating:			H	M-H		M-H	M		M-H	L-M

3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2012/13 Resource Budget Allocation = £5.42m4.975m</p> <p>Inland Fisheries</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued – closes 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and</p>	M-L	M	<p>Analysis of consultation responses <u>required undertaken</u> during summer 2012. <u>Consider Ministerial approval for approach to be sought</u> (phase out mixed stock salmon fisheries in line with NASCO obligations.) <u>Further steps proposed to control recreational fisheries as well.</u></p> <p>Review salmon plan to ensure full compliance.</p> <p>Further steps to control recreational fisheries will be required—subject to consultation. Ministerial approval required—Action plan being developed for Ministerial agreement.</p> <p>Possible compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored.</p> <p>Possibility of legislation required?</p> <p><u>New G7 Admin and Policy in place. Recruitment of CFO underway.</u></p>	L-M	L

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	<p>2012/13 Capital Budget Allocation = £0.4874m</p>			<p>NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court</p>					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p>Budgetary Implications:</p> <p>Total ALB / Department 2012/132</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p>	M	L-M	<p>1. Follow up on Procurement Internal Audit review. The review has commenced <u>and IA are reviewing the and findings are due by 20th August 2012.</u></p> <p>2. Engage with NDPBs and internal business areas on improvement in forecasting capability so that risk of underspend/ overspend is minimised. Issue was raised at Strategic Partnership Forum and a note will now issue to all ALBs.</p> <p>2. Finance Forum has now been arranged for 3rd October and agenda items are being agreed with ALBs to be arranged for end of September 2012.</p> <p>Improve financial reporting to the board which focuses on key risks and recommends action to ensure effective management of the resources.</p>	M	L

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<p> </p> <p> </p> <p> </p>	<p>Resource Budget Allocation = £112.12m £116.04m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation = £16.27m £21.37m</p>								
<p>Previous Month's Risk Rating:</p>		<p>M-H</p>	<p>M-H</p>		<p>M</p>	<p>M</p>		<p>M</p>	<p>L-M</p>

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan.</p> <p>2. Emergency Plan.</p> <p>3. Flu Pandemic Plan.</p>	H	M	<p>1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas.</p> <p>2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run).</p> <p>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. <u>Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing.</u></p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

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6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially; planning, procurement challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2012/13 Capital Budget Allocation =</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>SIB engaged in programme assurance role</p> <p>A new Programme Director has been appointed and a Programme team is being put in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Planning working group in place. Step by step plan developed for the IFA and GAA (rugby already has planning approval)</p> <p>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Plans for timings forFurther -Project and Programme Gateway reviews <u>being scheduled</u>.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>GAA considering additional resources within their project team.</p> <p>Continued close liaison with DoE Strategic Projects Division <u>on Planning</u>.</p> <p>Consideration of a one-off fixture in October<u>November</u> 2012 to facilitate planning surveys.</p> <p>Project-specific community engagement progressed.</p> <p>Contracts workshops for each project to</p>	H	M

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	<p>£207.5m (but subject to likely change to £7.6m on the outcome of June monitoring))</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>					<p>mitigate risk of low tender submissions.</p> <p><u>Revised budget allocations to be secured through monitoring rounds in light of updated profile spend.</u></p> <p><u>ICT Teams to review costings</u></p> <p><u>Ongoing review of Optimism Bias</u></p>			
Previous Month's Risk Rating:		H	H		H	H		H	H

7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>Current red risks on project risk register:</p> <p>Failure to achieve sponsorship and other income targets, leading to reduction in programme activity and failure to achieve benefits.</p> <p>Failure to adequately strategically plan the project, leading to loss of value for money, poorly executed project, failure to deliver benefits.</p> <p>Insufficient capacity</p>	H	H	<p>Income targets – Monthly income target table established profiles to be updated and scrutinised at DCAL Oversight Group Meetings. <u>Monthly.</u></p> <p><u>Culture Co continue to engage sponsors and funders.</u></p> <p>Strategic Planning – Cultural Programme reviewed and prioritised by Graeme Farrow July 2012. £2.5m of activity has been designated low priority (ie will not have a significant impact on benefits realisation targets if it does not go ahead).</p> <p><u>DCAL oversight Group meeting 4 September 2012 agreed need for project planning resource to assist Culture Co.</u></p> <p><u>Marketing tender agreed (for</u></p>	H	M - H	<p>Income targets:</p> <p>Strategic: Letter of Offer draft; Project Delivery Plan for CoC, Benefits Realisation and individual project plans to <u>be developed in the interim by Joanna Mc Conway, CC and DCC be completed by 31 July 2012 by Culture Company. – September 2012</u></p> <p><u>Perm Sec to meet OFMDFM SRO to discuss project delivery concerns 11/9/12.</u></p> <p><u>Project planner to be appointed to develop an overall project plan for the CoC and assist in managing delivery.</u></p> <p>Artifax project management system for events</p>	M - H	M - H
		RED	RED		RED	RED		RED	RED

		<p>within Culture Company Board and Executive to manage governance and accountability requirements, leading to loss of value for money and reputational damage.</p> <p>Failure to deliver venues on time or to required standard (80&81, Vital Venue), leading to reduction in programme activity and failure to achieve benefits.</p> <p>Risk Owner: Arthur Scott</p>			<p><u>advertisement in OJEU) to procure resource with appropriate skillset and resources for local, national and international promotion of Cultural Programme.</u></p> <p>Accountability: <u>Sub committees set up to deal with specific issues— Finance, Audit, Legacy, Marketing. Terms of Reference finalised for Finance Committee who will approve all payments up to £100k. (Culture Co Exec delegated limit £25k).</u></p> <p><u>DCAL Letter of Offer signed 4 September 2012.</u></p> <p><u>CPD workshop held on 7 SEptmebr 2012. Number of sourcing/ procurement issued identified. LoO requires amendment to provide clarity.</u></p> <p><u>Venues — SIB Project Manager in post.</u></p> <p><u>Vital Venue tenders received — over budget. No events management strategy/ box office services to</u></p>			<p><u>to be procured and installed and a member of staff recruited to populate the system with detailed actions for each project. by end September 2012 by Culture Company</u></p> <p>Accountability: <u>DCAL to nominate a rep for the Culture Company Finance Committee. End of July 2012 - Arthur Scott. Fiona Hamill has advised that DCAL should not nominate a rep for CC Finance Committe, but should instead ensure robust governance processes.</u></p> <p>Drawdown process <u>to be finalised and agreed First drawdown of funds October 2012. by end of July by DCC/ DCAL.</u></p> <p>Gateway Review to be commissioned <u>and funded by DCAL (funded by SIB). Business case submitted for Ministerial approval for Ministerial approval to be prepared by end of July 2012 by Joanna McConway.</u></p> <p>Staffing levels in Culture Co <u>reviewed by CC and then considered by DCAL and DCC to be considered in context of Lessons Learnt from Peace One Day and Clipper by end July 2012 by Culture Co/ DCC/ DCAL.</u></p> <p>Venues –</p> <p><u>Culture Co role for additional Essential Venue events (outside Cultural Programme) to be agreed – DSD, September 2012. Vital Venue</u></p>		
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				<p>manage bookings after Cultural Programme launch in September 2012.</p> <p>Now referred to as Essential Venue following challenge by Tennants Vital.</p> <p>Essential Venue on track for construction completion December 2012.</p> <p>Ilex will procure and manage a Venue Operator who will provide a box office and O&M of the venue.</p> <p>80&81 – <u>On track for completion August 2013.</u> Tate team visited site in July 2012. Raised concerns re landscaping around building and look&feel of site and need for IT generated visual run-through of planned final building and surroundings by 1 Sept. <u>DCC have assigned a senior staff member to develop legacy and benefits realisation plans.</u></p>			<p>events strategy to be developed and a request for expressions of interest to be issued <u>by end of July by Culture Company.</u></p> <p>Vital Venue box office to be in place to manage bookings – <u>by end of August by Culture Co.</u></p> <p>80&81 – Culture Co to procure a team to manage 80&81 needs in line with Tate requirements.</p> <p>Gallery architect to be procured to develop soft landscaping <u>by 1 September 2012 by Ilex</u> (may transfer to Culture Co to commission).</p> <p>List of Culture Company requirements of Ilex to be finalised (evaluation and monitoring, landscaping at Ebrington, etc) to be finalised to accompany Ilex/ Culture Co MoUs on Monitoring and Evaluation and Venues <u>by end July-September 2012 by Culture Co.</u></p> <p>Assignee: Joanna McConway</p>			
Previous month's rating:		H	H			H	M-H		M-H	M-H

8. Risk Owner: SMR Division - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of 2012 Olympic / Paralympic events	<p>Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism</p> <p>Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.</p>	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>DCAL operations hub – Torch relay and ‘Games Time’. Olympic Torch relay took place 2-7 June – no major incident and Hub operated successfully</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination in place with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ,NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers 	M	L	<p>Planning phase for Paralympics' celebrations 25 August (DCAL led) and remaining Ministerial engagements.</p> <p>ALL ACTIONS COMPLETE</p> <p>RECOMMEND REMOVAL OF THIS RISK FROM RISK REGISTER.</p>	M	L

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					<p><u>Planning phase for Paralympics' celebrations 25 August and Closing Ceremony / Homecomings now completed (DCAL led) and remaining Ministerial engagements.</u></p> <p>Participation in London led desktop exercises and contingency arrangements. Participation in local test exercises</p> <p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>DCAL operational planning for remainder of Games well advanced. Additional staff support made available from 2013 WPFGB Branch to support arrangements during remainder of Games.</p> <p>Reporting into M.I.G commenced 17th May 2012. Continue through to end of 'Games Time' (10 Sept 2012). Consolidated reports to be sent to DCAL SMT.</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI.</p>					
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				Learning from test exercise disseminated with partners and lessons learned agreed. 2012 GLU participating in a number of de-brief events with partners - Lessons learned report to be finalised and shared with WPFG / City of Culture.					
Previous	Month's Risk Rating:	H H	H H		M	L		M	M

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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (October Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: October Update

	Date of Completion
Last reviewed by Board/Director	18/9/12
Next review by Board/Director	23/10/12
Last reviewed by Audit Committee (if applicable)	13/09/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2012/13 Resource Budget Allocation = £86.94m</p> <p>Total ALB 2012/13 Capital Budget Allocation = £13.49m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p>	M	M	<p>The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan – October November 2012)</p> <p>Risk assessment process has been reviewed and updated and will be has been rolled out to ALBs to reassess risk ratings.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual.</p>	M	L-M

			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings.</p> <p><u>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</u></p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA which is due to report at the end of September. A draft report has been received by the Department and comments provided.</p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>However there are timing issues which may prevent the clearance of QAS by Audit Committees and Boards. The Department is reviewing this to try to streamline and better align the process with ALB regarding timelines.</p>		
Previous Month's Risk Rating:		M-H	M-H	M	M	M	L-M	

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p><u>Games are delivered on-time, to budget, and benefits are realised.</u></p> <p>Inadequate oversight of the WPFG Company and assurance that delivery of the games is on schedule prevents the realisation of benefits from the World Police and Fire Games.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £1.95m</p> <p>WPFG Resource</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational.</p> <p>Gateway operational. Gateway review completed and all recommendations implemented.</p> <p>Procurement workshop held and procurement activity underway.</p> <p>High level procurement plan in place.</p> <p>Company Risk workshop held, and updated draft risk register produced. DCAL have provided comments on the risk in lace. register and the WPFG Board have discussed and agreed it.</p> <p>Internal Auditors (KPMG) have given a Satisfactory Assurance in respect of the Year End Report against the Audit Plan for 2011/12.</p>	M-H	L-M	<p>The Company is working with BVCB & Deloitte to determine the accommodation capacity. Recent update shows that there is capacity for 9,200 athletes currently. Company to review in October and consider capping competitor numbers, or further strategy to manage Accommodation risk.</p> <p>Further Gateway Review to take place in October. DCAL officials will be interviewed.</p> <p>Management of DCAL identified critical risks are as follows:</p> <p>1. <u>Accommodation - The Company is working with BVCB & Deloitte to determine the accommodation capacity. Recent update shows that there is capacity for 9,200 athletes currently. Company to review in October and consider capping competitor numbers, or further strategy to manage Accommodation risk</u></p> <p>4.2. <u>Event Delivery - Quality Assurance Team has been established.</u></p>	M-H	L-M

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		<p>Budget Allocation over CSR period = £6.040m.</p> <p><u>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</u></p> <p>DCAL has also agreed to try to manage a potential pressure of £843k as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p>External Auditors (PwC) have given an unqualified audit opinion in relation to the Company's 11/12 Accounts.</p> <p>2013 WPFEG ARC agreed the Internal & External Audit Reports for 2011/12 on 4 September. 2013 WPFEG Annual Report & Accounts also agreed subject to some minor amendments. These will be sent for WPFEG Board approval on 20 September.</p> <p>Further Gateway Review completed in October. Confirms focus should be on delivery.</p> <p>Three eCritical areas of risk managements arise for DCAL:</p> <ol style="list-style-type: none"> 1. There is sufficient accommodation capacity in NI; 2. Event delivery and management arrangements are in hand and deliverable; 3. Income and sponsorship generation targets are achieved; 4. Benefits are realised; <p>HMRC has given an interim ruling on the VAT liability, i.e. Company able to reclaim 40% of VAT liability, which should assist financial profiling.</p>			<p>Membership will change dependent on the Team's focus.</p> <p>2.3. Income - Progress on sponsorship and other income monitored on a monthly basis at Accountability meetings. Company contingency arrangements to be monitored if income does not materialise</p> <p>3.4. Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>HMRC has given a provisional view on the VAT amount, which may give rise to a liability post games. KPMG assisting the Company to prepare a paper on VAT.</p> <p>A paper setting out the wider social benefits of the Games is being prepared by the Company.</p> <p>Impact Rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk lowered to low-medium, given progress made to date. Overall rating still now amber. Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high. ...</p> <p>(Mick Cory)</p>		
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DC1 12 73717 Risk Register - October Update 2012

				Current position on sponsorship is that a total of £1.024m (Cash + Benefit in Kind) has been secured or is at an advanced stage. Target is £1.4m.				
Previous Month's Risk Rating:		H	M-H		M-H	M		M-H L-M

DC1 12 73717 Risk Register - October Update 2012

3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2012/13 Resource Budget Allocation = £4.975m</p> <p>Inland Fisheries 2012/13 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued – closes 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing.</p> <p>Legal advice received on issuing of and revocation of licences.</p> <p>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</p> <p>Introduced voluntary measures for 2012 Season – Commercial and recreational game fisheries to ensure compliance with EU Directives and</p>	M-L	M	<p>Analysis of consultation responses undertaken during summer 2012. Ministerial approval for approach to be sought (phase out mixed stock salmon fisheries in line with NASCO obligations.) Further steps proposed to control recreational fisheries as well.</p> <p>Review salmon plan to ensure full compliance.</p> <p><u>Possibility of legislation required?</u></p> <p><u>Possible eCompensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 being explored approved by DFP – awaiting legal advice.</u></p> <p><u>Possibility of legislation required?</u></p> <p><u>New G7 Admin and Policy in place. Recruitment of CFO underway completed.</u></p>	L-M	L

DC1 12 73717 Risk Register - October Update 2012

	Budget Allocation = £0.487m			<p>NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court.</p> <p><u>DFP has approved business case to compensate Fishermen. Awaiting legal advice.</u></p> <p><u>New G7 Admin and Policy in place.</u></p>					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/ or reduced requirements identified too late for effective redeployment.</p> <p>Budgetary Implications:</p> <p>Total ALB / Department 2012/13 Resource</p>	M-H	M-H	<p>1. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of deminimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p> <p><u>5. Finance Forum was held on 3rd Oct (agenda attached). The subjects were well received and generated good discussion, which helped clarify a number of issues.</u></p>	M	L-M	<p>1. Follow up on Procurement Internal Audit review. <u>IA is now drafting its report. The review has commenced and IA are reviewing the findings. [DN: Check]</u></p> <p>2. Finance Forum has now been arranged for 3rd October and agenda items are being agreed with ALBs.</p>	M	L

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DC1 12 73717 Risk Register - October Update 2012

	Budget Allocation = £116.04m Total ALB / Department 2012/13 Capital Budget Allocation = £21.37m								
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M	

DC1 12 73717 Risk Register - October Update 2012

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing].</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially; planning, procurement challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2012/13 Capital Budget Allocation = £7.5m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Planning working group in place. Step by step plan developed for the IFA and GAA (rugby already has planning approval)</p> <p>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p><u>Recommendations arising from Further Project health checks/ Gateway Review and Programme Gateway 0a #Reviews being scheduled-implemented</u></p> <p>Continued involvement with CPD during procurement stages.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning .</p> <p>One-off fixture in November 2012 to facilitate planning surveys.</p> <p>Project-specific community engagement progressed.</p> <p>Contracts workshops for each project to mitigate risk of low tender submissions.</p> <p>Revised budget allocations to be secured</p>	H-M	L-M

DC1 12 73717 Risk Register - October Update 2012

	Total Capital Budget Allocation over CSR period = £110m						through monitoring rounds in light of updated profile spend. ICT Teams to review costings Ongoing review of Optimism Bias		
Previous Month's Risk Rating:		H	H			H	H	H	H

7. Strategic Goal : City of Culture													
Risk Owner: Culture Division - Arthur Scott													
Business Area Objective		Threat/Budgetary Implications		Inherent Risk		How risk is currently managed		Residual Risk		Action Plan (including assignee and completion date)		Treated Risk	
				Imp	Like	Imp	Like	Imp	Like	Imp	Like		
CITY OF CULTURE		<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Current red risks on project risk register:</p> <p>Failure to achieve sponsorship and other income</p>		H	H	<p>Cultural Programme launch planned for 25 October 2012.</p> <p>DCAL Oversight structures are being refined to respond to project shift from planning to delivery stage.</p> <p>Joanna McConway has taken over responsibility for WPFPG and is establishing an integrated sponsor team.</p> <p>Health Check complete. Recommendations confirm risks identified by DCAL and DCC.</p> <p>DCC have assigned a senior staff member to develop legacy and benefits realisation plans.</p> <p>Meeting with CPD on 12 October 12 to discuss sourcing schedule, procurement issues and</p>	H	M - H	<p>DCC establishing interal oversight structure including a project board with sub committees on events, governance, infrastructure, legacy and marketing.</p> <p>Decide who should attend DCC Project Board meetings from DCAL.</p> <p>SRO to be asked to consider and provide an implementation action plan for the main Health Check Review recommendations.</p> <p>Request interim written update on progress towards sponsorship and other income targets and consider probing further at the next PfG oversight meeting or DCC Project Board meeting.</p> <p>A consultancy is being appointed to examine and or complete draft strategic project plan.</p> <p>Strategic: draft Project Delivery Plan for CoC, Benefits Realisation and individual project</p>	M - H	M - H		
				RED	RED		RED	RED		RED	RED		

DC1 12 73717 Risk Register - October Update 2012

	<p>targets, leading to reduction in programme activity and failure to achieve benefits.</p> <p>Failure to adequately strategically plan the project, leading to loss of value for money, poorly executed project, failure to deliver benefits.</p> <p>Insufficient capacity within Culture Company Board and Executive to manage governance and accountability requirements, leading to loss of value for money and reputational damage.</p> <p>Failure to deliver venues on time or to required standard (80&81, Vital Venue), leading to reduction</p>			<p><u>arrangements for providing advice to CC. CPD have agreed to provide 5 days of advice in the next 5 - 6 weeks.</u></p> <p><u>First drawdown of funds completed 16 October 2012.</u></p> <p><u>Fiona Kane, SIB providing support to DCC on marketing and PR.</u></p> <p>Income targets — Monthly income target table established.</p> <p>Culture Co continue to engage sponsors and funders.</p> <p>Strategic Planning —</p> <p>DCAL oversight Group meeting 4 September 2012 agreed need for project planning resource to assist Culture Co.</p> <p>Marketing tender agreed (for advertisement in OJEU) to procure resource with appropriate skillset and resources for local, national and international promotion of Cultural Programme.</p>			<p>plans to be developed in the interim by Joanna Mc Conway, CC and DCC September 2012</p> <p>Perm Sec to meet OFMDFM SRO to discuss project delivery concerns 11/9/12.</p> <p>Programme Director <u>Project planner to be appointed to develop an overall project plan for the CoC and assist in managing delivery.</u></p> <p>Artifax project management system for events procured and a member of staff recruited to populate the system with detailed actions for each project. <u>by end September 2012 by Culture Company</u></p> <p>Accountability: Fiona Hamill has advised that DCAL should not nominate a rep for CC Finance Committee, but should instead ensure robust governance processes.</p> <p>Drawdown process finalised and agreed <u>First drawdown of funds October 2012.</u></p> <p>Gateway Review to be commissioned and funded by DCAL. Business case submitted for Ministerial approval Staffing levels in Culture Co reviewed by CC and then considered by</p>		
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DC1 12 73717 Risk Register - October Update 2012

	<p>in programme activity and failure to achieve benefits.</p> <p>Risk Owner: Arthur Scott</p>			<p>Accountability:</p> <p>DCAL Letter of Offer signed 4 September 2012.</p> <p>CPD workshop held on 7 September 2012. Number of sourcing/ procurement issued identified. LoO requires amendment to provide clarity.</p> <p>Vital Venue</p> <p>Now referred to as Essential Venue following challenge by Tennants Vital.</p> <p>Essential Venue on track for construction completion December 2012.</p> <p>Ilex will procure and manage a Venue Operator who will provide a box office and O&M of the venue.</p> <p>80&81 — On track for completion August 2013.</p> <p>DCC have assigned a senior staff member to develop legacy and benefits realisation plans.</p>			<p>DCAL and DCC Venues—</p> <p>Culture Co role for additional Essential Venue events (outside Cultural Programme) to be agreed — DSD, September 2012.</p> <p>80&81 — Culture Co to procure a team to manage 80&81 needs in line with Tate requirements.</p> <p>List of Culture Company requirements of Ilex to be finalised (evaluation and monitoring, landscaping at Ebrington, etc) to be finalised to accompany Ilex/ Culture Co MoUs on Monitoring and Evaluation and Venues <u>by end September 2012 by Culture Co.</u></p> <p>Assignee: Joanna McConway</p>		
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Previous month's rating:	H	H		H	M-H		M-H	M-H
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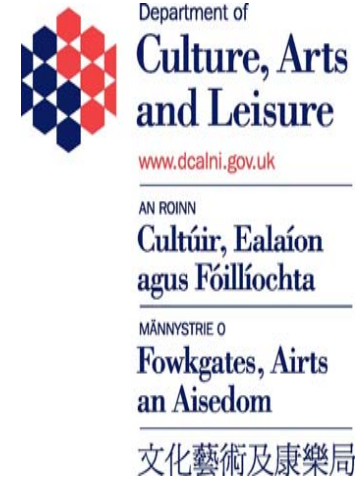
8. Risk Owner: SMR Division - Mick Cery										
Business Area/ Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
		Imp	Like		Imp	Like		Imp	Like	
Delivery of 2012 Olympic / Paralympic events	Major Olympic / Paralympic event affected by unknown incident, leads to public safety issue and Departmental criticism Lack of robust delivery, contingency and resource plans for Olympic / Paralympic events in NI lead to poorly organised events, poor communications, and associated reputational risk to NI and the Department.	H	H	<p>NI 2012 Operations Group coordinates activities across a range of partners.</p> <p>DCAL operations hub — Torch relay and 'Games Time'. Olympic Torch relay took place 2-7 June — no major incident and Hub operated successfully</p> <p>Close working with key leads in local councils, PSNI and delivery partner organisations.</p> <p>Training arranged by DCAL for local event organisers.</p> <p>Liaison and coordination in place with:</p> <ul style="list-style-type: none"> • LOCOG, DCMS/GOE and Cabinet Office. • OFMDFM, DOJ, NIO & PSNI • North-South arrangements with Dublin partners and border partners • Range of local partners and event organisers 	M	L	<p>-</p> <p>-</p> <p>ALL ACTIONS COMPLETE.</p> <p>RECOMMEND REMOVAL OF THIS RISK FROM RISK REGISTER.</p>	M	L	

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				<p>Planning phase for Paralympics' celebrations 25 August and Closing Ceremony / Homecomings now completed (DCAL led) and remaining Ministerial engagements.</p> <p>Participation in London led desktop exercises and contingency arrangements. Participation in local test exercises</p> <p>Staff resource deployed to prepare robust delivery, contingency and resource plans for Olympic / Paralympic events in NI.</p> <p>DCAL operational planning for remainder of Games well advanced. Additional staff support made available from 2013 WPFGB Branch to support arrangements during remainder of Games.</p> <p>Reporting into M.I.G commenced 17th May 2012. Continue through to end of 'Games Time' (10 Sept 2012). Consolidated reports to be sent to DCAL SMT.</p> <p>Ongoing liaison with: London: LOCOG, DCMS/GOE, Cabinet Office NI: OFMDFM, DOJ, NIO, PSNI and other key delivery partners across NI.</p>				
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DC1 12 73717 Risk Register - October Update 2012

				<p>Learning from test exercise disseminated with partners and lessons learned agreed.</p> <p>2012 GLU participating in a number of de-brief events with partners- Lessons learned report to be finalised and shared with WPCG / City of Culture.</p>						
Previous Month's Risk Rating:			H H	H H		M	L		M	L



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013- (November Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: November Update

	Date of Completion
Last reviewed by Board/Director	23/10/12
Next review by Board/Director	20/11/12
Last reviewed by Audit Committee (if applicable)	13/09/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2012/13 Resource Budget Allocation = £87.236.94m</p> <p>Total ALB 2012/13 Capital Budget Allocation = £13.60449m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p>	M	M	<p>The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. The sponsorship manual will be updated in conjunction with the Governance Framework to ensure there is no duplication.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan –NovDecember 2012)</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPF and NIS has commenced.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Business Plans are now being used as the</p>	M	L-M

				<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings.</p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual. Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA. A final draft report has been received by the Department and a response issuedcomments provided.</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPGF									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, and <u>value for money</u> and benefits are realised.</p> <p><u>Budgetary Implications:</u></p> <p>WPGF 2012/13 Resource Budget Allocation = £1.975m</p> <p>WPGF Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place.</p> <p>Company Risk in place. .</p> <p>Further Gateway Review completed in October. Confirms focus should be on delivery.</p> <p>Critical areas of risk management arise for DCAL:</p> <ol style="list-style-type: none"> 1. There is sufficient accommodation capacity in NI; 2. Event delivery and management arrangements are in hand and deliverable; 	M-H	L-M	<p><u>-DCAL Sponsor Branch is developing an Event Delivery Assurance Strategy. 2013 Projects Team carrying out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities</u></p> <p>Management of DCAL identified critical risks are as follows:</p> <ol style="list-style-type: none"> 1. Accommodation - The Company is working with BVCB & Deloitte to determine the accommodation capacity. Recent update shows that there is capacity for 9,200 athletes currently. Company to review in October and consider capping competitor numbers, or further <u>has developed a</u> -strategy to manage <u>the</u> Accommodation risk 2. Event Delivery - Quality Assurance Team has been established. Membership will change dependent on the Team's focus. 3. Income - Progress on sponsorship and other income monitored on a 	M-H	L-M

<p>and merchandising for the difference.</p> <p>DCAL has also agreed to try to manage a potential pressure of £843k as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>				<p>3. Income and sponsorship generation targets are achieved;</p> <p>4. Benefits are realised, <u>including social exclusion and poverty impacts</u>;</p> <p>Current position on sponsorship is that a total of £1.024m (Cash + Benefit in Kind) has been secured or is at an advanced stage. Target is £1.4m.</p>			<p>monthly basis at Accountability meetings. Company contingency arrangements to be monitored if income does not materialise</p> <p>4. Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>Impact rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk is low-medium, given progress made to date. Overall rating <u>still new</u> is amber. Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high. ...</p> <p><u>2013 Projects Team carrying out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities.</u></p> <p>(Mick Cory)</p>		
<p>Previous</p>	<p>Month's Risk Rating:</p>	<p>H</p>	<p>M-H</p>		<p>M- HM- H</p>	<p>L- MM</p>		<p>M- HM-H</p>	<p>L- ML- M</p>

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3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2012/13 Resource Budget Allocation = £4.882975m</p> <p>Inland Fisheries 2012/13 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued – closed 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing. <u>Analysis of consultation responses completed.</u></p> <p>Legal advice received on issuing of and revocation of licences.</p> <p><u>Preliminary briefing with Minister held. Cal Committee briefed. Assembly debate 21/2. Ministerial Statement to Assembly 12/03</u></p> <p>Introduced voluntary measures for 2012 Season – Commercial and</p>	M-L	M	<p>Analysis of consultation responses undertaken during summer 2012. Branch have made a Ministerial approval submission for on proposed salmon policy approach to be sought (to phase out mixed stock salmon fisheries in line with NASCO obligations, with further steps proposed to control recreational fisheries as well). CAL Committee briefing and possible Ministerial statement before Christmas.</p> <p>Review salmon plan to ensure full compliance. Possibility of legislative changes will be required. Early engagement with DSO begun on meeting timetable on required?</p> <p><u>Finalisation of extra statutory settlement of commercial fishermen required for 2012 and 2013 seasons.</u></p> <p><u>Compensation and/or buy-out scheme for 2 remaining Commercial fishermen in 2012 approved by DFP – awaiting legal advice.</u></p>	L-M	L

DC1 12 82963 Risk Register - November Update 2012

	Budget Allocation = £0.487m			<p>recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court.</p> <p>DFP has approved business case to compensate Fishermen. <u>Awaiting legal advice received, and discussions on resolving this through an out of court settlement are now underway</u></p> <p>New G7 Admin and Policy in place. <u>Recruitment of Chief Fisheries Officer completed and in post. Deputy Chief to fill vacant post in December 2012.</u></p>			Recruitment of CFO completed..		
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities, of not obtaining VFM in business cases and procurement resulting in the non-achievement of Departmental objectives and pressures on future year budgets.</p> <p>2. Risk of non compliance with budgetary controls and/or reduced requirements identified too late</p>	M-H	M-H	<p>1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities. Business Cases are completed in line with NIGEAE. QAS and accountability meetings provide assurances on business cases and financial management.</p> <p>2. Monthly reporting of spend to Finance Committee and Dept Board.</p> <p>3. Monthly identification of pressures and easements and early management of de minimis elements.</p> <p>4. Recent report in April to Dept Board demonstrated that reliance can be placed on forecasts provided across the Dept and its ALBs.</p> <p>5. Finance Forum was held on 3rd Oct (agenda attached). The subjects were well received and generated good discussion, which helped clarify a number of issues.</p>	M-H	L-MH	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up by bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 with an additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion.</p> <p>Baselines need to be established and targets agreed with Minister. Follow up on Procurement Internal Audit review. IA is now drafting its report.</p>	M	L-M

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	<p>for effective redeployment.</p> <p><u>Budgetary Implications:</u></p> <p>Total ALB / Department 2012/13 Resource Budget Allocation = £116,2704m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation = £224,5837m</p>									
Previous	Month's Risk Rating:	M-H	M-H		MM	L			M	L-M

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5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes Industrial strike action could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p>Budgetary Implications:</p> <p>Heavily dependent on scale and length of business interruption industrial action which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing]. <u>Work on the BCP for PRONI has commenced and draft should be available at the end of November. Work on the Fish Farm business continuity plan will start in December.</u></p>	M-H	L

Previous	Month's Risk Rating:	HH	MM		MM	MM		M- HM- HM	LLL

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6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially; planning, procurement challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2012/13 Capital Budget Allocation = £7.5m</p>	H	H	<p>Gateway 0 review recommendations agreed and implemented</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Planning working group in place. Step by step plan developed for the IFA and GAA (rugby already has planning approval)</p> <p>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Recommendations arising from Project health checks/ Gateway Review and Programme Gateway 0a Review being implemented</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning .</p> <p>One-off fixture in November 2012 to facilitate planning surveys.</p> <p>Project-specific community engagement progressed.</p> <p>Contracts workshops for each project to mitigate risk of low tender submissions.</p> <p>Revised budget allocations to be secured through monitoring rounds in light of updated</p>	H-M	L-M

	Total Capital Budget Allocation over CSR period = £110m						profile spend. ICT Teams to review costings Ongoing review of Optimism Bias		
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Previous	Month's Risk Rating:	H	H		H	H		H-M	L-MH
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7. Strategic Goal : City of Culture													
Risk Owner: Culture Division - Arthur Scott													
Business Area Objective		Threat/Budgetary Implications		Inherent Risk		How risk is currently managed		Residual Risk		Action Plan (including assignee and completion date)		Treated Risk	
				Imp	Like			Imp	Like			Imp	Like
CITY OF CULTURE		The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.		H	H	<p>Cultural Programme launch planned for 25 October 2012.</p> <p>DCAL Oversight structures are being refined to respond to project shift from planning to delivery stage.</p> <p>Joanna McConway has taken over responsibility for WPFG and is establishing an integrated sponsor team.</p> <p>Health Check complete. Recommendations confirm risks identified by DCAL and DCC.</p> <p>DCC have assigned a senior staff member to develop legacy and benefits realisation plans.</p> <p>Meeting with CPD on 12 October 12 to discuss sourcing schedule, procurement issues and arrangements for providing advice to CC. CPD have agreed to provide 5</p>		H	M - H	<p>Project Director to provide assurance on:</p> <ul style="list-style-type: none"> Project structures and resources, Project costs, Sourcing routes, Events management , Benefits realisation, Ministerial involvement in media and events, Culture Co role in commercial operation of temporary pavilion. <p>DCC establishing interal oversight structure including a project board with sub-committees on events, governance, infrastructure, legacy and marketing. Regular teleconf established</p>		M - H	M - H
				RED	RED			RED	RED			RED	RED

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				<p>days of advice in the next 5-6 weeks.</p> <p>Gateway Review postponed (will be revisited in new year).</p> <p>First drawdown of funds completed 16 October 2012.</p> <p>Fiona Kane, SIB providing support to DCC on marketing and PR.</p> <p>Project Director, Dermot McLaughlin appointed 29 October. Being assisted by John Farquhar-Smith and Olly Watts on project planning and cost analysis.</p> <p>CPD providing advice - Roy Bell has committed to spending 5 days in Derry~Londonderry to develop master sourcing schedule.</p>			<p>between Project Director and Perm Sec to provide updates on assurance.</p> <p>Decide who should attend DCC Project Board meetings from DGAL.</p> <p>SRO to implement Health Check review recommendations. be asked to consider and provide an implementation action plan for the main Health Check Review recommendations. Request interim written update on progress towards sponsorship and other income targets and consider probing further at the next PfG oversight meeting or DCC Project Board meeting.</p> <p>A consultancy is being appointed to examine and or complete draft strategic project plan.</p> <p>Programme Director to be appointed to develop an overall project plan for the CoG and assist in managing delivery.</p> <p>List of Culture Company requirements of Ilex to be finalised (evaluation and monitoring, landscaping at Ebrington, etc) to be finalised to accompany Ilex/ Culture Co MoUs on Monitoring and Evaluation and Venues by end September 2012 by Culture Co.</p>	
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DC1 12 82963 Risk Register - November Update 2012

						Assignee: Joanna McConway			
Previous month's rating:		H	H		H	M-H		M-H	M-H

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Previous	Month's Risk Rating:	H	H		M	L		M	L



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (December Update)

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Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: December Update

	Date of Completion
Last reviewed by Board/Director	20/11/12
Next review by Board/Director	18/12/12
Last reviewed by Audit Committee (if applicable)	13/09/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2012/13 Resource Budget Allocation = £87.23m</p> <p>Total ALB 2012/13 Capital Budget Allocation = £13.604m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p>	M	M	<p>The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. The sponsorship manual will be updated in conjunction with the Governance Framework to ensure there is no duplication.</p> <p>Remaining ALB risk assessments to be completed (Sinead McCartan –December 2012)</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPF and NIS has commenced.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments.</p> <p>Review of <u>ARMC and</u> Board TOR - to be completed alongside the Review of Effectiveness.</p>	M	L-M

DC1 12 89178 Risk Register - December Update 2012 (2)

				<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings.</p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>Business Plans are now being used as the primary tool to hold the ALBs to account and the Business Planning process including monitoring and reporting is being reviewed as part of the revised Sponsorship Manual. Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA. A final report has been received by the Department and a response issued.</p>		
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Games are delivered on-time, to budget, value for money and benefits are realised. Budgetary Implications: WPFG 2012/13 Resource Budget Allocation = £1.97m WPFG Resource Budget Allocation over CSR period = £6.040m. Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for	H	M-H	Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. - Further Gateway Review completed in October. Confirms focus should be on delivery. Critical areas of risk management arise for DCAL: 1.—1. There is sufficient accommodation capacity in NI; <u>Company now has a plan and strategy in place;</u> 2.—2. Event delivery and management arrangements are in hand and deliverable; <u>Quality Assurance Team has been established. Membership will change dependent on the Team's</u>	M-H	L-M	DCAL Sponsor Branch is developing an Event Delivery Assurance Strategy. 2013 Projects Team carrying out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities – <u>work in progress</u> <u>Management of DCAL-identified critical risks are as follows:</u> 1.— <u>Accommodation—The Company is working with BVCB & Deloitte to determine the accommodation capacity. Recent update shows that there is capacity for 9,200 athletes currently. Company has developed a strategy to manage the Accommodation risk</u> 2.— <u>Event Delivery—Quality Assurance Team has been established. Membership will change dependent on the Team's focus.</u> 3.— <u>Income—Progress on sponsorship and other income monitored on a monthly basis at Accountability meetings. Company contingency arrangements to be monitored if income does not</u>	M-H	L-M

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	<p>the difference.</p> <p>DCAL has also agreed to try to manage a potential pressure of £843k as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p><u>focus.</u></p> <p>3.</p> <p>4. Income and sponsorship generation targets are achieved; <u>Current position on sponsorship is that a total of £1.4 m (Cash + Benefit in Kind) has been secured, subject to contract. Target is £1.4m;</u></p> <p><u>1.</u> 4. Benefits are realised, including social exclusion and poverty impacts; <u>Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</u></p> <p><u>Current position on sponsorship is that a total of £1.024m (Cash + Benefit in Kind) has been secured or is at an advanced stage. Target is £1.4m.</u></p>			<p><u>materialise</u></p> <p>4. <u>Benefits realisation – Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</u></p> <p>Impact rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk is low-medium, given progress made to date. Overall rating is amber Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high.</p> <p>.</p> <p>(Mick Cory)</p>		
Previous Month's Risk Rating:		H	M-H		M-H	L-M		M-H	L-M

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3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2012/13 Resource Budget Allocation = £4.882m</p> <p>Inland Fisheries 2012/13 Capital</p>	M-H	M-H	<p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Draft consultation document produced and issued — closed 10 July 2012; considering issue of commercial salmon licenses and steps to control recreational fishing. Analysis of consultation responses completed.</p> <p>Ministerial statement made on salmon policy (to phase out mixed stock salmon fisheries in line with NASCO obligations, with further steps proposed to control recreational fisheries as well).</p> <p>Legal advice received on issuing of and revocation of licences.</p>	M-L	M	<p>Branch have made a Ministerial submission on proposed salmon policy (to phase out mixed stock salmon fisheries in line with NASCO obligations, with further steps proposed to control recreational fisheries as well). CAL Committee briefing and possible Ministerial statement before Christmas.</p> <p>Legislative changes will be required. Early engagement with DSO begun on meeting timetable; awaiting confirmation from DSO of commitment to assist.</p> <p>Finalisation of extra statutory settlement of commercial fishermen required for 2012 and 2013 seasons.</p>	L-M	L

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DC1 12 89178 Risk Register - December Update 2012 (2)

	Budget Allocation = £0.487m			<p>Introduced Voluntary measures for 2012 Season <u>to be extended for 2013</u> – Commercial and recreational game fisheries to ensure compliance with EU Directives and NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netmen agreed not to fish this season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court. DFP has approved business case to compensate Fishermen. Legal advice received, and discussions on resolving this through an out of court settlement are now underway</p> <p>New G7 Admin and Policy in place. Recruitment of Chief Fisheries Officer completed and in post. Deputy Chief to fill vacant post in December 2012.</p>					
Previous Month's Risk Rating:		M-H	M-H		M-L	M		L-M	L

DC1 12 89178 Risk Register - December Update 2012 (2)

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2012/13 Resource Budget Allocation = £116.27m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation = £22.58m</p>	M	M	1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up by bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 with an additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion.</p> <p>Baselines need to be established and targets agreed with Minister.</p>	M	M
Previous Month's Risk Rating:		M-H	M-H		M	L-M		M	L

DC1 12 89178 Risk Register - December Update 2012 (2)

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing]. Work on the BCP for PRONI has commenced and draft should be available at the end of DecemberNovember. Work on the Fish Farm business continuity plan will start in JanuaryDecember. 	M-H	L

DC1 12 89178 Risk Register - December Update 2012 (2)

Previous Month's Risk Rating:	H	M		M	M		M	L
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6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially; planning, legal challenges, procurement challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p><u>Budgetary Implications:</u></p> <p>Total 2012/13 Capital Budget</p>	H	H	<p>Gateway 0a review recommendations agreed and are being implemented</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning application to be submitted 7 December 2012</p> <p>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning .</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Recommendations arising from Project health checks/ Gateway Review and Programme Gateway 0a Review being implemented</p> <p>One-off fixture in November 2012 to facilitate planning surveys.</p> <p>Project-specific community engagement progressing.</p> <p>Contracts Strategy workshops held for each project to mitigate risk of low tender submissions.</p> <p>Revised budget allocations to be secured through monitoring rounds in light of updated profile spend.</p> <p>ICT Teams to review costings</p>	H-M	L-M

DC1 12 89178 Risk Register - December Update 2012 (2)

	Allocation = £7.5m Total Capital Budget Allocation over CSR period = £110m			Community consultation actively progressing. Ongoing review of Optimism Bias Liaison with DSO as necessary			Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park)		
Previous Month's Risk Rating:		H	H		H	H		H-M	L-M

Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project a Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to <u>successfully</u> deliver the project; failure to achieve a lasting legacy, failure to spend the <u>profiled</u> budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<p>Joanna McConway has taken over responsibility for WPFG and is establishing an integrated sponsor team.</p> <p>Health Check complete. Recommendations confirm risks identified by DCAL and DCC.</p> <p>Gateway Review postponed (will be revisited in new year).</p> <p>Fiona Kane, SIB providing support to DCC on marketing and PR.</p> <p>Project Director, Dermot McLaughlin appointed 29 October. Being assisted by John Farquhar-Smith and Ollly Watts on project planning and cost analysis.</p> <p>CPD providing advice - Roy Bell has committed to spending 5 days in Derry~Londonderry to develop master</p>	H	M - H	<p>Project Director to provide assurance on:</p> <ul style="list-style-type: none"> • Project structures and resources, • Project costs, • Sourcing routes, • Events management , • Benefits realisation, • Ministerial involvement in media and events, • Culture Co role in <u>commercial</u> operation of temporary pavilion. <p>Regular teleconf established between Project Director and Perm Sec to provide updates on assurance.</p>	M - H	M - H
		RED	RED		RED	RED		RED	RED

DC1 12 89178 Risk Register - December Update 2012 (2)

				sourcing schedule.			SRO to implement Health Check review recommendations.		
Assignee: Joanna McConway									
Previous month's rating:		H	H		H	M-H		M-H	M-H

Previous Month's Risk Rating:									



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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (January Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
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1	Low	Inherent Risk		3	4	5

Version Control: January Update

	Date of Completion
Last reviewed by Board/Director	18/12/12
Next review by Board/Director	29/01/13
Last reviewed by Audit Committee (if applicable)	13/12/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
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			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings <u>are regularly held, dependent on risk assessments.</u></p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPFG, <u>ACNI</u> -and NIS has commenced. <u>[DN: Sinead can up update]</u></p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. <u>A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. [DN: Sinead can up update]</u></p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness. <u>At the January Board it was agreed that in addition to the points raised by the SMT at the Away Day in November, a formal board assessment will be completed. The board assessment will be customised before DCAL and should be ready for completion by the board by 31st March with the results presented to the April Board. Following this the board and ARMC minutes will be reviewed and updated accordingly.</u> <u>Risk Owner: Deborah Brown/Paul Gamble</u></p> <p>Business Plans are now being used as the primary tool to hold the ALBs to account, <u>and</u> <u>the</u> Business Planning process, including monitoring and reporting, is being reviewed as part of the revised Sponsorship Manual. <u>[DN: Paul can you look at this?]</u></p>		
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					<p>Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA <u>and an action plan. A progress report has recently been received.</u> <u>[DN: Sinead can you get an updated line on this from Colin – we are meeting the SNI board on 27th Feb]</u> A final report has been received by the Department and a response issued.</p> <p><u>Some ALBs (NIS and NMNI) have expressed DN Need to highlight problem concerns in the fundamental acceptance by some ALBs— NMNI and NIS on of their role in the QAS process. Senior Sponsors are meeting with their ALBs to ensure there is understanding and acceptance of roles which should resolve the issue. These meetings will be followed up by letters from the Senior Sponsor. [DN: Sinead can you ask each Director to provide updates on the position on this?]</u> The Department is engaging with all ALBs to resolve this issue – this needs addressed ASAP – therefore need to amend the proposed letter</p>			
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

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2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £1.97m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place.</p> <p>Company Risk Register is in place.</p> <p>Further October Gateway Review completed in October. Ceconfirmeds focus should be on delivery. OtherOther recommendations implemented.</p> <p>CriticalKey areas of risk identified and actions takenmanagement: arise for DCAL:</p> <ol style="list-style-type: none"> 1. There is sufficient Accommodation capacity in NI; Company now has a plan and strategy in place; 2. Event delivery and management arrangements are in hand and 	M-H	L-M	<p>DCAL Sponsor Branch is developeding an Eevent Ddelivery Aassurance -Strategyplan. 2013 Projects Team carrieding out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, <u>used to review progress in Accountability Meetings. —work in progress</u></p> <p><u>Emerging areas of risk:</u></p> <p><u>Impact from Flag Protests on registrations:</u></p> <ol style="list-style-type: none"> 1. <u>Company monitoring registration numbers</u> 2. <u>Company monitoring Social media commentary</u> 3. <u>Drafted reassurance statement prepared by the GempanyCompany for social media – with Minister for clearance</u> <p><u>Opening CermonyCeremony</u></p> <ol style="list-style-type: none"> 1. <u>Location to be finalised – TQ or Ravenhill?</u> 2. <u>If TQ additional costs</u> 3. <u>Content to be outlined</u> 	M-H	L-M

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	<p>DCAL has also agreed to try to manage a potential <u>13/14</u> pressure of £843k as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p>deliverable: Quality Assurance Team has been established. Membership will change dependent on the Team's focus.</p> <p><u>3.</u> Income and sponsorship generation targets are achieved: Current position on sponsorship is that a total of £1.4 m (Cash + Benefit in Kind) has been secured, subject to contract, Target is £1.4m;</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p>			<p><u>Cultural Programming</u> <u>Concern that cultural programming in and around the Games may not be ambitious enough, or of the quality expected.</u></p> <ol style="list-style-type: none"> <u>1. Company preparing a paper for DCAL</u> <u>2. Draft Business Case in preparation for the Cultural Programme.</u> <p><u>Clearance / approval times</u> <u>Company has raised concerns at the length of time for approvals for key matters. Meeting planned to develop a protocol.</u></p> <p>Impact rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk is low-medium, given progress made to date. Overall rating is amber Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, <u>given the fixed delivery date.</u></p> <p>(Mick Cory)</p>		
Previous Month's Risk Rating:		H	M-H		M-H	L-M		M-H	L-M

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DC1 13 2890 Risk Register - January Update 2013

3. Strategic Goal - To determine additional salmon conservation measures									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p><u>Budgetary Implications:</u></p> <p>Inland Fisheries 2012/13 Resource Budget Allocation = £4.882m</p> <p>Inland Fisheries 2012/13 Capital</p>	M-H	M-H	<p><u>Further update requested from EC (through defra) on steps being taken by NI. G7s to attend meeting with Defra to outline progress.</u></p> <p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>Ministerial statement made on salmon policy (to phase out mixed stock salmon fisheries in line with NASCO obligations, with further steps proposed to control recreational fisheries as well).</p> <p>Voluntary measures for 2012 Season to be extended for 2013– Commercial and recreational game fisheries to</p>	M-L	M	<p>Legislative changes will be required redrafting underway. Early meetings held engagement with DSO begun on meeting legislative timetable; awaiting confirmation from DSO of commitment to assist.</p> <p><u>Target date for implementation November 2013.</u></p> <p>Finalisation of extra statutory settlement of commercial fishermen required for 2012 and 2013 seasons.</p>	L-M	L

DC1 13 2890 Risk Register - January Update 2013

<p>Budget Allocation = £0.487m</p>				<p>ensure compliance with EU Directives and NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netsmen agreed not to fish this 2012 season – to be extended to 2013 season.</p> <p>Remaining 2 nets-men refused to give undertaking without compensation. They have been informed their licenses will not be issued. They are appealing to magistrates Court. DFP has approved business case to compensate Fishermen. Legal advice received, and discussions on resolving this through an out of court settlement are now underway</p> <p>New G7 Admin and Policy in place. Recruitment of Chief Fisheries Officer completed and in post. Deputy Chief to fill vacant post Fisheries Officer post filled in December 2012.</p>							
<p>Previous Month's Risk Rating:</p>				<p>M-H</p>	<p>M-H</p>		<p>M-L</p>	<p>M</p>		<p>L-M</p>	<p>L</p>

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2012/13 Resource Budget Allocation = £116.27m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation = £22.58m</p>	M	M	1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up by <u>in the</u> bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 <u>and the Minister has now approved this. a submission is with Minister for approval. Business Cases have been prepared for the</u> with an additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion.</p> <p><u>A Statement of Intent has been drafted which seeks to provide a strategic context and approach to deliver on this priority and embed awareness of and concerted action against poverty and social exclusion across the Department and its ALBs. define Tackling Poverty and Social Exclusion and how this will be taken forward. Once cleared by SMT this</u></p>	M	M

DC1 13 2890 Risk Register - January Update 2013

						<p>will be forwarded to the Minister for approval before circulation to the ALBs. This will also support then form the basis on which this priority will be driven forward, skewing existing funding towards this and to development of new programmes and initiatives that could be delivered under <u>against the Delivering Social Change Framework which has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy; and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus. DN: Stephen could you update this</u></p> <p>Baselines need to be established and targets agreed with Minister.</p>				
Previous Month's Risk Rating:		M-H	M-H			M	L-M		M	L

DC1 13 2890 Risk Register - January Update 2013

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan <u>specifically in relation to those areas deemed more critical than others, i.e. Support to the Minister and Permanent Secretary; Fish Farm Management at Movanager & Bushmills; PRONI service to NI Courts and HET; and Draw down of payments to ALBs-; BCP for MPSO & Communications Office has been prepared and cleared HOD. Draft BCPs for PRONI & Movanager/Bushmills have been drafted and will clear the business areas by the end of February. BCP for the draw-down of payments will be completed in March. The BCPs will then be subject to scenario</u></p>	M-H	L

DC1 13 2890 Risk Register - January Update 2013

							testing between April and September.		
							An updated plan is expected to be available for consideration by SMT during 2 nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing]. Work on the BCP for PRONI has commenced and draft should be available at the end of December/January. Work on the Fish Farm business continuity plan will start in January/February.		
Previous Month's Risk Rating:			H	M		M	M	M	L

DC1 13 2890 Risk Register - January Update 2013

6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially; planning, legal challenges, procurement challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p><u>Budgetary Implications:</u> Total 2012/13 Capital Budget</p>	H	H	<p>Gateway 0a review recommendations agreed and are being implemented</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Procurement strategy agreed with CPD.</p> <p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning application to be submitted <u>on 06/7</u> December 2012</p> <p>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning .</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans</p> <p>Recommendations arising from Project health checks/ Gateway Review and Programme Gateway 0a Review being implemented</p> <p>One-off fixture <u>at Casement Park</u> in November 2012 to facilitate planning surveys.</p> <p>Project-specific community engagement progressing.</p> <p>Contracts Strategy workshops held for each project to mitigate risk of low tender submissions.</p> <p>Revised budget allocations to be secured through monitoring rounds in light of updated profile spend.</p> <p>ICT Teams to review costings</p>	H-M	L-M

DC1 13 2890 Risk Register - January Update 2013

	Allocation = £7.5m Total Capital Budget Allocation over CSR period = £110m			Community consultation actively progressing. Ongoing review of Optimism Bias Liaison with DSO as necessary			Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park)		
Previous Month's Risk Rating:		H	H			H	H	H-M	L-M

Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

7. Strategic Goal : City of Culture													
Risk Owner: Culture Division - Arthur Scott													
Business Area Objective		Threat/Budgetary Implications		Inherent Risk		How risk is currently managed		Residual Risk		Action Plan (including assignee and completion date)		Treated Risk	
				Imp	Like	Imp	Like	Imp	Like	Imp	Like		
CITY OF CULTURE		The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.		H	H	<p>Joanna McConway has taken over responsibility for WPFG and is establishing an integrated sponsor team.</p> <p>Health Check complete. Recommendations confirm risks identified by DCAL and DCC.</p> <p>Gateway Review postponed (will be revisited in new year).</p> <p>Fiona Kane, SIB providing support to DCC on marketing and PR. Gerard Murray and Stephen Kerr have joined 2013 Projects with responsibility for City of Culture.</p> <p>Project Director, Dermot McLaughlin appointed 29 October. Being assisted by John Farquhar Smith and Oily Watts on project planning and cost analysis, has identified a number of additional delivery resources required.</p>	H	M - H	<ul style="list-style-type: none"> • <u>DCAL Business Case to be updated by March 2013.</u> • <u>On-going monitoring of spend against profile.</u> • <u>Consideration of Project Director's request for Optimism Bias to support additional resources.</u> • <u>Benefits Realisation Plan to be finalised.</u> • <u>Project Director to provide assurance on:</u> <ul style="list-style-type: none"> • <u>Project structures and resources,</u> • <u>Project costs,</u> • <u>Sourcing routes,</u> • <u>Events management,</u> 	M - H	M - H		
		RED	RED			RED	RED			RED	RED		

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DC1 13 2890 Risk Register - January Update 2013

				<p>CPD providing advice – Roy Bell has committed to spending 5 days in Derry-Londonderry to develop master sourcing schedule. Letter of Offer template established.</p> <p>Major contracts approved to date include <u>Colmcille, Sons & Daughters, Hofesch Schecter, Elvis Costello.</u></p>			<ul style="list-style-type: none"> •Benefits realisation, •Ministerial involvement in media and events, •Culture Co role in commercial operation of temporary pavilion. <p>Regular teleconf established between Project Director and Perm Sec to provide updates on assurance.</p> <p>SRO to implement Health Check review recommendations.</p> <p>Assignee: Joanna McConway</p>		
Previous month's rating:			H	H	H	M-H	M-H	M-H	M-H

DC1 13 2890 Risk Register - January Update 2013

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		H	H			M	L		
Previous Month's Risk Rating:		H	H			M	L		



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (February Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: February Update

	Date of Completion
Last reviewed by Board/Director	29/01/13
Next review by Board/Director	26/02/13
Last reviewed by Audit Committee (if applicable)	13/12/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2012/13 Resource Budget Allocation (confirmed Jan position) = £87.23m</p> <p>Total ALB 2012/13 Capital Budget Allocation (confirmed Jan position)</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control governance statement (12/13) signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p>	M	M	<p>A definition of sponsorship has now been agreed and details what we are trying to achieve.</p> <p>A rationalised sponsorship manual is being collated on the basis of this definition, taking account of comments on the existing manual, to set out "how" we discharged our sponsorship, focusing on a set of principles and in line with the MSFM. Draft should be available by March 2013.</p> <p>Risk Owner: Deborah Brown/Sinead McCartan</p> <p>The script will inform a revised structure for the Sponsorship Manual – which will be rationalised on a principles basis with supporting annexes. The sponsorship manual will be updated in conjunction with the Governance Framework to ensure there is no duplication.</p> <p>Remaining ALB risk assessments to be completed – Await sSponsor branch has indicated that the review of Foras and Ulster Scots Agency will take place in March 2013 when the Governance Statement for the</p>	M	L-M

	<p><u>position</u> = £15.8543.604m</p>			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings <u>are regularly held, dependent on risk assessments.</u></p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p><u>Language Body is received.</u>(Sinead McCartan – <u>March/February</u> 2013)</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPFPG, ACNI and NIS has commenced.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. . <u>A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. This is expected to be completed in April 2013.</u></p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness. <u>At the January Board it was agreed that in addition to the points raised by the SMT at the Away Day in November, a formal board assessment will be completed. The board assessment will be customised for DCAL and should be ready for completion by the board by 31st March with the results presented to the April Board. Following this the board and ARMC minutes will be reviewed and updated accordingly.</u> <u>Risk Owner: Deborah Brown/Paul Gamble</u></p> <p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including</p>		
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						<p>monitoring and reporting, is being reviewed as part of the revised Sponsorship Manual.</p> <p>Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA and an action plan. A progress report has recently been received. Sport NI Chair and ARMC meeting with Department 27th February to finalise a number of actions and complete delivery of the recommendations. Update required from Colin Watson</p> <p>Some ALBs (NIS and NMNI) have expressed concerns in the fundamental acceptance of their role in the QAS process. The Department is engaging with all ALBs to resolve this issue. Senior Sponsors are meeting with their ALBs to ensure there is understanding and acceptance of roles which should resolve the issue. These meetings will be followed up by letters from the Senior Sponsor.</p>			
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

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2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £1.97m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place.</p> <p><i>October Gateway Review completed confirmed focus should be on delivery. Other recommendations implemented.</i></p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place;</p> <p>2. Event delivery and management arrangements are in hand and deliverable: Quality Assurance Team has been established. Membership will change dependent on the Team's focus.</p>	M-H	L-M	<p>DCAL Sponsor Branch developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings. Weekly Assurance and Update meetings instigated with Permanent Secretary</p> <p><u>Risk Owner: Mick Cory</u> <u>Completion date: August 2013.</u></p> <p>Emerging areas of risk:</p> <p><u>Impact from Flag Protests on registrations:</u></p> <ol style="list-style-type: none"> 1. Company monitoring registration numbers 2. Company monitoring Social media commentary 3. <u>Company Chair has blogged reassurance statement</u> 4. <u>Company Chair writing to CPO in GB and South.</u> <p>2- 3-Drafted reassurance statement</p>	M-H	L-M

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	<p>DCAL has also agreed to try to manage a potential 13/14 pressure of £843k (<u>subject to change iro VAT position</u>) as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>		<p>3. Income and sponsorship generation targets are <u>achievedwell advanced</u>: Current position on sponsorship is that a total of £1.4 m (Cash + Benefit in Kind) has been secured, subject to contract, Target is £1.4m;</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>5. <u>Opening Ceremony Venue not yet selected. DCAL has intervened in the selection process to develop robust criteria and process; Board to meet on Thursday 21 Feb to select venue.</u></p> <p><u>DCAL Sponsor Branch developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.</u></p>		<p><u>prepared by the Company for social media — with Minister for clearance</u> <u>3-Risk Owner: Mick Cory</u> <u>Completion date: August 2013</u></p> <p><u>Opening Ceremony</u></p> <ol style="list-style-type: none"> 1. Location to be finalised <u>following the outcome of recent assessment process — TQ or Ravenhill?</u> 2. <u>If TQ additional costs</u> <u>3-2. Ceremonies cContent to be confirmedoutlined</u> <p><u>Risk Owner: Mick Cory/WPFG Company</u> <u>Completion date: February 2013</u></p> <p><u>Cultural Programming</u> Concern that cultural programming in and around the Games may not be ambitious enough, or of the quality expected.</p> <ol style="list-style-type: none"> 1. Company preparing a paper <u>on cultural content</u> for DCAL 2. Draft Business Case in preparation for the -Cultural Programme. <p><u>2-Risk Owner: Mick Cory</u> <u>2-Completion Date: March 2013</u></p> <p><u>Clearance / approval times</u> Company has raised concerns at the length of time for approvals for key matters. Meeting <u>planned-held</u> to develop a protocol.</p> <p>Impact rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk is low-medium, given progress made to date. Overall rating is amber Treated risk rating remains unchanged, to</p>	
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						ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.		
						(Mick Cory)		

Previous	Month's Risk Rating:	H	M-H		M-H	L-M		M-H	L-M
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DC1 13 9546 Risk Register - February Update 2013

3- Strategic Goal—To determine additional salmon conservation measures									
Risk Owner: SMR – Mick Gery									
Business Area/ Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To determine additional salmon conservation measures.	<p>Fines and reputational damage arising from possible infraction of EU directives due to over-exploitation of salmon.</p> <p>DCAL is in breach of EC Directive if licences issued in the absence of a positive assessment.</p> <p>Budgetary Implications:</p> <p>Inland Fisheries 2012/13 Resource Budget Allocation (confirmed Jan position) = £4.8892m</p>	M-H	M-H	<p>Further update requested from EC (through defra) on steps being taken by NI. G7s to attend meeting with Defra to outline progress.</p> <p>Existing legislative controls are applied. Fisheries protection activities are now organised on a professional basis.</p> <p>NASCO Implementation Plan is in place and being implemented.</p> <p>-</p> <p>Ministerial statement made on salmon policy (to phase out mixed stock salmon fisheries in line with NASCO obligations, with further steps proposed to control recreational fisheries as well).</p> <p>Voluntary measures for 2012 Season to be extended for 2013—Commercial and recreational game fisheries to</p>	M-L	M	<p>Legislative redrafting underway. On-going dialogue with DSO on legislative requirements. Early meetings held with DSO on meeting legislative timetable;.</p> <p>Target date for implementation November 2013.</p> <p>Finalisation of extra-statutory settlement of commercial fishermen required for 2012 and 2013 seasons.</p>	L-M	L

DC1 13 9546 Risk Register - February Update 2013

		<p>Inland Fisheries 2012/13 Capital Budget Allocation (confirmed Jan position) = £0.487m</p>			<p>ensure compliance with EU Directives and NASCO principles. Voluntary measures agreed with a range of organisations, clubs and individuals. 4 of 6 commercial netmen agreed not to fish 2012 season — to be extended to 2013 season.</p> <p>Remaining 2 netmen refused to give undertaking without compensation. Legal advice received, and discussions on resolving this through an out of court settlement are now underway</p> <p>New G7 Admin and Policy in place. Recruitment of Chief Fisheries Officer completed and in post. Deputy Chief Fisheries Officer post filled in December 2012.</p>					
Previous	Month's Risk Rating:	M-H	M-H		M-L	M		L-M	L	

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2012/13 Resource Budget Allocation <u>(confirmed Jan position)</u> = £1176.09327m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation <u>(confirmed Jan position)</u> = £252.1768m</p>	M	M	1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up in the bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 and the Minister has now approved this. and a submission is with Minister for approval. Business Cases have been prepared for the additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion.</p> <p>A Statement of Intent has been drafted which seeks to provide a strategic context and approach to deliver on this priority and embed awareness of and concerted action against poverty and social exclusion across the Department and its ALBs. define Tackling Poverty and Social Exclusion and how this will be taken forward. Once cleared by SMT this will be forwarded to the Minister for approval</p>	M	M

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								<p>before circulation to the ALBs. This will <u>also support them form the basis on which this priority will be driven forward, skewing existing funding towards this and to development of new programmes and initiatives that can be delivered under</u>could bid against the Delivering Social Change Framework which has a £26m allocationed in both 13/14 and 14/15. <u>Work has already begun on formulating ideas around numeracy & literacy; and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus.</u></p> <p>Baselines need to be established and targets agreed with Minister. <u>Risk Owner: Deborah Brown</u></p>		
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Previous	Month's Risk Rating:	M	M		H	H		M	← M →
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5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p>Following recent flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. specifically in relation to those areas deemed more critical than others, i.e. Support to the Minister and Permanent Secretary; Fish Farm Management at Movanager & Bushmills; PRONI service to NI Courts and HET; and Draw down of payments to ALBs. BCP for MPSO & Communications Office has been prepared and cleared HOD. Draft BCPs for PRONI & Movanager/Bushmills have been drafted and will clear the business areas by the end of February. BCP for the draw-down of payments will be completed in March. The BCPs will then be subject to scenario</p>	M-H	L

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DC1 13 9546 Risk Register - February Update 2013

							<p>testing between April and September. Risk Owner: Deborah Brown/Jim Magee An updated plan is expected to be available for consideration by SMT during 2nd half of August. This will form the basis of a series of test scenarios in order to ensure the plan is valid. Departmental BCP has been updated and BCP for MPSO and Communications Office have also been drafted. These are being reviewed and will then be subject to testing]. Work on the BCP for PRONI has commenced and draft should be available at the end of January. Work on the Fish Farm business continuity plan will start in February.</p>		
Previous	Month's Risk Rating:	H	H		H	M		M-H	L

6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p><u>Planning</u> - Failure to obtain Planning Approval</p> <p><u>Legal challenges</u> - Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning. Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Realistic programme and project plans</p> <p>Benefits Realisation plans (owner – date)?</p> <p>Recommendations arising from Project health checks/ Gateway Review and Programme Gateway 0a Review being implemented</p> <p>One-off fixture at Casement Park in November 2012 to facilitate planning surveys.</p> <p>Project specific community engagement progressing. (owner – date)?</p> <p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Sept 2013)</p>	H-M	L-M

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		<p><u>Procurement- Potential for procurement challenge</u></p>			<p><u>Pre – action disclosure request under consideration</u></p> <p><u>Consideration of State Aid issues under review by Arthur Cox & DSO</u></p> <p><u>Procurement strategy agreed with CPD for each project.</u></p> <p><u>Continued involvement with CPD during procurement stages.</u></p>			<p><u>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (C.McGurk – July 2013 & Sept 2013)</u></p> <p><u>Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park) (Colin Watson – Feb 2013)</u></p> <p><u>Advice provided by Arthur coxCox & DSO – to be reviewed by Stadium Team (Stadium Team – Feb 2013)</u></p> <p><u>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(C.McGurk – July 2013 & Sept 2013)</u></p> <p><u>Social Clause framework in place- template documents being discussed with CPD/Gov</u></p>		
		<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p><u>Monthly Sponsor Board meetings (programme & project sponsorship)</u></p> <p><u>Monthly Programme Board Meetings (Assurance Meetings)</u></p> <p><u>Programme risk management strategy in place and being</u></p>					

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		<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p>			<p>implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. <u>Recommendations arising from project health checks/gateway review being implemented.</u></p> <p>Programme Director has been appointed and a Programme team is in place</p> <p><u>Implementation of any NIAO & internal Audit Recommendations</u></p> <p><u>Procurement strategy agreed with CPD.</u></p> <p><u>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning application submitted on 06 December 2012</u></p> <p><u>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</u></p> <p><u>Continued involvement with CPD during procurement stages.</u></p> <p><u>BRP template in place for each project. FBC consultants appointed for all projects.</u></p>			<p>Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 & June 2013)</p> <p><u>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk - ongoing)</u></p> <p><u>Implementation schedule in relation to NIAO/internal Audit recommendations. (CMcG - Ongoing)</u></p> <p><u>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (CMcGurk – Ongoing)</u></p> <p>Contracts Strategy workshops held for each project to mitigate risk of low tender submissions.</p> <p><u>Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (owner – date)?</u></p> <p><u>ICT Teams to review costings(owner – date)?</u></p>		
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		<p>Cost Management- Failure to ensure fit of project costs to agreed budget. challenges increases in project costs and capacity issues within governing bodies; preventing the realisation of the successful delivery of stadiums within the timescale, cost and quality required.</p> <p>Budgetary Implications:</p> <p>Total 2012/13 Capital Budget Allocation <u>(confirmed Jan position)</u> = £6.97.5m</p>			<p><u>IRFU UB – BRP & FBC in place</u></p> <p>Continued close liaison with DoE Strategic Projects Division on Planning- Community consultation actively progressing-</p> <p>Ongoing review of Optimism Bias</p> <p>Liaison with DSO as necessary</p> <p>Monthly review of spend profiles. <u>DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</u></p> <p><u>Review of costs at Project Board's & Project Steering Group's. Realistic programme and project plans</u></p> <p><u>Recommendations arising from Project health checks/ Gateway Review and Programme Gateway 0a Review being implemented</u></p>			<p>Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park) <u>(Colin Watson – Feb 2013)</u></p> <p><u>Possible report to EU Commission on State Aid issue (Colin Watson – Feb 2013)</u></p> <p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (CMcGurk – July 2013 & Sept 2013)</p> <p>Monthly review of spend profiles and notification to DFP of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p> <p>Cost reports for each project design– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at</p>		
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DC1 13 9546 Risk Register - February Update 2013

		Total Capital Budget Allocation over CSR period = £110m			<p><u>One-off fixture at Casement Park in November 2012 to facilitate planning surveys.</u></p> <p><u>Contracts Strategy workshops held for each project to mitigate risk of low tender submissions.</u></p> <p><u>Contractor in place for IFA</u></p> <p><u>Planning for GAA</u></p> <p><u>Contractor in place for GAA</u></p> <p><u>Consideration of State Aid issues</u></p>			<p><u>Programme board/Sponsor board(CMcGurk - ongoing)IFA ITT issued ensuring compliance with all advice given (Noel Molloy – Feb 2013)</u></p> <p><u>Community Consultation (GAA – ongoing)</u></p> <p><u>Planning to be submitted (GAA – 29 April 2013)</u></p> <p><u>GAA ITT issued ensuring compliance with all advice given (Noel Molloy – ?? 2013)</u></p>		
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Previous	Month's Risk Rating:	H	H		H	H		H-M	L-M
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Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	H RED	H RED	Gerard Murray and Stephen Kerr have joined 2013 Projects with responsibility for City of Culture. Project Director, Dermot McLaughlin has identified a number of additional delivery resources required. Letter of Offer template established. Major contracts approved to date include Colmcille, Sons & Daughters, Hofesch Schecter, Elvis Costello.	H RED	M - H RED	<ul style="list-style-type: none"> DCAL Business Case to be updated by March 2013. On-going monitoring of spend against profile. Consideration of Project Director's request for Optimism Bias to support additional resources. Benefits Realisation Plan to be finalised. <p>Regular teleconf established between Project Director and Perm Sec to provide updates on assurance.</p> <p>SRO to implement Health Check review recommendations.</p> <p>Assignee: Joanna McConway</p>	M - H RED	M - H RED

Previous month's rating:	H	H		H	M-H		M-H	M-H
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DC1 13 9546 Risk Register - February Update 2013

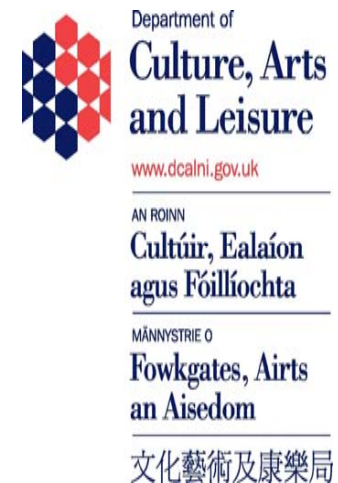
8. Governance Issues at Armagh Observatory & Planetarium Risk Owner: Museums, Libraries & Recreation Division – Mick Cory								
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk

<p><u>Museums & Libraries</u></p>	<p>1. Risk to accountability and the efficient and effective use of resources and failure to comply with MPMNI or GANI</p> <p>(M Cory)</p>	<p>M-H (Red)</p>	<p>M-H (Red)</p>	<p><u>AOP</u> <u>SICs</u> <u>Management Statements and Financial Memorandum</u> <u>Financial Procedures</u> <u>Economic Appraisals approved by Department</u> <u>Resource Allocation Plans; monthly expenditure profiles</u> <u>Audit and Risk Management Committee</u> <u>Internal Audit reports</u> <u>Regular Accountability meetings</u> <u>NIAO Management Letters and Reports</u> <u>ALBs Risk Assessment & QAS</u></p> <p><u>HOWEVER THERE IS CURRENTLY NO ADMINISTRATION MANAGER ON-SITE TO ENSURE ADHERENCE TO GUIDANCE AND PROVIDE SUPPORT TO ACCOUNTING OFFICERS</u></p>	<p>M-H (Red)</p>	<p>M-H (Red)</p>	<p><u>Implementation of Risk Assessment findings.</u> <u>Review of MSFMs ongoing.</u> <u>Staff structure review.</u> <u>ALB review</u> <u>Review of Sponsorship manual ongoing.</u></p> <p><u>URGENT NEED - Arrangements to be made for cover for Administrator Position.</u></p> <p><u>Includes risk of organisational 'paralysis' / disruption resulting from current staffing situation.</u></p> <p><u>HOB/DP (ongoing)</u> <u>Timescale – End of Month</u></p>	<p>M (Amber)</p>	<p>M (Amber)</p>
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2012-2013 (March Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: February Update

	Date of Completion
Last reviewed by Board/Director	26/02/13
Next review by Board/Director	26/03/13
Last reviewed by Audit Committee (if applicable)	13/12/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department. <u>Budgetary implications:</u> Total ALB 2012/13 Resource Budget Allocation (confirmed Jan position) = £87.23m Total ALB 2012/13 Capital Budget Allocation (confirmed Jan	M-H	M-H	Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. Statement of Internal Control governance statement (12/13) signed off annually, supported by quarterly assurance statements. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.	M	M	A definition of sponsorship has now been agreed and details what we are trying to achieve. A rationalised sponsorship manual is being collated on the basis of this definition, taking account of comments on the existing manual, to set out "how" we discharged our sponsorship, focusing on a set of principles and in line with the MSFM. Draft should be available by March-April 2013. Risk Owner: Deborah Brown/Sinead McCartan Remaining ALB risk assessments to be completed -Sponsor branch has indicated that the review of Foras and Ulster Scots Agency will take place in March-April 2013 when the Governance Statement for the Language Body is received.(Sinead McCartan – March April 2013) Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPF, ACNI and NIS has commenced.	M	L-M

	<p>position = £15.854m</p>			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion. .</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. . A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. This is expected to be completed in April 2013.</p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness.</p> <p>At the January Board it was agreed that in addition to the points raised by the SMT at the Away Day in November, a formal board assessment will be completed. The board assessment will be customised for DCAL and should be ready for completion by the board by 31st March with the results presented to the April Board. Following this the board and ARMC minutes will be reviewed and updated accordingly.</p> <p>Risk Owner: Deborah Brown/Paul Gamble Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed as part of the revised Sponsorship Manual.</p> <p>Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA and an action plan. A progress report has recently been received.</p>		
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DC1 13 17750 Risk Register - March Update 2013

						<p>Sport NI Chair and ARMC meeting with Department 27th February to finalise a number of actions and complete delivery of the recommendations.</p> <p>Some ALBs (NIS and NMNI) have expressed concerns in the fundamental acceptance of their role in the QAS process. The Department is engaging with all ALBs to resolve this issue. Senior Sponsors are meeting with their ALBs to ensure there is understanding and acceptance of roles which should resolve the issue. These meetings will be followed up by letters from the Senior Sponsor.</p>			
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

DC1 13 17750 Risk Register - March Update 2013

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £1.97m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. <u>Weekly meetings between CEO and Permanent Secretary instigated.</u></p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place;</p> <p>2. Event delivery and management arrangements are in hand and deliverable: Quality Assurance Team has been established. Membership will change dependent on the Team's focus.</p> <p>3. Income and sponsorship</p>	M-H	L-M	<p>Weekly Assurance and Update meetings instigated with Permanent Secretary</p> <p><u>Further actions aimed at addressing Emerging areas of risk:</u></p> <p><u>Impact from Flag Protests on registrations:</u></p> <p>1. Company monitoring registration numbers</p> <p>4.2. Company monitoring Social media commentary</p> <p>4.3. Company Chair has blogged reassurance statement</p> <p>4.4. Company Chair writing to CPO in GB and South.</p> <p>Risk Owner: Mick Cory Completion date: August 2013</p> <p><u>Opening Ceremony</u></p> <p>1. Location to be finalised following the outcome of recent assessment process</p> <p>2. Ceremonies content to be confirmed</p> <p>Risk Owner: WPFG Company</p>	M-H	L-M

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<p>DCAL has also agreed to try to manage a potential 13/14 pressure of £843k (subject to change iro VAT position) as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p>generation targets are well advanced</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>5. Opening Ceremony Venue not yet selected as Kings Hall. DCAL has intervened in the selection process to develop robust criteria and process; Board to meet on Thursday 21 Feb to select venue. Athlete and visitor numbers may have an impact on requirements.</p> <p><u>6. Athlete and visitor numbers monitoring. Indications are that the figures in the Business Plan (10,000 athletes, 15,000 visitors) may not be achieved. If so, Business Case may have to be revisited reviewed.</u></p> <p>DCAL Sponsor Branch developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.</p> <p><u>Clearance / approval times</u> <u>Company has raised concerns at the</u></p>		<p>Completion date: February 2013</p> <p><u>Cultural Programming</u> Concern that cultural programming in and around the Games may not be ambitious enough. <u>Wider Cultural programme to be developed, or of the quality expected.</u> 1. Company preparing a paper on cultural content for DCAL 1. Draft Business Case in preparation for the Cultural Programme. Risk Owner: Mick Cory Completion Date: March 2013</p> <p><u>Clearance / approval times</u> Company has raised concerns at the length of time for approvals for key matters. Meeting held to develop a protocol.</p> <p>Impact rating is Medium – High due to reputational and financial risk. Likelihood of Residual Risk is low-medium, given progress made to date. Overall rating is amber Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.</p> <p>Registrations. Company's marketing plan and strategy will be used to try and improve figures. Marketing Resource being sought through SIB</p> <p>(Mick Cory)</p>	
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DC1 13 17750 Risk Register - March Update 2013

				length of time for approvals for key matters. Meeting held to develop a protocol.						
Previous Month's Risk Rating:			H	M-H		M-H	L-M		M-H	L-M

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2012/13 Resource Budget Allocation (confirmed Jan position) = £117.093m</p> <p>Total ALB / Department 2012/13 Capital Budget Allocation (confirmed Jan position) = £25.178m</p>	H	H	1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up in the bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 and the Minister has now approved this. Business Cases have been prepared for the additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion.</p> <p>A Statement of Intent has been drafted which seeks to provide a strategic context and approach to deliver on this priority and embed awareness of and concerted action against poverty and social exclusion across the Department and its ALBs. Once cleared by SMT this will be forwarded to the Minister for approval before circulation to the ALBs. This will also support development of new programmes and initiatives that can be</p>	M	M

DC1 13 17750 Risk Register - March Update 2013

						<p>delivered under the Delivering Social Change Framework which has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy; and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus.</p> <p>Baselines need to be established and targets agreed with Minister. Risk Owner: Deborah Brown</p>				
Previous Month's Risk Rating:		M	M			H	H		M	M

DC1 13 17750 Risk Register - March Update 2013

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). Following flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. specifically in relation to those areas deemed more critical than others, i.e. Support to the Minister and Permanent Secretary; Fish Farm Management at Movanager & Bushmills; PRONI service to NI Courts and HET; and Draw down of payments to ALBs. BCP for MPSO & Communications Office has been prepared and cleared HOD. Draft BCPs for PRONI & Movanager/Bushmills have been drafted and will clear the business areas by the end of February March BCP for the draw-down of payments will be completed in April March. The BCPs will then be subject to 	M-H	L

DC1 13 17750 Risk Register - March Update 2013

						scenario testing between April and September 2013 . Risk Owner: Deborah Brown/Jim Magee				
Previous Month's Risk Rating:		H	H			H	M		M-H	L

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6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal-Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Sept 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (CMcGurk – July 2013 & Sept 2013)</p>	H-M	L-M

	<p><u>Procurement- Potential for procurement challenge</u></p> <p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p>Pre – action disclosure request under consideration</p> <p>Consideration of State Aid issues under review by Arthur Cox & DSO</p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being</p>			<p>Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park) (Colin Watson – Feb 2013)</p> <p>Advice provided by Arthur Cox & DSO – to be reviewed by Stadium Team (Stadium Team – Feb 2013)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(C.McGurk – July 2013 & Sept 2013)</p> <p>Social Clause framework in place- template documents being discussed with CPD/Gov Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 & June 2013)</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk - ongoing)</p> <p>Implementation schedule in relation to</p>		
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	<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p>			<p>implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p> <p>Monthly review of spend profiles. DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p>		<p>NIAO/internal Audit recommendations. (CMcG - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (CMcGurk – Ongoing)</p> <p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (CMcGurk – July 2013 & Sept 2013)</p> <p>Monthly review of spend profiles and notification to DFP of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p>		
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	<p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u></p> <p>Total 2012/13 Capital Budget Allocation (confirmed Jan position) = £6.9m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Review of costs at Project Board's & Project Steering Group's.</p>			<p>Cost reports for each project design– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(CMcGurk - ongoing)</p>		
<p>Previous Month's Risk Rating:</p>	<p>H</p>	<p>H</p>		<p>H</p>	<p>H</p>		<p>H-M</p>	<p>L-M</p>	

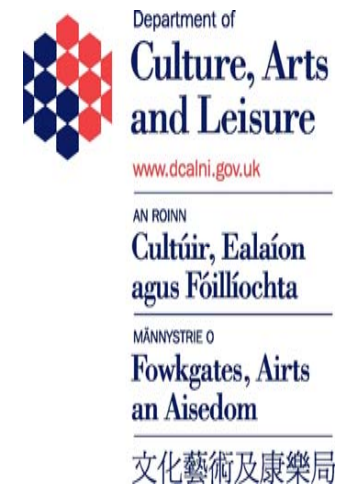
Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	H	H	<p><u>Weekly update meetings are held between DCAL and project partners - DCC and Culture Company.</u></p> <p><u>Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC.</u></p> <p><u>DCAL Officials have begun substantive work on a Benefits Realisation Plan to assist DCC. Benefits and targets which accurately reflect the DCAL business case and Ministerial priorities have been identified and a list provided to the Culture Company Community Programmers.</u></p> <p><u>Legacy planning is underway, with DCC having carried out a number of interviews with key stakeholders. A legacy meeting with DCC, DCAL, ACNI and Culture Company was held on 6th March and next steps, including population of a legacy</u></p>	H	M - H	<ul style="list-style-type: none"> • <u>DCAL Business Case to be updated by March 2013 to take account of up-to-date budget figures and benefits projections.</u> • <u>Ongoing monitoring of spend against profile.</u> • <u>Consideration of Project Director's request for Optimism Bias to support additional resources.</u> • <u>Benefits Realisation Plan to be finalised. Legacy framework to be populated.</u> <p><input type="checkbox"/> <u>DCAL Business Case to be updated by March 2013.</u></p> <p><input type="checkbox"/> <u>On going monitoring of spend against profile.</u></p> <p><input type="checkbox"/> <u>Consideration of Project Director's request for Optimism Bias to support additional</u></p>	M - H	M - H
		RED	RED		RED	RED		RED	RED
	Risk Owner: Arthur Scott								

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DC1 13 17750 Risk Register - March Update 2013

				<p>framework, were agreed. Culture Company programmers will take this forward with DCC. Gerard Murray and Stephen Kerr have joined 2013 Projects with responsibility for City of Culture.</p> <p>Project Director, Dermot McLaughlin has identified a number of additional delivery resources required.</p> <p>Letter of Offer template established.</p> <p>Major contracts approved to date include Colmcille, Sons & Daughters, Hofesch Schecter, Elvis Costello.</p>			<p>resources-</p> <ul style="list-style-type: none"> <input type="checkbox"/> Benefits Realisation Plan to be finalised. <input type="checkbox"/> Regular teleconf established between Project Director and Perm Sec to provide updates on assurance. <input type="checkbox"/> SRO to implement Health Check review recommendations. <input type="checkbox"/> <p>Assignee: Joanna McConway</p>			
Previous month's rating:			H	H		H	M-H		M-H	M-H



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

20123-20134 (April Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: April Update

	Date of Completion
Last reviewed by Board/Director	26/03/13
Next review by Board/Director	23/04/13
Last reviewed by Audit Committee (if applicable)	13/12/12

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2013 32/143 Resource Budget Allocation (confirmed Jan position Opening Budget) = £88.027.23m</p> <p>Total ALB</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place.</p> <p>Statement of Internal Control governance statement (12/13) signed off annually, supported by quarterly assurance statements. QAS and Governance Statement process in place.</p> <p>Departmental Board and ARMC TORs in place.</p> <p>Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best</p>	M	M	<p>A definition of sponsorship has now been agreed and details what we are trying to achieve.</p> <p>A rationalised sponsorship manual is being collated on the basis of this definition, taking account of comments on the existing manual, to set out "how" we discharged our sponsorship, focusing on a set of principles and in line with the MSFM. Final Draft of Sponsorship Guide to be presented to April Board. Following endorsement the Sponsorship Guide will replace the Sponsorship Manual. -should be available by April 2013.</p> <p>Risk Owner: Deborah Brown/Sinead McCartan</p> <p>Risk Owner: Deborah Brown/Paul Gamble Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p>	M	L-M

	<p>20132/143 Capital Budget Allocation (confirmed Jan positionOpening Budget) = £13.335.854m</p>			<p>practice.</p> <p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>Fraud awareness session provided Sept 2011. A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 <u>on a needs basis.</u></p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>QAS has been updated to incorporate elements of governance statement (which replaces the SIC in 12/13) and has issued to ALBs on 5/7/2012 for first quarters completion.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>Remaining ALB risk assessments to be completed -Sponsor branch has indicated that the review of Foras and Ulster Scots Agency will take place in April 2013 when the Governance Statement for the Language Body is received.(Sinead McCartan – April 2013)</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPF, ACNI and NIS has commenced.</p> <p>DCAL suggested changes to the N/S FM to support DCAL Governance requirements. These are being considered by the Finance Departments. A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. A draft sponsor manual for north south bodies has been drafted and is in the process of being reviewed. This is expected to be completed in April 2013 The NS Sponsor Manual has been drafted. The final version will not be issued until the Internal Audit review of the NS Bodies has been completed.</p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness.</p> <p>At the January Board it was agreed that in addition to the points raised by the SMT at the Away Day in November, a formal board assessment will be completed <u>assessment is being considered and will be completed in</u></p>		
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						<p>2013. The board assessment will be customised for DCAL and should be ready for completion by the board by 31st March with the results presented to the April Board. Following this the board and ARMC minutes will be reviewed and updated accordingly. Risk Owner: Deborah Brown/Paul Gamble Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed as part of the revised Sponsorship Manual.</p> <p>Emerging findings in the review of SNI are now being addressed through a Governance Review by CIPFA and an action plan. A progress report has recently been received. Sport NI Chair and ARMC meeting with Department 27th February to finalise a number of actions and complete delivery of the recommendations.</p> <p>Senior Sponsors have met with all Some ALBs (NIS and NMNI) have expressed concerns in the fundamental to enhance the understanding and acceptance by ALBs of their role in the QAS process. The Department is engaging with all ALBs to resolve this issue. Senior Sponsors are meeting with their ALBs to ensure there is understanding and acceptance of roles which should resolve the issue. These meetings will be followed up by letters from the Senior Sponsor and the Department will work with ALBs over the course of the 13/14 financial year to assist them in embedding the</p>		
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DC1 13 26277 Risk Register - April Update 2013

											assurance process effectively within their organisations.-		
Previous Month's Risk Rating:		M-H	M-H			M	M					M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications:</p> <p>WPFG 2012/13 Resource Budget Allocation = £4.972.95m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. Weekly meetings between CEO and Permanent Secretary instigated.</p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place;</p> <p>2. Sports-Event delivery and management arrangements are in hand and deliverable: Quality Assurance Team has been established. Membership will change dependent on the Team's focus.</p> <p>3. Income and sponsorship</p>	M-H	L-M	<p>Further actions aimed at addressing emerging areas of risk:</p> <p>Impact from Flag Protests on registrations:</p> <p>1. Company monitoring registration numbers</p> <p>2. Company monitoring Social media commentary</p> <p>3. Company Chair has blogged reassurance statement</p> <p>4. Company Chair writing to CPO in GB and South.</p> <p>Risk Owner: Mick Cory</p> <p>Completion date: August 2013</p> <p>Opening Ceremony</p> <p>1. Location to be finalised following the outcome of recent assessment process</p> <p>2. Ceremonies content to be confirmed</p> <p>Risk Owner: WPFG Company</p> <p>Completion date: February 2013</p> <p>Cultural Programming</p> <p>Concern that cultural programming in and</p>	M-H	L-M

		<p>for the difference.</p> <p>DCAL has also agreed to try to manage a potential 13/14 pressure of £939843k (subject to change iro VAT position) as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p>generation targets <u>achieved, are well advanced</u> <u>Income dependent upon registrations.</u></p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>5. Opening Ceremony Venue selected as Kings Hall. <u>Athlete and visitor numbers may have an impact on requirements.</u></p> <p>6. Athlete and visitor numbers monitoring <u>indicates. Indications are that the figures in the Business Plan (10,000 athletes, 15,000 visitors) may not be achieved. If so, Business Case may have to be reviewed.</u></p> <p><u>7. Pressure of £939k on 2013/14 budget (still within overall £6.88m).</u></p> <p>DCAL Sponsor Branch <u>has</u> developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.</p> <p><u>Clearance / approval times</u></p>			<p>around the Games may not be ambitious enough. Wider Cultural programme to be developed.</p> <p>Risk Owner: Mick Cory</p> <p>Completion Date: March 2013</p> <p>Impact rating is Medium—High due to reputational and financial risk. Likelihood of Residual Risk is low medium, given progress made to date. Overall rating is amber</p> <p>Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.</p> <p>Registrations Company's marketing plan and strategy will be used to try and improve figures.</p> <p>(Mick Cory)</p> <p><u>1. Accommodation capacity.</u> Company action plan includes securing <u>additional capacity from pop-up hotels and other sources; Registration exemption being pursued by Company; Review to be undertaken at 'bracketing' (May 2013).</u> <u>(Assignee WPFPG Ltd)</u></p> <p><u>2. Sports Delivery</u> <u>Sports delivery manager appointed, and delivery plan monitored.</u> <u>(Assignee WPFPG Ltd)</u></p> <p><u>3. Impact from reduction in Registrations</u> Company has developed contingency budget</p>		
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				<p>Company has raised concerns at the length of time for approvals for key matters. Meeting held to develop a protocol.</p>			<p>to reflect possible reduced numbers. Expenditure reviewed carefully prior to commitments to ensure impact of numbers understood; daily monitoring of registration numbers with regular reports to department. (Assignee WPFG Ltd)</p> <p>4. <u>Benefits realisation</u> KPIs monitored at Accountability meetings; (Assignee WPFG Ltd)</p> <p>5. <u>Opening Ceremony</u> Ceremonies content to be confirmed (Assignee WPFG Ltd)</p> <p>6. <u>Athlete and Visitor Numbers</u> a. <u>daily monitoring of registration numbers with regular reports to department</u> b. <u>Company has developed marketing action plan and strategy and new resources to implement.</u> (Assignee WPFG Ltd)</p> <p>7. <u>13/14 Budget pressure</u> DCAL Finance aware; Will aim to secure in June monitoring. (Assignee WPFG Branch)</p> <p><u>Impact rating is Medium – High due to potential reputational and financial risk. However, the Likelihood of Residual Risk is low-medium, given progress made to date.</u></p> <p><u>Overall rating is amber. Treated risk rating</u></p>		
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							remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.		
							(Mick Cory)		
Previous Month's Risk Rating:	H	M-H				M-H	L-M		M-H L-M

4. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2013/14 Resource Budget Allocation (confirmed Jan position) (Opening Budget) = £1167,804093m</p> <p>Total ALB / Department 2013/14 Capital Budget Allocation (confirmed Jan</p>	H	H	<p>1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.</p> <p><u>Departmental Business plan has been redrafted in line with Ministerial priorities.</u></p>	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up in the bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 and the Minister has now approved this. Business Cases have been prepared for the additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15. Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion. <u>Strategic Team has provided critique of ALB Business plans which has been shared with Sponsor Branches.</u></p> <p><u>Strategic Team has begun work on considering a pilot scheme for Action Zones.</u></p> <p><u>A Statement of Intent has been drafted which seeks to provide a strategic context and approach to deliver on this priority and embed awareness of and concerted action against</u></p>	M	M

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		<p>position Opening Budget) = £25.178m33.915m</p>						<p>poverty and social exclusion across the Department and its ALBs. Once cleared by SMT this will be forwarded to the Minister for approval before circulation to the ALBs. This will also support development of new programmes and initiatives that can be delivered under the Delivering Social Change Framework which has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy; and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus.</p> <p>Baselines need to be established and targets agreed with Minister. Risk Owner: Deborah Brown</p>		
Previous Month's Risk Rating:			M	M		H	H		M	M

5. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<ol style="list-style-type: none"> 1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas. 2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run). <p>Following flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan. specifically in relation to those areas deemed more critical than others, i.e. Support to the Minister and Permanent Secretary; Fish Farm Management at Movanager & Bushmills; PRONI service to NI Courts and HET; and Draw down of payments to ALBs.</p> <p>BCP for MPSO & Communications Office has been prepared and cleared HOD. Draft BCPs for PRONI & Movanager/Bushmills have been drafted and will clear the business areas by the end of April ^{March}. BCP for the draw-down of payments will be completed in April. The BCPs will then be subject to scenario</p>	M-H	L

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						testing between May April and September 2013. Risk Owner: Deborah Brown/Jim Magee				
Previous Month's Risk Rating:		H	H			H	M		M-H	L

6. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Sept 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (CMcGurk – July 2013 & Sept 2013)</p>	H-M	L-M

	<p><u>Application for leave for a Judicial review by Crusaders FC</u></p> <p><u>Procurement-Potential for procurement challenge</u></p> <p><u>Programme Governance-Failure to ensure effective governance and</u></p>			<p><u>Application for leave for Judicial Review lodged with High Court (state Aid).</u></p> <p><u>DCAL appointed DSO & Counsel and will robustly defend this issue.</u></p> <p><u>Dept believes the aid not to be state aid and even if declared state aid, then the dept believes it would be deemed compatible state aid. Pre-action disclosure request under consideration</u></p> <p><u>Consideration of State Aid issues under review by Arthur Cox & DSO</u></p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p>		<p><u>Adjourment request to be heard by high Court on 15th May 2013.</u></p> <p><u>Adjourment not granted leave hearing to be heard on 21st May 2013.</u></p> <p><u>Series of meetings arranged with DSO, Counsel, DETI & BIS. N.Molloy- Ongoing)</u></p> <p><u>DCAL engagement with BIS & DCMS on potential for notification to EU commission. N.Molloy- Ongoing)</u></p> <p><u>Seeking legal advice from DSO on pre-action disclosure request (potential Judicial Review Proceedings re development of Windsor Park) (Colin Watson – Feb 2013)</u></p> <p><u>Advice provided by Arthur Cox & DSO to be reviewed by Stadium Team (Stadium Team – Feb 2013)</u></p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(<u>C.McGurkN.Molloy</u> – July 2013 & Sept 2013)</p>		
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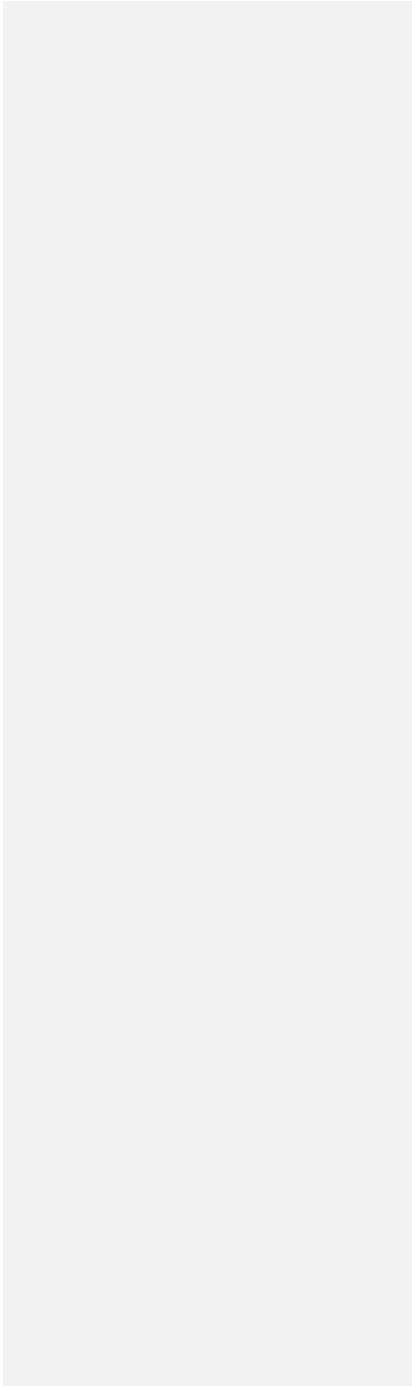
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	<u>management of the programme.</u>						<p>Social Clause framework in place- template documents being discussed with CPD/Gov Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 & June 2013)</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (CMcG - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (CMcGurk – Ongoing)</p> <p>New programme SRO to be appointed.</p>		
	<u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u>			<p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p>					
	<u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR</u>			<p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p>			<p>FBC/BRP schedule in place – Key Milestones</p>		

<p>period.</p> <p>Cost Management- Failure to ensure fit of project costs to agreed budget.</p> <p>Budgetary Implications:</p> <p>Total 20132/143 Capital Budget Allocation (confirmed Jan position Opening Budget) = £206.9m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Monthly review of spend profiles. DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p> <p>Review of costs-project budgets at Project Board's & Project Steering Group's.</p>			<p>dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (CMcGurk – July 2013 & Sept 2013)</p> <p>Monthly review of spend profiles and notification to DFP-DCAL Finance Branch of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p> <p>Cost reports for each project designProject Budget reports provided at all design stages – review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(CMcGurk - ongoing)</p>		
<p>Previous Month's Risk Rating:</p>	<p>H</p>	<p>H</p>		<p>H</p>	<p>H</p>		<p>H-M</p>	<p>L-M</p>

Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely</p>	Green	

and there are no major outstanding issues that at this stage appear to threaten delivery significantly.

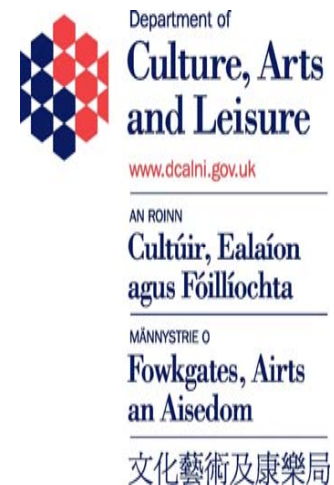


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7. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	H	H	Weekly update meetings are held between DCAL and project partners - DCC and Culture Company. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. DCAL Officials have begun substantive work on a Benefits Realisation Plan to assist DCC. Benefits and targets which accurately reflect the DCAL business case and Ministerial priorities have been identified and a list provided to the Culture Company Community Programmers. Legacy planning is underway, with DCC having carried out a number of interviews with key stakeholders. A legacy meeting with DCC, DCAL, ACNI and Culture Company was held on 6th March and n Next steps, including population of a legacy	H	M - H	<ul style="list-style-type: none"> DCAL Business Case to be updated by March-April 2013 to take account of up-to-date budget figures and benefits projections. Ongoing monitoring of spend against profile. Consideration of Project DirectorSRO's request for Optimism Bias to support additional resources. Benefits Realisation Plan to be finalised. Legacy framework to be populated. <p>Assignee: Joanna McConway</p>	M - H	M - H
		RED	RED		RED	RED		RED	RED
	Risk Owner: Arthur Scott								

DC1 13 26277 Risk Register - April Update 2013

				framework, were have been agreed. Culture Company programmers will take this forward with DCC.					
Previous month's rating:									
		H	H		H	M-H		M-H	M-H



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (May Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Version Control: May Update

	Date of Completion
Last reviewed by Board/Director	23/04/13
Next review by Board/Director	21/05/13
Last reviewed by Audit Committee (if applicable)	21/03/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2013/14 Resource Budget Allocation (Opening Budget) = £88.02m</p> <p>Total ALB 2013/14 Capital Budget Allocation (Opening Budget) = £13.33m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Manual and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place.</p> <p>Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on</p>	M	M	<p>Final Draft of Sponsorship Guide to be presented to April Board. Following endorsement the Sponsorship Guide will replace the Sponsorship Manual.</p> <p>Risk Owner: Deborah Brown/Sinead McCartan</p> <p>Risk Owner: Deborah Brown/Paul Gamble</p> <p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed -Sponsor branch has indicated that the review of Foras and Ulster Scots Agency will take place in April 2013 when the Governance Statement for the Language Body is received. (Sinead McCartan April 2013)</p> <p>Risk assessment process has been reviewed</p>	M	L-M

				<p>monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 on a needs basis.</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Final Draft of Sponsorship Guide/Guide was presented to and endorsed by April Board. The Sponsorship Guide now replaces the Sponsorship Manual and has issued across the Department for immediate application.</p>			<p>and updated and has been rolled out to ALBs to reassess risk ratings. Risk assessment of WPF, ACNI and NIS and AOP has commenced.</p> <p>The NS Sponsor Manual has been drafted. It is currently being reviewed in the context of the DCAL Sponsorship Guide and it is expected that the final version will not be issued until the Internal Audit review of the NS Bodies has been completed. In June 2013</p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness. Proposed changes to the ARC ToR are scheduled to be presented to the ARC in May 2013 for agreement. The ToR will then go to the Departmental Board for endorsement At the January Board it was agreed that in addition to the points raised by the SMT at the Away Day in November, a formal board assessment is being considered and will be completed in 2013. Board assessment is currently being considered and will inform a review of the Board ToR</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings will be followed up by letters from the Senior Sponsor and the Department will work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively</p>
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				<p>Risk Owner: Deborah Brown/Sinead McCartan</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>			<p>within their organisations.</p>			
Previous Month's Risk Rating:			M-H	M-H		M	M		M	L-M

DC1 13 31890 Risk Register - May Update 2013

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications:</p> <p>WPFG 2013/14 Resource Budget Allocation = £2.95m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</p>	H	M-H	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. Weekly meetings between CEO and Permanent Secretary instigated.</p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place; <u>Pop up accommodation providers have withdrawn their WPFG allocation due to slow progress with the amendment to the legislation.</u></p> <p>2. Sports delivery and management arrangements are in hand and deliverable:</p>	M-H	L-M	<p>1. <u>Accommodation capacity.</u> Company action plan includes securing additional capacity from pop-up hotels and other sources; <u>Company is confident that there is sufficient accommodation for 16-17,000 people within 60 mins of Belfast. Registration exemption being pursued by Company;</u> Review to be undertaken at 'bracketing' (May 2013). (Assignee WPFG Ltd)</p> <p>2. <u>Sports Delivery</u> Sports delivery manager appointed, and delivery plan monitored. (Assignee WPFG Ltd)</p> <p>3. <u>Impact from reduction in Registrations</u> Company has developed contingency budget to reflect possible reduced numbers. Expenditure reviewed carefully prior to commitments to ensure impact of numbers understood; daily monitoring of registration numbers with regular reports to department. (Assignee WPFG Ltd)</p>	M-H	L-M

<p>DCAL has also agreed to try to manage a potential 13/14 pressure of £939k (subject to change iro VAT position) as part of the BC Addendum process.</p> <p>No Capital Budget Allocation</p>			<p>3. Income and sponsorship generation targets achieved. Income dependent upon registrations.</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>5. Opening Ceremony Venue selected as Kings Hall.</p> <p>6. Athlete and visitor numbers monitoring indicates that the figures in the Business Plan (10,000 athletes, 15,000 visitors) may not be achieved.</p> <p>7. Pressure of £939k on 2013/14 budget (still within overall £6.88m).</p> <p>DCAL Sponsor Branch has developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.</p>			<p>4. <u>Benefits realisation</u> KPIs monitored at Accountability meetings; (Assignee WPFPG Ltd)</p> <p>5. <u>Opening Ceremony</u> Ceremonies content to be confirmed. <u>Work is ongoing with BCC to agree content.</u> (Assignee WPFPG Ltd)</p> <p>6. <u>Athlete and Visitor Numbers</u></p> <p>a. daily monitoring of registration numbers with regular reports to department. <u>Company are working to a scenario of 8,400 athletes and 8,400 friends and family, however, the target remains 10,000 athletes and 15,000 friends and family.</u></p> <p>b. Company has developed marketing action plan and strategy and new resources to implement, <u>particularly in GB where staff are attending services sporting events to encourage people to register. Awareness event hosted by the Health Committee for the NIFRS and Irish Fire Service.-</u> (Assignee WPFPG Ltd)</p> <p>7. <u>13/14 Budget pressure</u> DCAL Finance aware; Will aim to secure in June monitoring. (Assignee WPFPG Branch)</p>		
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						<p>Impact rating is Medium – High due to potential reputational and financial risk. However, the Likelihood of Residual Risk is low-medium, given progress made to date.</p> <p>Overall rating is amber. Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.</p> <p>(Mick Cory)</p>			
Previous Month's Risk Rating:	H	M-H			M-H	L-M		M-H	L-M

3. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2013/14 Resource Budget Allocation (Opening Budget) = £116.804m</p> <p>Total ALB / Department 2013/14 Capital Budget Allocation (Opening Budget) = £33.915m</p>	H	H	<p>1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.</p> <p>Departmental Business plan has been redrafted in line with Ministerial priorities.</p>	H	H	<p>1. Work has commenced to communicate this message across the Department and its ALBs. A letter has been drafted from Minister to ALB Chairs which will be followed up in the bi-laterals and by the sponsor branches. Potential projects have been identified to tackle poverty and social exclusion to be taken forward in 12/13 and the Minister has now approved this. Business Cases have been prepared for the additional £1.5m per annum secured for GAA, IFA and Rugby in 12/13, 13/14 and 14/15. Work is progressing to identify projects in 13/14 and 14/15.</p> <p>Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion. Strategic Team has provided critique of ALB Business plans which has been shared with Sponsor Branches.</p> <p>Strategic Team has begun work on considering a pilot scheme for Action Zones.</p> <p>The Delivering Social Change Framework has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy; and</p>	M	M

						<p>disability. Ageing has also been highlighted by OFMDFM as an area of potential focus.</p> <p>Baselines need to be established and targets agreed with Minister.</p> <p>Departmental Business is being redrafted in line with Ministerial priorities and Departmental and statutory obligations.</p> <p>Risk Owner: Deborah Brown</p>			
Previous Month's Risk Rating:		H	H					M	M

DC1 13 31890 Risk Register - May Update 2013

4. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ol style="list-style-type: none"> 1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan. 	H	M	<p>1. Business Continuity Plan and Emergency Plan are being updated. Business areas have completed scenario planning for their areas.</p> <p>2. Papers on Emergency Planning and Business Continuity planning were presented to SMT in October which will incorporate issues around industrial action and pandemics. Further work has been delayed due to other competing priorities (2012 Torch Run).</p> <p>Following flooding within the Stormont Estate renewed focus has been given to the Business Continuity Plan, specifically in relation to those areas deemed more critical than others, i.e. Support to the Minister and Permanent Secretary; Fish Farm Management at Movanager & Bushmills; PRONI service to NI Courts and HET; and Draw down of payments to ALBs.</p> <p>BCP for MPSO & Communications Office has been prepared and cleared HOD. Draft BCPs for PRONI & Movanager/Bushmills have been drafted and will clear the business areas by the end of April. BCP for the draw down of payments will be completed in April. The BCPs will then be subject to scenario testing</p>	M-H	L

DC1 13 31890 Risk Register - May Update 2013

						between May and September 2013. Risk Owner: Deborah Brown/Jim Magee				
Previous Month's Risk Rating:		H	H			H	M		M-H	L

DC1 13 31890 Risk Register - May Update 2013

5. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Sept 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (CMcGurk – July 2013 & Sept 2013)</p>	H-M	L-M

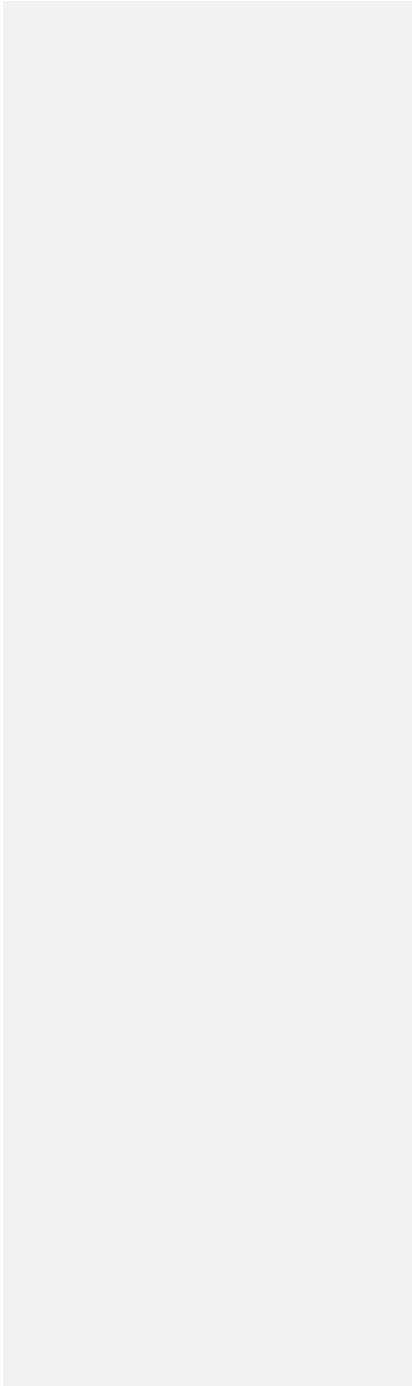
	<p><u>Application for leave for a Judicial review by Crusaders FC</u></p> <p><u>Procurement-Potential for procurement challenge</u></p> <p><u>Programme Governance-Failure to ensure effective governance and</u></p>			<p>Application for leave for Judicial Review lodged with High Court (state Aid).</p> <p>DCAL appointed DSO & Counsel and will robustly defend this issue.</p> <p>Dept believes the aid not to be state aid and even if declared state aid, then the dept believes it would be deemed compatible state aid.</p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p>			<p>Adjournment request heard by high court on 15th May 2013.</p> <p>Adjournment not granted. Leave leave. Hearing to be heard on 21st May 2013.</p> <p>Series of meetings arranged with DSO, Counsel, DETI & BIS. N.Molloy- Ongoing)</p> <p>DCAL engagement with BIS & DCMS on potential for notification to EU commission. N.Molloy- Ongoing)</p> <p>Pre notification drafting and potential engagement with EU commission. (N.Molloy-Ongoing)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(N.Molloy – July 2013 & Sept 2013) ??</p> <p>Social Clause framework in place- template documents being discussed with CPD/Gov Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 & June 2013)???</p>		
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<p><u>period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u></p> <p>Total 2013/14 Capital Budget Allocation (Opening Budget) = £20m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(CMcGurk - ongoing)</p>		
<p>Previous Month's Risk Rating:</p>	H	H		H	H		H-M	L-M

Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

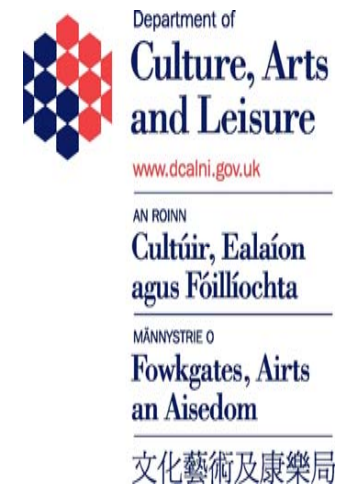


DC1 13 31890 Risk Register - May Update 2013

6. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	H RED	H RED	Weekly update meetings are held between DCAL and project partners - DCC and Culture Company. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. DCAL Officials have begun substantive work on a Benefits Realisation Plan to assist DCC. Benefits and targets which accurately reflect the DCAL business case and Ministerial priorities have been identified and a list provided to the Culture Company Community Programmers. Legacy planning is underway with DCC having carried out a number of interviews with key stakeholders. Next steps, including population of a legacy framework, have been agreed. Culture Company programmers will take this forward with DCC. A draft	H RED	M - H RED	<ul style="list-style-type: none"> DCAL Business Case to be updated by April <u>May</u> 2013 to take account of up-to-date budget figures and benefits projections. Ongoing monitoring of spend against profile. Consideration of SRO's request for Optimism Bias to support additional resources <u>unforeseen/unforeseen costs</u>. Benefits Realisation Plan to be finalised. Legacy framework to be populated <u>Plan to be finalised</u>. <p>Assignee: Joanna McConway</p>	M - H RED	M - H RED
	Risk Owner: Arthur Scott								

DC1 13 31890 Risk Register - May Update 2013

					Legacy plan was sent to the Department for consideration. The Minister made a number of comments on the draft plan which have been issued to DCC for action.					
Previous month's rating:			H	H		H	M-H		M-H	M-H



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (June Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

<u>Risk</u>	<u>Threat</u>	<u>Treated Risk</u>		<u>Weighted</u>
		<u>Impact</u>	<u>Likelihood</u>	<u>Scoring</u>
<u>1</u>	<u>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</u>	<u>M</u>	<u>L/M</u>	<u>6</u>
<u>2</u>	<u>Games are delivered on-time, to budget, value for money and benefits are realised.</u>	<u>M-H</u>	<u>L-M</u>	<u>8</u>
<u>3</u>	<u>Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</u>	<u>M</u>	<u>M</u>	<u>9</u>
<u>4</u>	<u>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</u>	<u>M-H</u>	<u>L</u>	<u>4</u>
<u>5</u>	<u>Inherent risks associated with large capital projects of this nature</u>	<u>M-H</u>	<u>L-M</u>	<u>8</u>

6	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M-H	M-H	16
7	We have identified a 1 metre wide by 1metre deep hole in a 300 metre weir at Carnroe on the Lower Bann.	M	M	9

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Version Control: June Update

	Date of Completion
Last reviewed by Board/Director	21/05/13
Next review by Board/Director	25/06/13
Last reviewed by Audit Committee (if applicable)	29/05/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2013/14 Resource Budget Allocation (Opening Budget) = £88.02m</p> <p>Total ALB 2013/14 Capital Budget Allocation (Opening Budget) = £13.33m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship ManualGuide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place.</p> <p>Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p>Internal Audit and External audit programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on</p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPF, ACNI , NIS and AOP has commenced.</p> <p>The NS Sponsor Manual has been drafted. It is currently being reviewed in the context of the DCAL Sponsorship Guide and it is expected that the final version will be issued In June 2013</p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness. Proposed changes to the ARC ToR are scheduled to be were presented to the ARC in May 2013 for agreement. ARC agreed that changes and the ToR will</p>	M	L-M

				<p>monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 on a needs basis.</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board. The Sponsorship Guide now replaces the Sponsorship Manual and has issued across the Department for immediate application. .</p> <p>Risk Owner: Deborah Brown/Sinead</p>			<p>thennow go to the Departmental Board for endorsement <u>in June 2013</u></p> <p>Board assessment is currently being considered and will inform a review of the Board ToR</p> <p><u>A formal review of the Department's compliance with the Corporate Governance Code has been undertaken and will be brought to June Board for endorsement.</u></p> <p><u>Audit Committee Chair's workshop and Strategic Partnership Forum to be held in June 2013.</u></p>		
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DC1 13 39737 Risk Register - June Update 2013

				<p>McCartan</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	Games are delivered on-time, to budget, value for money and benefits are realised.	H	M-H	Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. Weekly meetings between CEO and Permanent Secretary instigated.	M-H	L-M	1. <u>Accommodation capacity.</u> Company action plan includes securing additional capacity from other sources; Company is confident that there is sufficient accommodation for 16-17,000 people within 60 mins of Belfast.; <u>Review to be undertaken at 'bracketing' (May 2013).</u> (Assignee WPFG Ltd)	M-H	L-M
	<p>Budgetary Implications:</p> <p><u>The total World Police and Fire Games budget for delivery of the games is £13.8m.</u></p> <p><u>DCAL, is providing up to £6.88m, (£3.93m in 13/14).</u></p> <p><u>The balance comes from sponsorship and fees charged to athletes for entering the Games</u></p> <p>WPFG 2013/14</p>			<p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place; Pop up accommodation providers have withdrawn their WPFG allocation due to slow progress with the amendment to the legislation.</p> <p>2. Sports delivery and management arrangements are in hand and deliverable.</p>			<p>2. <u>Sports Delivery</u> Sports delivery manager appointed, and delivery plan <u>underway and being</u> monitored. (Assignee WPFG Ltd)</p> <p>3. <u>Impact from reduction in Registrations</u> Company has developed contingency budget <u>plans</u> to reflect possible reduced numbers. Expenditure reviewed carefully prior to commitments to ensure impact of numbers understood; daily monitoring of registration numbers with regular reports to department. (Assignee WPFG Ltd)</p> <p>4. <u>Benefits realisation</u> KPIs monitored at Accountability meetings;</p>		

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	<p>Resource Budget Allocation = £2.95m</p> <p>WPFG Resource Budget Allocation over CSR period = £6.040m.</p> <p>Overall Cost £13.8m. Reliance on BIK, sponsorship, registration fees and merchandising for the difference.</p> <p>DCAL has also agreed to try to manage a potential There is a 13/14 pressure of £989k (subject to change iro VAT position) as part of the BC Addendum process. Bid made in June monitoring</p> <p>No Capital Budget Allocation</p>			<p>3. Income and sponsorship generation targets achieved. Income dependent upon registrations.</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation - Draft Post Project Evaluation plan developed. Plan to be amended to reflect DCAL's comments.</p> <p>5. Opening Ceremony Venue selected as Kings Hall. <u>Detailed content and operational plans in hand.</u></p> <p>6. Athlete and visitor numbers monitoring indicates that the figures in the Business Plan (10,000 athletes, 15,000 visitors) may not be achieved. <u>Company has developed marketing action plan and strategy and new resources to implement. Review undertaken at 'bracketing' in May 2013 indicates numbers likely to be 7-8,000, with similar number of visitors.</u></p> <p>7. <u>Budgetary P pressures. _of £989k on 2013/14 budget (still within overall £6.88m) – Bid made in June monitoring. Reduced athlete numbers – Company has confirmed there are no Departmental budgetary implications arising from 7,000 athletes' attendance.</u></p>			<p>(Assignee WPFG Ltd)</p> <p>5. <u>Opening Ceremony</u> Ceremonies content to be confirmed <u>by WPFG Board</u>. Work is ongoing with BCC to agree content <u>and manage event. Updated paper on content provided to the Department.</u> (Assignee WPFG Ltd)</p> <p>6. <u>Athlete and Visitor Numbers</u></p> <p>a. <u>Bracketing now completed. Company is forecasting 7-8,000 daily monitoring of registration numbers with regular reports to department. Company are working to a scenario of 8,400 athletes and similar number 8,400 of friends and family. _however, the target remains 10,000 athletes and 15,000 friends and family. Significant drop in anticipated numbers from GB.</u></p> <p>b. <u>Company has developed Marketing action plan and strategy with and new resources deployed to implement, particularly in-targeting GB where staff are have been attending services sporting events to encourage people to register. Chief Police officers written to. Leaflets distributed to G8 police officers. Awareness event hosted by the Health Committee for the NIFRS and Irish Fire Service.</u></p>		
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DC1 13 39737 Risk Register - June Update 2013

				<p>DCAL Sponsor Branch has developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.</p>			<p><u>Letter drafted for Minister to GB Ministers (with PO)</u> (Assignee WPFPG Ltd)</p> <p>7. <u>13/14 Budget pressure</u> DCAL Finance aware; Will aim<u>Bid in -to secure in</u> June monitoring. (Assignee WPFPG Branch)</p> <p>Impact rating is Medium – High due to potential reputational and financial risk. However, the Likelihood of Residual Risk is low-medium, given progress made to date.</p> <p>Overall rating is amber. Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.</p> <p>(Mick Cory)</p>		
Previous Month's Risk Rating:		H	M-H		M-H	L-M		M-H	L-M

3. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.</p> <p>Total ALB / Department 2013/14 Admin & Resource Budget Allocation (Opening Budget) = £116.804m</p> <p>Total ALB / Department 2013/14 Capital Budget Allocation (Opening Budget) = £33.915m</p>	H	H	1. Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities.	H	H	<p>Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion. Strategic Team has provided critique of ALB Business plans which has been shared with Sponsor Branches. Finalised ALB Business plans for the five largest ALBs have been submitted to the Minister for review and approval.</p> <p>Strategic Team has begun work on considering a pilot scheme for Action Zones.</p> <p>The Delivering Social Change Framework has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy; and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus. An initial meeting has taken place with OFMDFM to discuss the development of a disability strategy.</p> <p>Baselines need to be established and targets agreed with Minister. Departmental Business is being redrafted in line with Ministerial priorities and</p>	M	M

DC1 13 39737 Risk Register - June Update 2013

						<p>Departmental and statutory obligations. The Department is working to zero base 14/15 budgets to ensure maximum release or redirection of discretionary budgets towards Departmental priorities and statutory obligations. This will be discussed with ALBs at the upcoming Audit Chair's workshop and Strategic Partnership Forum in June 2013. Risk Owner: Deborah Brown</p>				
Previous Month's Risk Rating:			H	H		H	H		M	M

DC1 13 39737 Risk Register - June Update 2013

4. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p><u>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013</u></p>	H	M	<p>1. Business Continuity Plan and Emergency Plan are being updated. Draft BCPs for PRONI & Movanager/Bushmills have been drafted. The BCPs will then be subject to scenario testing between May and September 2013.</p> <p>Risk Owner: Deborah Brown/Jim Magee <u>The Business Continuity Plan focuses on those business functions deemed more critical than others. They are:</u></p> <p><u>Support to the DCAL Minister and Permanent Secretary – complete;</u> <u>Fish Farm Management at Movanager & Bushmills – all risks/contingency measures in place. These have to be dropped into the relevant functional plan;</u> <u>PRONI support to HET & Court Service – new tolerance levels agreed and will be slotted into the relevant functional plans;</u> <u>Draw-Down of Payments to ALBs – plan being finalised.</u></p> <p><u>Scenarios are to be developed over the summer and plans subject to testing in September.</u></p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

DC1 13 39737 Risk Register - June Update 2013

5. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Nov 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (CMcGurk – July 2013 & Sept 2013)</p>	H-M	L-M

	<p><u>Application for leave for a Judicial review by Crusaders FC</u></p>				<p>Application for leave for Judicial Review lodged with High Court (state Aid).</p> <p>DCAL appointed DSO & Counsel and will robustly defend this issue.</p> <p>Dept believes the aid not to be state aid and even if declared state aid, then the dept believes it would be deemed compatible state aid.</p>			<p>Adjournment request heard by high court on 15th May 2013.</p> <p>Adjournment not granted. Leave Hearing to be heard on 21st May 2013. Leave granted, hearing date scheduled for 13/12/13.</p> <p>Series of meetings arranged with DSO, Counsel, DETI & BIS. N.Molloy- Ongoing)</p> <p>DCAL engagement with BIS & DCMS on potential for notification to EU commission <u>strategy to resolve the issue.</u> N.Molloy- Ongoing)</p> <p>Pre notification drafting and potential engagement with EU commission. (N.Molloy- Ongoing)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(N.Molloy – July 2013 & Sept 2013)</p> <p>Social Clause framework in place- template documents being discussed with CPD/Gov</p>		
	<p><u>Procurement- Potential for procurement challenge</u></p>				<p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p>					

	<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p>			<p>Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 &– June 2013)</p> <p><u>Continue to work with CPD & GAA to resolve procurement queries from E.O on t elST appointment for GAA (N.Molloy – 28 June 2013)</u></p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (CMcG - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (CMcGurk – Ongoing)</p> <p>New programme SRO to be appointed <u>now appointed.</u></p>		
	<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p>			<p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p>					

	<p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u></p> <p>Total 2013/14 Capital Budget Allocation (Opening Budget) = £20m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Monthly review of spend profiles. DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (CMcGurk – July 2013 & Sept 2013)</p> <p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(CMcGurk - ongoing)</p>		
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Previous Month's Risk Rating:	H	H		H	H		H-M	L-M
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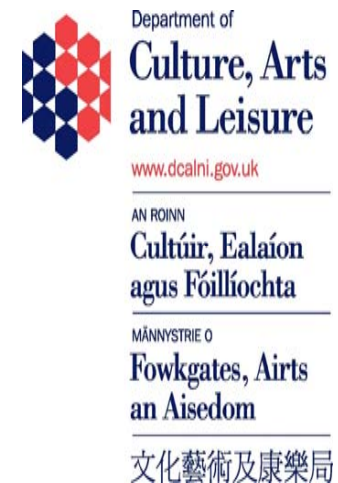
Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

6. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H RED	H RED	<p>Weekly update meetings are held between DCAL and project partners - DCC and Culture Company.</p> <p>Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC.</p> <p>DCAL Officials have begun substantive work on a Benefits Realisation Plan to assist DCC. Benefits and targets which accurately reflect the DCAL business case and Ministerial priorities have been identified and a list provided to the Culture Company Community Programmers.</p> <p>Legacy planning is underway. A draft Legacy plan was sent to the Department for consideration. The Minister made a number of comments on the draft plan which have been issued to DCC for action. <u>Derry City Council are working towards having a draft legacy plan completed by the</u></p>	H RED	M - H RED	<ul style="list-style-type: none"> DCAL Business Case to be updated by May-June 2013 to take account of up-to-date budget figures and benefits projections. Ongoing monitoring of spend against profile. Consideration of SRO's request for Optimism Bias to support additional unforeseen costs. Benefits Realisation Plan to be finalised. Legacy Plan to be finalised. <p>Assignee: Joanna McConway</p>	M - H RED	M - H RED

					end of June with a final costed plan available in September.				
Previous month's rating:		H	H			H	M-H		M-H M-H
7. Strategic Goal : Waterways Ireland Capital Budget Risk Owner: Culture Division – Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Waterways Ireland (WI) Capital Budget – WI have identified a 1metre wide by 1metre deep hole in a 300metre weir at Carnroe on the Lower Bann.	<p>1.If the weir failed there is potential risk of injury or death to fishermen immediately downstream of the weir.</p> <p>2. WI capital budget for 2013/14 is £250k. Costs of repair are estimated to be £500k however if the project were to encounter the same difficulties that Rivers Agency encountered with a recent repair of a similar weir costs could escalate to between £1m-£3m</p> <p>3. The initial flow of</p>	H	H	<p>No interim physical measures are possible until funds are secured.</p> <ul style="list-style-type: none"> WI has completed a risk assessment. WI, monitor and visually inspect the weir on a daily basis. WI have written to and met with Bann Systems who own the Salmon fishery downstream. Rivers Agency who are responsible for drainage have been informed. WI have met with DCAL Fisheries and advised of the impacts from a fisheries perspective. Local education outdoor pursuit centres have been informed Signage is being prepared to warn canoeists. Submission has been sent to the Minister advising of the position and DCAL Finance advised of the likely bid to cover potential costs 	M	M	WI will forward a robust business case as a matter of urgency which will detail potential costs. This will enable DCAL officials to bid for additional funds to carry out works to reduce/eliminate the risk.	M	M

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		<p><u>water is likely to damage the game fishery at Carnroe.</u> <u>4. Without the retention of water provided by the weir it is likely that the navigation from Movanager to Carnroe would be closed due to inadequate water depth to accommodate boats. This would bisect the navigation. Recreational users and cruise hire business would be affected.</u></p>								
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (August Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION - LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Treated Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	L/M	6
2	Games are delivered on-time, to budget, value for money and benefits are realised.	M-H	L-M	8
3	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	M	M	9
4	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	M-H	L	4
5	Inherent risks associated with large capital projects of this nature	M-H	L-M	8

6	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M-H	M-H	16
7	We have identified a 1 metre wide by 1metre deep hole in a 300 metre weir at Carnroe on the Lower Bann.	M	M	9

Version Control: August Update

	Date of Completion
Last reviewed by Board/Director	25/06/13
Next review by Board/Director	06/08/13
Last reviewed by Audit Committee (if applicable)	29/05/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2013/14 Resource Budget Allocation (Opening As at June Budget) = £88.089.482m</p> <p>Total ALB 2013/14 Capital Budget Allocation (Opening BudgetAs at June)</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on</p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPF, ACNI , NIS and AOP has commenced.</p> <p>The NS Sponsor Manual has been drafted. It is currently being reviewed in the context of the DCAL Sponsorship Guide and it iswas expected that the final version willwould be issued In June 2013 however this has beendelayed due to resourcing issues in the NS Branch.</p> <p>Review of ARMC and Board TOR - to be completed alongside the Review of Effectiveness.</p>	M	L-M

	<p><u>Budget</u> = £13.3318.57m</p>			<p>monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 on a needs basis.</p> <p><u>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</u></p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board. The Sponsorship Guide now</p>			<p><u>Board agreed p</u>Proposed changes to the ARC ToR were presented to the ARC in May 2013 for agreement. ARC agreed that changes and the ToR will now go to the Departmental Board for endorsement in June 2013 Board assessment is currently being considered and will inform a review of the Board ToR</p> <p>A formal review of the Department's compliance with the Corporate Governance Code <u>2013</u> has been undertaken <u>commenced</u> and will be brought to June <u>October</u> Board for endorsement.</p> <p><u>Audit Committee Chair's workshop and Strategic Partnership Forum to be held in June 2013.</u></p>		
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				<p>replaces the Sponsorship Manual and has issued across the Department for immediate application. . Risk Owner: Deborah Brown/Sinead McCartan</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG											
Risk Owner: SMR - Mick Cory											
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk			
		Imp	Like		Imp	Like		Imp	Like		
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p><u>Budgetary Implications:</u></p> <p>The total World Police and Fire Games budget for delivery of the games is £13.8m.</p> <p>DCAL, is providing up to £6.88m, (£3.93m in 13/14). The balance comes from sponsorship and fees charged to athletes for entering the Games</p> <p>WPFG 2013/14</p>	Imp	Like	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. Weekly meetings between CEO and Permanent Secretary instigated<u>completed</u>.</p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; Company now has a plan and strategy in place; Pop up accommodation providers have withdrawn their WPFG allocation due to slow progress with the amendment to the legislation<u>This risk has not realised due to actual numbers of Athletes.</u></p> <p>2. Sports delivery and management arrangements are in hand and</p>	Imp	Like	<p>M-H</p> <p>L-M</p>	<p>1. <u>Accommodation capacity.</u> Company action plan includes securing additional capacity from other sources; Company is confident that there is sufficient accommodation for 16-17,000 people within 60 mins of Belfast not realised.; (Assignee WPFG Ltd)</p> <p>2. <u>Sports Event Delivery</u> Sports delivery manager appointed, and delivery plan underway and being monitored. (Assignee WPFG Ltd)</p> <p>3. <u>Impact from reduction in Registrations</u> Company has developed contingency budget plans to reflect possible reduced numbers. Expenditure reviewed carefully prior to commitments to ensure impact of numbers understood; daily monitoring of registration numbers with regular reports to department. <u>Financial contingency arrangements in place.</u> (Assignee WPFG Ltd)</p> <p>4. <u>Benefits realisation</u> KPIs monitored at Accountability meetings;</p>	Imp	Like	<p>M-H</p> <p>L-M</p>

Resource Budget
Allocation = £2.95m

There is a 13/14
pressure of £989k
as part of the BC
Addendum
process. Additional
funding secured
in Bid made in June
monitoring

No Capital Budget
Allocation

deliverable. Event / Venue specific
management plans in place,
including contingency arrangements.

3. Income and ~~sponsorship~~
sponsorship generation
targets achieved. Income dependent
upon registrations – risk assessed by
the company and games remain
affordable despite lower numbers.

4. Benefits are realised, including
social exclusion and poverty impacts:
Benefits realisation - Draft Post
Project Evaluation plan developed.
Plan to be amended to reflect
DCAL's comments.

5. Opening Ceremony Venue
selected as Kings Hall. Detailed
content and operational plans
Final arrangements in hand.

6. Athlete and visitor numbers
monitoring indicates that the ~~figures
in the Business Plan~~ (10,000
athletes, 15,000 visitors assumed in
the Business Plan will) may not be
achieved despite implementing -
Company has developed a
marketing action plan and strategy
with devoted and new resources to
implement. Review undertaken at
'bracketing' in May 2013 indicated
numbers likely to be ~ 7-8,000, with
similar number of visitors.

(Assignee WPFG Ltd);
Legacy business case to be
developed.
(Assignee - Joanna McConway)

5. Opening Ceremony
~~Ceremonies content to be confirmed by
WPFG Board. Work is ongoing with BCG
to agree content and manage event.~~
Updated paper on content provided to the
DepartmentFinal arrangements in hand.
(Assignee WPFG Ltd)

6. Athlete and Visitor Numbers
~~a. Bracketing now completed. Company
is forecasting expecting 7,000+8,000 athletes
and similar number somewhere in the region
of 4,200-8,000 of friends and family.~~
Significant drop in anticipated numbers from
GB.

~~b.a. Marketing action plan and
strategy with new resources
deployed to implement,
particularly targeting GB where
staff have been attending
services sporting events to
encourage people to register.
Chief Police officers written to.
Leaflets distributed to GB police
officers. Awareness event hosted
by the Health Committee for the
NIFRS and Irish Fire Service.
Letter drafted for Minister to GB
Ministers (with PO) Minister wrote
to GB and ROI Ministers to
request their support for the~~

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Minister wrote to GB and ROI Ministers to request their support for the Games. A further letter also issued to Ministers to invite them to the Games.

7. Budgetary pressures. £989k on 2013/14 budget (still within overall £6.88m) – Bid made Funding secured in June monitoring. Reduced athlete numbers – Company has confirmed there are no Departmental budgetary implications arising from 7,000 athletes' attendance.

DCAL Sponsor Branch has developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and Ministerial priorities, used to review progress in Accountability Meetings.

Residual Risks at this stage is assessed as GREEN overall, given likelihood is low (Impact remains high). Risks are operational and delivery based. The Company has in place appropriate Event and Venue based contingency plans, and OFMDFM / DCAL have developed Civil Contingency escalation protocol for major civil contingency event. Key Operational management is coordinated by PSNI and the

Games. A further letter also issued to these Ministers to invite them to the Games.

(Assignee WPFG Ltd)

7. 13/14 Budget pressure
Bid in June monitoring secured in June monitoring. Will monitor outturn – no further action.
(Assignee WPFG Branch)

DCAL staff will be present in the Games Management Operation Centre; all coordination and communication arrangements are now in place.

Impact rating is Medium – High due to potential reputational and financial risk. However, the Likelihood of Residual Risk and Treated Risk -is now assessed as LOW low-medium, given progress made to date, and 1 week before Opening Ceremony.-

Overall rating is amber. Treated risk rating remains unchanged, to ensure level of awareness and vigilance on these risks remain high, given the fixed delivery date.

(Mick Cory)

[Company.](#)



Previous Month's Risk Rating:	H	M-H	M-H	L-M	M-H	L-M
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3. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.
 Risk Owner: Corporate Services Division - Deborah Brown

<u>Business Area Objective</u>	<u>Threat/Budgetary Implications</u>	<u>Inherent Risk</u>	<u>How risk is currently managed</u>	<u>Residual Risk</u>	<u>Action Plan (including assignee and completion date)</u>	<u>Treated Risk</u>
		Imp p Like		Imp Like		Imp Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	<p>1. <u>Risk that DCAL does not have the capacity to deliver its core functions and that Resource budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial Departmental priorities.</u></p> <p>Total ALB / Department 2013/14 Admin & Resource Budget Allocation (Opening-As at June Budget) = £116.804121.274m</p> <p>Total ALB /</p>		<p><u>4--Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet Ministerial priorities. This is reported monthly to the Departmental Board</u></p> <p><u>Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources posts, taking decisions on filling of posts, creation of new posts etc to meet business priorities need.</u></p> <p><u>2--Business Plans for the Department and ALBs are now approved subject to the inclusion of Ministers forward.</u></p>		<p><u>Sponsor branches will ensure ALB business plans are focused on tackling poverty and social exclusion. Strategic Team has provided critique of ALB Business plans which has been shared with Sponsor Branches. Finalised ALB Business plans for the five largest ALBs have been submitted to the Minister for review and approval.</u></p> <p><u>Strategic Team has begun work on considering a pilot scheme for Action Zones.</u></p> <p><u>The Delivering Social Change Framework has a £26m allocation in both 13/14 and 14/15. Work has already begun on formulating ideas around numeracy & literacy, and disability. Ageing has also been highlighted by OFMDFM as an area of potential focus. An initial meeting has taken place with OFMDFM to discuss the development of a disability strategy.</u></p> <p><u>Baselines need to be established and targets agreed with Minister. Departmental Business is being redrafted in</u></p>	M

Department 2013/14
Capital Budget
Allocation (Opening
BudgetAs at June
Budget) =
£33.91539.416m

line with Ministerial priorities and Departmental and statutory obligations. The Department is working to zero base 14/15 budgets to ensure maximum release or redirection of discretionary budgets towards Departmental priorities and statutory obligations. This will be discussed with ALBs at the upcoming Audit Chair's workshop and Strategic Partnership Forum in June 2013. Risk Owner: Deborah BrownZero based budgeting approach for 2014/15 has commenced.

Work is progressing to ensure funding secured in June Monitoring is delivered in 13/14 and a progress report will be provided to Minister in September. The Dept Board will also be provided with an update.

Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent.

Budgets and Staff Resources are being mapped against ~~delivery of~~ targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities.

The draft Learning and Development Strategy was tabled for discussion at the August Board. ~~The~~Its objective is to determine the required skill-set to deliver against each of departmental priorities, and then to identify any skills gaps or deficiencies

which will then to inform actions needed on training, recruitment and short term appointments. This will help ensure achievement of the Departmental objectives. we have the right people with the right skills in the right place to deliver against our priorities.

Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. A paperThe approach outlined in a paper to the board was agreed at the August Board-outlining how this will be taken forward is tabled at the August Board. A governance structure will be put in place to inform the development of the overarching programme/framework, monitor and report progress, promote collaboration and provide sharing of examples of good practice to inform future development of the programme. A Communication Strategy will also be drafted for approval by the PETPSE Board.

The Department needs to engage with Minister to ensure she is kept apprised of the budget position, ability to spend and progress to date.

The Learning and Development Strategy is also tabled for discussion at the August Board to help ensure we have the right people with the right skills in the right place to deliver

against our priorities.

Previous Month's Risk Rating:	H	H		H	H		M	M
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4. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p>Budgetary Implications:</p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>1. Business Continuity Plan and Emergency Plan are being updated. Draft BCPs for PRONI & Movanager/Bushmills have been drafted. The BCPs will then be subject to scenario testing between May and September 2013.</p> <p>Risk Owner: Deborah Brown/Jim Magee ▲ The Business Continuity Plan focuses on those business functions deemed more critical than others. ▲ They are:</p> <p>▲ Support to the DCAL Minister and Permanent Secretary – complete.</p> <p>▲ Fish Farm Management at Movanager & Bushmills – all risks/contingency measures in place. ▲ These have to be dropped into the relevant functional plan.</p> <p>▲ PRONI support to HET & Court Service – new tolerance levels agreed and will be slotted into the relevant functional plans.</p> <p>▲ Draw-Down of Payments to ALBs – plan being finalised. ▲</p> <p>▲ Scenarios are to be developed over the summer and plans subject to testing in September.</p>	M-H	L

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Previous Month's Risk Rating:		H	H		H	M		M-H	L

5. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N.Molloy – Nov 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (CMcGurk – July 2013 & Sept 2013)</p>	H-M	L-M

	<p><u>Application for leave for a Judicial review by Crusaders FC</u></p> <p><u>Procurement-Potential for procurement challenge</u></p>			<p>Application for leave for Judicial Review lodged with High Court (state Aid).</p> <p>DCAL appointed DSO & Counsel and will robustly defend this issue.</p> <p>Dept believes the aid not to be state aid and even if declared state aid, then the dept believes it would be deemed compatible state aid.</p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p>			<p>Leave granted, hearing date scheduled for 13/12/13.</p> <p>Series of meetings arranged with DSO, Counsel, DETI & BIS. N.Molloy- Ongoing)</p> <p>DCAL engagement with BIS & DCMS on strategy to resolve the issue. N.Molloy-Ongoing)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(N.Molloy – July 2013 & Sept 2013)</p> <p>Social Clause framework in place- template documents being discussed with CPD/Gov Bodies/Dept officials. Regular meetings being held to finalise. (N.Molloy – Feb 2013 - June 2013)</p> <p><u>Legal Challenge to IST procurement is in court and date for expediated hearing is scheduled between the parties. (N.Molloy-subject to decision of court)Continue to work</u></p>		
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		<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p>			<p>with CPD & GAA to resolve procurement queries from E.O on t-elST appointment for GAA (N.Molloy – 28 June 2013)</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (CMcG - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (CMcGurk – Ongoing)</p> <p>New programme SRO now appointed.</p>		
		<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p>			<p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p>			<p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (CMcGurk – July</p>		

	<p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u></p> <p>Total 2013/14 Capital Budget Allocation (Opening As at June Budget) = £20m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Monthly review of spend profiles. DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>2013 & Sept 2013)</p> <p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated profile spend. (CMcGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(CMcGurk - ongoing)</p>		
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Previous Month's Risk Rating:	H	H		H	H		H-M	L-M
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Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

6. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget. Risk Owner: Arthur Scott	H RED	H RED	Weekly update meetings are held between DCAL and project partners - DCC and Culture Company. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. DCAL Officials have begun substantive work on a Benefits Realisation Plan to assist DCC. Benefits and targets which accurately reflect the DCAL business case and Ministerial priorities have been identified and a list provided to the Culture Company Community Programmers. Legacy planning is underway. Derry City Council are working towards having a draft legacy plan completed by the end of June with a final costed plan available in September.	H RED	M - H RED	<ul style="list-style-type: none"> DCAL Business Case to be updated by June 2013 to take account of up-to-date budget figures and benefits projections. Ongoing monitoring of spend against profile. Consideration of SRO's request for Optimism Bias to support additional unforeseen costs. Benefits Realisation Plan to be finalised. Legacy Plan to be finalised. Assignee: Joanna McConway	M - H RED	M - H RED
Previous month's rating:		H	H		H	M-H		M-H	M-H

7. Strategic Goal : Waterways Ireland Capital Budget Risk Owner: Culture Division – Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Waterways Ireland (WI) Capital Budget – WI have identified a 1metre wide by 1metre deep hole in a 300metre weir at Carnroe on the Lower Bann.	<p>1.If the weir failed there is potential risk of injury or death to fishermen immediately downstream of the weir.</p> <p>2. WI capital budget for 2013/14 is £250k. Costs of repair are estimated to be £500k however if the project were to encounter the same difficulties that Rivers Agency encountered with a recent repair of a similar weir costs could escalate to between £1m-£3m</p> <p>3. The initial flow of water is likely to damage the game fishery at Carnroe.</p> <p>4. Without the retention of water</p>	H	H	<p>No interim physical measures are possible until funds are secured.</p> <ul style="list-style-type: none"> • WI has completed a risk assessment. • WI, monitor and visually inspect the weir on a daily basis. • WI have written to and met with Bann Systems who own the Salmon fishery downstream. • Rivers Agency who are responsible for drainage have been informed. • WI have met with DCAL Fisheries and advised of the impacts from a fisheries perspective. • Local education outdoor pursuit centres have been informed • Signage is being prepared to warn canoeists. • Submission has been sent to the Minister advising of the position and DCAL Finance advised of the likely bid to cover potential costs 	M	M	WI will forward a robust business case as a matter of urgency which will detail potential costs. This will enable DCAL officials to bid for additional funds to carry out works to reduce/eliminate the risk.	M	M

	<p>provided by the weir it is likely that the navigation from Movanager to Carnroe would be closed due to inadequate water depth to accommodate boats. This would bisect the navigation. Recreational users and cruise hire business would be affected.</p>								
<p>Previous month's rating:</p>	<p>H</p>	<p>H</p>		<p>M</p>	<p>M</p>		<p>M</p>	<p>M</p>	

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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (September Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Treated Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	L/M	6
2	Games are delivered on-time, to budget, value for money and benefits are realised.	M-H	L-M	8
3	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	M	M	9
4	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	M-H	L	4
5	Inherent risks associated with large capital projects of this nature	M-H	L-M	8
6	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M-H	M-H	16

7	WI have identified a 1 metre wide by 1metre deep hole in a 300 metre weir at Carnroe on the Lower Bann.	M	M	9
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Version Control: September Update

	Date of Completion
Last reviewed by Board/Director	06/08/13
Next review by Board/Director	17/09/13
Last reviewed by Audit Committee (if applicable)	03/09/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2013/14 Resource Budget Allocation (As at June Budget) = £89.5148m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at June Budget) = £18.57m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on monitoring and reporting against business plan targets.</p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPPFG, ACNI, NIS and AOP has commenced.</p> <p>The NS Sponsor Manual has been drafted. It is currently being reviewed in the context of the DCAL Sponsorship Guide and it was expected that the final version would be issued In June 2013 however this has been delayed due to resourcing issues in the NS Branch.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Board agreed proposed changes to the ARC ToR in June 2013</p>	M	L-M

				<p>Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board. The Sponsorship Guide now replaces the Sponsorship Manual and has issued across the Department for</p>			<p>A formal review of the Department's compliance with the Corporate Governance Code 2013 has commenced and will be brought to October Board for endorsement.</p>		
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				<p>immediate application. . Risk Owner: Deborah Brown/Sinead McCartan</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of the World Police and Fire Games.	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p>Budgetary Implications: The total World Police and Fire Games budget for delivery of the games is £13.8m.</p> <p>DCAL, is providing up to £6.88m, (£3.93m in 13/14). The balance comes from sponsorship and fees charged to athletes for entering the Games</p> <p>WPFG 2013/14 Resource Budget Allocation = £2.95m</p>	H	M-H	<ul style="list-style-type: none"> Games delivery completed successfully. Monitoring and evaluation of benefits realisation in place. The Company Legacy Action Plan in place and a number of legacy activities are continuing or are set to commence Athlete and visitor numbers did not achieve target in the Business Plan despite implementing a marketing action plan and strategy with devoted resources. Final numbers are 6,981 athletes and support staff registered. Friends and family data not yet available but unlikely to achieve the 15,000 target. 3,500 volunteers target met. A business case review prior to the Games confirmed that the Games still represented value for money. The detail and outcome of this review was shared with DFP. Bed night data not yet available. Branch expenditure monitoring 	M-H	L	<p>Evaluation Report to be completed (Assignee Joanna McConway / John Tully by March 2014)</p> <p>Final Accountability meetings planned. (Assignee Mick Cory - 20 September)</p> <p>DCAL / Company Exit plan to be implemented. (Assignee John Tully and Joanna McConway – by March 2014).</p> <p>Branch is finalising the overall legacy and benefits realisation approach. (Assignee Joanna McConway – date to be determined subject to resources).</p>	M-H	L

	<u>No Capital Budget Allocation</u>			<u>indicates that the Company has delivered the Games within budget. No pressures have been identified by the Company. Ongoing monitoring of final outturn and VAT position to confirm final budget position.</u>					
Previous Month's Risk Rating:		H	M-H		M-H	L		M-H	L
2. Strategic Goal - Delivery of the WPFG									
Risk Owner: SMR - Mick Cory									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like

<p>Delivery of the World Police and Fire Games.</p>	<p>Games are delivered on-time, to budget, value for money and benefits are realised.</p> <p><u>Budgetary Implications:</u></p> <p>The total World Police and Fire Games budget for delivery of the games is £13.8m.</p> <p>DCAL, is providing up to £6.88m, (£3.939m in 13/14). The balance comes from sponsorship and fees charged to athletes for entering the Games</p> <p>WPFG 2013/14 Opening Resource Budget Allocation = £2.95m</p> <p>-</p> <p>There is a 13/14 pressure of £989k</p>	<p>H</p>	<p>M-H</p>	<p>Company and Board well established. CEO in place. Corporate Governance and Accountability regime in place and operational. Gateway review completed and all recommendations implemented. High level procurement plan in place. Company Risk Register is in place. Weekly meetings between CEO and Permanent Secretary completed.</p> <p>Key areas of risk identified and actions taken:</p> <p>1. Accommodation capacity in NI; This risk has not realised due to actual numbers of Athletes..</p> <p>2. Sports delivery and management arrangements are in hand and deliverable. Event / Venue specific management plans in place, including contingency arrangements.</p> <p>3. Income and sponsorship generation targets achieved. Income dependent upon registrations— risk assessed by the company and games remain affordable despite lower numbers.</p> <p>4. Benefits are realised, including social exclusion and poverty impacts: Benefits realisation – Draft Post Project Evaluation plan developed..</p>	<p>M-H</p>	<p>L</p>	<p>1. <u>Accommodation capacity</u>, not realised.; –(Assignee WPFG Ltd)</p> <p>2. <u>Sports Event Delivery</u> Sports delivery manager appointed, and delivery plan underway and being monitored. (Assignee WPFG Ltd)</p> <p>3. <u>Impact from reduction in Registrations</u> Company has developed contingency budget plans to reflect possible reduced numbers. Expenditure reviewed carefully prior to commitments to ensure impact of numbers understood; daily monitoring of registration numbers with regular reports to department. Financial contingency arrangements in place. (Assignee WPFG Ltd)</p> <p>4. <u>Benefits realisation</u> KPIs monitored at Accountability meetings; (Assignee WPFG Ltd); Legacy business case to be developed. (Assignee – Joanna McConway)</p> <p>5. <u>Opening Ceremony</u> Final arrangements in hand. (Assignee WPFG Ltd)</p> <p>6. <u>Athlete and Visitor Numbers</u> Company is expecting 7,000+0 athletes and somewhere in the region of 4,200-8,000 friends and family. Significant drop in anticipated numbers from GB.</p>	<p>M-H</p>	<p>L</p>
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	<p>as part of the BC Addendum process. Additional funding secured in June monitoring</p> <p>No Capital Budget Allocation</p>			<p>5. Opening Ceremony Venue selected as Kings Hall. Final arrangements in hand.</p> <p>6. Athlete and visitor numbers monitoring indicate that the 10,000 athletes, 15,000 visitors assumed in the Business Plan will not be achieved despite implementing a marketing action plan and strategy with devoted resources. Review undertaken at 'bracketing' in May 2013 indicated numbers likely to be ~7,8,000, with similar number of visitors. Minister wrote to GB and ROI Ministers to request their support for the Games. A further letter also issued to Ministers to invite them to the Games.</p> <p>7. Budgetary pressures. £989k on 2013/14 budget (still within overall £6.88m) Funding secured in June monitoring. Reduced athlete numbers - Company has confirmed there are no Departmental budgetary implications arising from 7,000 athletes' attendance.</p> <p>DCAL Sponsor Branch has developed an event delivery assurance plan. 2013 Projects Team carried out a paper based assessment of policies and action plans to consider available assurance on project progress and</p>			<p>a. (Assignee WPFGLtd)</p> <p>7. 13/14 Budget pressure Bid secured in June monitoring. Will monitor outturn - no further action. (Assignee WPFGL Branch)</p> <p>DCAL staff will be present in the Games Management Operation Centre; all coordination and communication arrangements are now in place.</p> <p>Impact rating is Medium - High due to potential reputational and financial risk. However, the Likelihood of Residual Risk and Treated Risk is now assessed as LOW given progress made to date, and 1 week before Opening Ceremony.</p> <p>(Mick Gory)</p>		
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				<p>Ministerial priorities, used to review progress in Accountability Meetings.</p> <p>Residual Risks at this stage is assessed as GREEN overall, given likelihood is low (Impact remains high). Risks are operational and delivery based. The Company has in place appropriate Event and Venue based contingency plans, and OFMDFM / DCAL have developed Civil Contingency escalation protocol for major civil contingency event. Key Operational management is coordinated by PSNI and the Company,</p>							
Previous Month's Risk Rating:				H	M-H		M-H	L		M-H	L

3. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.										
Risk Owner: Corporate Services Division - Deborah Brown										
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
		Imp	Like		Imp	Like		Imp	Like	
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at June Budget) = £121.274m Total ALB / Department 2013/14 Capital Budget Allocation (As at June Budget) = £39.416m	Imp	Like	<p>Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board</p> <p>Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities.</p> <p>Business Plans for the Department and ALBs are now approved subject to the inclusion of Ministers forward.</p>	Imp	Like	<p>Zero based budgeting approach for 2014/15 has commenced.</p> <p>Work is progressing to ensure funding secured in June Monitoring is delivered in 13/14 and a progress report will be provided to Minister in September. The Dept Board will also be provided with an update.</p> <p>Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent.</p> <p>Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities</p> <p>The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify any skills gaps or deficiencies which will then inform actions needed on training, recruitment</p>	Imp	Like	M

						<p>and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. The approach outlined in a paper to the board was agreed at the August Board. A governance structure will be put in place to inform the development of the overarching programme/framework, monitor and report progress, promote collaboration and provide sharing of examples of good practice to inform future development of the programme. A Communication Strategy will also be drafted for approval by the PETPSE Board.</p> <p>The Department needs to engage with Minister to ensure she is kept apprised of the budget position, ability to spend and progress to date.</p>				
Previous Month's Risk Rating:		H	H				H	H	M	M

4. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>Business Continuity Plan and Emergency Plan are being updated. Scenario testing for the business continuity arrangements are being finalised in September 2013 and subject for testing. Members of SMT will be involved in the scenario testing. Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L
5. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									

Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p> <p><u>Application for leave for a Judicial review by Crusaders FC</u></p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA. IFA planning approved on 20 February 2013.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery</p> <p>Application for leave for Judicial</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N. Molloy – Nov 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (C McGurk –Sept –Dec 2013)</p> <p>Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines.</p> <p>Leave granted, hearing date scheduled for 13/12/13.</p>	H-M	L-M

		<p><u>Procurement-Potential for procurement challenge</u></p>			<p>Review lodged with High Court (state Aid).</p> <p>DCAL appointed DSO & Counsel and will robustly defend this issue.</p> <p>Dept believes the aid not to be state aid and even if declared state aid, then the dept believes it would be deemed compatible state aid.</p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p><u>Legal challenge to GAA IST procurement is in court and date for expediated hearing is scheduled between parties on 24th September</u></p>			<p>Series of meetings arranged with DSO, Counsel, DETI & BIS. (N Molloy - Ongoing)</p> <p>DCAL engagement with BIS & DCMS on strategy to resolve the issue. (N Molloy - Ongoing)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments (N Molloy - July <u>October</u> 2013 & Sept <u>December</u> 2013)</p> <p><u>Parallel actions in place to mitigate potential for impact on programme timelines</u></p> <p><u>Social Clause framework in place - template documents being discussed with CPD/Cov Bodies/Dept officials. Regular meetings being held to finalise. (N Molloy - Feb 2013 - June 2013)</u></p> <p>Legal Challenge to IST procurement is in court and date for expediated hearing is scheduled between the parties. (N Molloy - subject to decision of court)</p>		
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	<p><u>Failure by IFA to ensure compliance with 2011 Governance Review requirements</u></p> <p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p><u>Issues have arose in recent weeks around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</u></p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p>			<p><u>IFA will need to demonstrate that governance arrangements remain robust. IFA to provide assurance by Wednesday 11th September 2013 around ongoing governance requirements. The Department will not issue Funding Agreement until such assurance has been received.</u></p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (C McGurk – Ongoing)</p> <p>New programme SRO now appointed.</p>		
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<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u></p> <p>Total 2013/14 Capital Budget Allocation (As at June Budget) = £20m Total Capital Budget Allocation over CSR period =</p>				<p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p> <p>RMonthly review of spend profiles. <u>Easement to be declared through October monitoring round process. DFP have been alerted to revised profile spend with potential for further change, and the need to secure revised profile of budget allocation.</u></p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (C McGurk –Sept <u>Dec</u> 2013)</p> <p>Monthly <u>Weekly</u> review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Revised budget allocations to be secured through monitoring rounds in light of updated <u>Easement to be declared through October monitoring round process to be declared as a result of spend profiles spend received from Gov bodies.</u> (C McGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(C McGurk <u>N.Molloy</u> - ongoing)</p>		
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	£110m										
Previous Month's Risk Rating:		H	H			H	H			H-M	L-M

Stadium Delivery	Delivery Confidence Assessment RAG Status	
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p>	Amber	Green
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber	
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green	

6. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<ul style="list-style-type: none"> Weekly update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Emerging outcomes are now being collated to provide an overview of the project in its first 6 months. Derry City Council has submitted a draft Legacy Plan to DCAL for consideration. DCAL Officials will continue to work with Derry City Council and Culture Company in the coming weeks to further refine proposals on structures and actions in relation to the Legacy Plan. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural 	M	M	<ul style="list-style-type: none"> DCAL Letter of Offer with DCC will be revisited following approval of the revised Business Case to ensure that the document remains robust and in line with current project structures and approvals. Ongoing monitoring of spend against profile. Consideration of SRO's request for Optimism Bias to support additional unforeseen costs. Legacy Plan to be finalised. <p>Assignee: Joanna McConway</p>	M	M

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				<u>Programme activities.</u>					
Previous month's rating:		H	H		H	M-H		M-H	M-H

7. Strategic Goal : Waterways Ireland Capital Budget Risk Owner: Culture Division – Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Waterways Ireland (WI) Capital Budget – WI have identified a 1metre wide by 1metre deep hole in a 300metre weir at Carnroe on the Lower Bann.	<p>1.If the weir failed there is potential risk of injury or death to fishermen immediately downstream of the weir.</p> <p>2. WI capital budget for 2013/14 is £250k. Costs of repair are estimated to be £500k however if the project were to encounter the same difficulties that Rivers Agency encountered with a recent repair of a similar weir costs could escalate to between £1m-£3m</p> <p>3. The initial flow of water is likely to damage the game fishery at Carnroe.</p> <p>4. Without the retention of water</p>	H	H	<p>No interim physical measures are possible until funds are secured.</p> <ul style="list-style-type: none"> • WI has completed a risk assessment. • WI, monitor and visually inspect the weir on a daily basis. • WI have written to and met with Bann Systems who own the Salmon fishery downstream. • Rivers Agency who are responsible for drainage have been informed. • WI have met with DCAL Fisheries and advised of the impacts from a fisheries perspective. • Local education outdoor pursuit centres have been informed • Signage is being prepared to warn canoeists. • Submission has been sent to the Minister advising of the position and DCAL Finance advised of the likely bid to cover potential costs 	M	M	<p><u>WI will forward a robust business case as a matter of urgency which will detail potential costs. This will enable DCAL officials to bid for additional funds to carry out works to reduce/eliminate the risk. WI has submitted an initial Economic Appraisal to the Department which estimates the cost of remedial work at €350k. WI have indicated that undertaken a repair of the Weir is their preferred option and are now preparing a robust costing for this work before finalising the Business Case and going to tender.</u></p> <p><u>Languages and WI Branch have bid for additional capita; funding for 2014/15 to cover the costs of the proposed work. The remedial work will not be undertaken before April 2014.</u></p> <p><u>WI continue to monitor the Weir on a daily bases and will report to the Department any increase in the risk.</u></p>	M	M

	<p>provided by the weir it is likely that the navigation from Movanager to Carnroe would be closed due to inadequate water depth to accommodate boats. This would bisect the navigation. Recreational users and cruise hire business would be affected.</p>								
<p>Previous month's rating:</p>	<p>H</p>	<p>H</p>		<p>M</p>	<p>M</p>		<p>M</p>	<p>M</p>	



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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (October Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Treated Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	L/M	6
23	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	M	M	9
34	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	M-H	L	4
45	Inherent risks associated with large capital projects of this nature	M-HH M	L-M	8
56	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M-H	M-H	16

7	WI have identified a 1 metre wide by 1metre deep hole in a 300 metre weir at Carnroe on the Lower Bann.	M	M	9
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Version Control: October Update

	Date of Completion
Last reviewed by Board/Director	17/09/13
Next review by Board/Director	22/10/13
Last reviewed by Audit Committee (if applicable)	03/09/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
		Imp	Like		Imp	Like		Imp	Like

<p>To ensure the effective oversight of relevant Arm's Length Bodies.</p>	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2013/14 Resource Budget Allocation (As at June Budget) = £89.51m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at June Budget) = £18.57m</p>	<p>M-H</p>	<p>M-H</p>	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue</p>	<p>M</p>	<p>M</p>	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPF, ACNI, NIS and AOP has commenced.</p> <p>The NS Sponsor Manual has been drafted. It is currently being reviewed in the context of the DCAL Sponsorship Guide and it was expected that the final version would be issued in June 2013 however this has been delayed due to resourcing issues in the NS Branch. A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Board agreed proposed changes to the ARC ToR in June 2013</p> <p>A formal review of the Department's compliance with the Corporate Governance Code 2013 has commenced and will be brought to October Board for endorsement been performed. See Paper X for a summary of findings.</p>	<p>M</p>	<p>L-M</p>
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				<p>to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA for 12/13 on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board. The Sponsorship Guide now replaces the Sponsorship Manual and has issued across the Department for immediate application. .</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by</p>			<p><u>A slightly amended version of the QAS is to be issued for completion by ALBs and Managers/Directors for Q2. The amendments reflect updated guidance and PFG commitments-</u></p>		
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				letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

23. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at June Budget) = £121.274m Total ALB / Department 2013/14 Capital Budget Allocation (As at June Budget) = £39.416m	H	H	Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities. Business Plans for the Department and ALBs are now approved.	H	H	Zero based budgeting approach for 2014/15 has commenced. Work is progressing to ensure funding secured in June Monitoring is delivered in 13/14 and a progress report was <u>will be</u> provided to Minister in September. The Dept Board will also be provided with an update. Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent. Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify any skills gaps or deficiencies which will then inform actions needed on training, recruitment	M	M

							<p>and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. <u>A formal PETPSE Board has been established and a monitoring report has been set up to track progress on major PETPSE interventions across the Department.</u> <u>A 'statement of intent' document is being developed to articulate the Department's approach to PETPSE.</u> The approach outlined in a paper to the board was agreed at the August Board. A governance structure will be put in place to inform the development of the overarching programme/framework, monitor and report progress, promote collaboration and provide sharing of examples of good practice to inform future development of the programme. <u>A Communications Strategy will also be is being drafted for approval by the PETPSE Board.</u></p> <p>The Department needs to engage with Minister to ensure she is kept appraised of the budget position, ability to spend and progress to date.</p>		
Previous Month's Risk Rating:		H	H			H	H	M	M

34. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>Business Continuity Plan and Emergency Plan are being updated. <u>Meetings with relevant business areas have taken place to finalise the business continuity plans.</u> <u>Exercise scenarios are being drafted during October to plan test arrangements and a post exercise report will then be produced after the test.</u> <u>Scenario testing for the business continuity arrangements are being finalised in September 2013 and subject for testing.</u> <u>Members of SMT will be involved in the scenario testing.</u></p> <p>Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

45. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N. Molloy – Nov 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (C McGurk –Sept – Dec 2013)</p> <p>Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines.(N.Molloy- Dec 2013)</p>	H-M	L-M

	<p><u>Procurement-Potential for procurement challenge</u></p>			<p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Legal challenge to GAA IST procurement is in court and date for expedited hearing is scheduled between parties on 24th September <u>2 December 2013</u></p>			<p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments(N Molloy – October 2013 & December 2013)</p> <p>Parallel actions in place to mitigate potential for impact on programme timelines</p> <p>Legal Challenge to IST procurement is in court and date for expedited hearing is scheduled between the parties. (N Molloy-subject to decision of court)</p>		
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		<p>Failure by IFA to ensure compliance with 2011 Governance Review requirements</p> <p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p>Issues have arose in recent weeks around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO &</p>			<p>IFA will need to demonstrate that governance arrangements remain robust. IFA to provide assurance by Wednesday 11th September 2013 around ongoing governance requirements. Proposal for! <u>An independent review of IFA has been arranged and will be completed by 31 October 2013. to provide assurances on IFA Governance</u> The Department will not issue Funding Agreement until such assurance has been received.</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (C McGurk – Ongoing)</p> <p>New programme SRO now appointed.</p>		
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		<p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p>			<p>internal Audit Recommendations</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p> <p>Review of spend profiles. Easement to be declared through October monitoring round process.</p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (C McGurk –Dec 2013)</p> <p>Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Easement to be declared through October monitoring round process to be declared as a result of spend profiles received from Gov bodies. (C McGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(N.Molloy - ongoing)</p>		
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	<p>Budgetary Implications:Total 2013/14 Capital Budget Allocation (As at June Budget) = £20m Total Capital Budget Allocation over CSR period = £110m</p>								
Previous Month's Risk Rating:		H	H			H	H		

Stadium Delivery	Delivery Confidence Assessment RAG Status
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 19-20th September 2012-4th October 2013 and gave the project a Amber/Green Delivery Confidence assessment. This rating indicates that successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery. <u>This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</u></p>	<p>Amber</p>
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	<p>Amber</p>
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	<p>Green</p>

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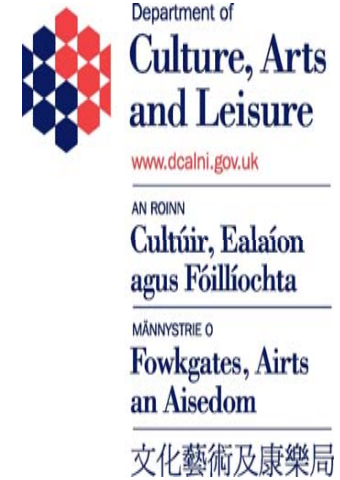
56. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<ul style="list-style-type: none"> Regular update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Emerging outcomes are now being collated to provide an overview of the project in its first 6 months. Derry City Council has submitted a draft Legacy Plan to DCAL for consideration. DCAL Officials will continue to work with Derry City Council and Culture Company in the coming weeks to further refine proposals on structures and actions in relation to the Legacy Plan. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural 	M	M	<ul style="list-style-type: none"> DCAL Letter of Offer with DCC will be revisited following approval of the revised Business Case to ensure that the document remains robust and in line with current project structures and approvals. Ongoing monitoring of spend against profile. Consideration of SRO's requests for Optimism Bias to support additional unforeseen costs. Legacy Plan to be finalised. <p>Assignee: Joanna McConway</p>	M	M
		RED	RED		AMB	AMB		AMB	AMB

				Programme activities.					
Previous	month's rating:	H	H						

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7. Strategic Goal : Waterways Ireland Capital Budget Risk Owner: Culture Division – Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Waterways Ireland (WI) Capital Budget— WI have identified a 4metre wide by 1metre deep hole in a 300metre weir at Carnroe on the Lower Bann.	<p>1.If the weir failed there is potential risk of injury or death to fishermen immediately downstream of the weir.</p> <p>2. WI capital budget for 2013/14 is £250k. Costs of repair are estimated to be £500k however if the project were to encounter the same difficulties that Rivers Agency encountered with a recent repair of a similar weir costs could escalate to between £1m £3m</p> <p>3. The initial flow of water is likely to damage the game fishery at Carnroe.</p> <p>4. Without the retention of water</p>	H	H	<p>No interim physical measures are possible until funds are secured.</p> <ul style="list-style-type: none"> WI has completed a risk assessment. WI, monitor and visually inspect the weir on a daily basis. WI have written to and met with Bann Systems who own the Salmon fishery downstream. Rivers Agency who are responsible for drainage have been informed. WI have met with DCAL Fisheries and advised of the impacts from a fisheries perspective. Local education outdoor pursuit centres have been informed Signage is being prepared to warn canoeists. Submission has been sent to the Minister advising of the position and DCAL Finance advised of the likely bid to cover potential costs 	M	M	<p>WI has submitted an initial Economic Appraisal to the Department which estimates the cost of remedial work at €350k. WI have indicated that undertaken a repair of the Weir is their preferred option and are now preparing a robust costing for this work before finalising the Business Case and going to tender.</p> <p>Languages and WI Branch have bid for additional capita; funding for 2014/15 to cover the costs of the proposed work. The remedial work will not be undertaken before April 2014.</p> <p>WI continue to monitor the Weir on a daily bases and will report to the Department any increase in the risk.</p>	M	M

		<p>provided by the weir it is likely that the navigation from Mevanagher to Camroe would be closed due to inadequate water depth to accommodate boats. This would bisect the navigation. Recreational users and cruise hire business would be affected.</p>								
Previous month's rating:			H	H		M	M		M	M



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (November Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Treated Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	L/M	6
2	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	M	M	9
3	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	M-H	L	4
4	Inherent risks associated with large capital projects of this nature	H-M	L-M	8
5	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M	M	169

Version Control: November Update

	Date of Completion
Last reviewed by Board/Director	22/10/13
Next review by Board/Director	19/11/13
Last reviewed by Audit Committee (if applicable)	03/09/13

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2013/14 Resource Budget Allocation (As at October <u>June</u> Budget) = £89.454m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p><u>Board agreed proposed changes to the ARAC ToR in June 2013</u></p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPF, ACNI, NIS and AOP has commenced.</p> <p>A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness. Board agreed proposed changes to the ARC ToR in June 2013</p> <p>A formal review of the Department's compliance with the Corporate Governance</p>	M	L-M

	<p><u>October</u> June Budget) = £19.148.57m</p>			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>Code 2013 ("the 2013 Code") has been performed is underway. See Paper X for a summary of findings. This will be informed by a Review of Board Effectiveness which is being completed by the Independent Board Members. A paper on compliance with the 2013 Code will be provided to the Board in due course.</p> <p>A slightly amended version of the QAS is to be has been issued for completion by ALBs and Managers/Directors for Q2. The amendments reflect updated guidance and PFG commitments. Due to timing of ALB Board meetings this revised template will not be fully embedded in the QAS process until Q3.</p>		
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DC1 13 73904 Corporate Risk Register - Nov 13 Update

				<p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board. The Sponsorship Guide now replaces the Sponsorship Manual and has issued across the Department for immediate application.</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>					
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M	

2. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at October June Budget) = £122.3641.274m Total ALB / Department 2013/14 Capital Budget Allocation (As at October June Budget) = £35.37239.416m	H	H	Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities. Business Plans for the Department and ALBs are now approved.	H	H	Zero based budgeting approach for 2014/15 has commenced. A submission on progress to date sits with Minister. Work is progressing to ensure funding secured in June and October Monitoring is delivered in 13/14 and a progress report will as provided to Minister detailing progress to October end in September. The Dept Board will also be provided with an update. Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent. Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify	M	M

							<p>any skills gaps or deficiencies which will then inform actions needed on training, recruitment and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. A formal PEPSE Board has been established and a monitoring report has been set up to track progress on major PEPSE interventions across the Department.</p> <p>A 'statement of intent' document is being developed to articulate the Department's approach to PEPSE.</p> <p>A Communications Strategy is being drafted for approval by the PEPSE Board.</p> <p><u>A dedicated interim G5 has taken up post on 11th November 2013 to drive forward this work within the Department.</u></p> <p>The Department isneeds to engaginge with Minister to ensure she is kept apprised of the budget position, ability to spend and progress to date.</p>		
Previous Month's Risk Rating:		H	H		H	H		M	M

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DC1 13 73904 Corporate Risk Register - Nov 13 Update

3. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan.</p> <p>2. Emergency Plan.</p> <p>3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013.</p> <p>Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>Business Continuity Plan and Emergency Business Continuity Plans have been reviewed and updated and Test Scenario mapped out. These are currently with senior management for consideration/agreement ahead of the desk-top exercise being carried out. JM, 5th November 2013</p> <p>Plans are being updated. Meetings with relevant business areas have taken place to finalise the business continuity plans.</p> <p>Exercise scenarios are being drafted during October to plan test arrangements and a post exercise report will then be produced after the test.</p> <p>Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

4. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N. Molloy –Dec Nov-2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (C McGurk –Sept – Dec 2013)</p> <p>Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines.(N.Molloy- Dec 2013)</p>	H-M	L-M

	<p><u>Procurement-Potential for procurement challenge</u></p>			<p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Legal challenge to GAA IST procurement is in court and date for hearing is scheduled between parties on 2 December 2013</p>			<p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments (N Molloy —October 2013 & December 2013)</p> <p>Parallel actions in place to mitigate potential for impact on programme timelines</p> <p>Legal Challenge to IST procurement is in court and date for hearing is scheduled between the parties. (N Molloy- subject to decision of court)</p>		
	<p><u>Failure by IFA to ensure compliance with 2011 Governance Review requirements</u></p>			<p>Issues have arose in recent weeks around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</p>			<p>IFA will need to demonstrate that governance arrangements remain robust. An independent review of IFA has been arranged and will be completed by 31 October 2013early November 2013. The Department will not issue Funding Agreement until such assurance has been received. (S.McCartan- November 2013)</p>		

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	<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p> <p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p>			<p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p>		<p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (C McGurk – Ongoing)</p> <p>New programme SRO now appointed.</p> <p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (C McGurk –Dec 2013)</p>		
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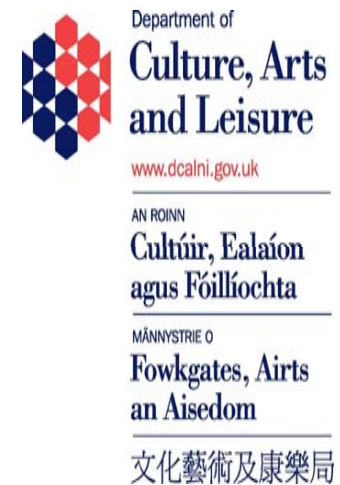
<p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u>Total 2013/14 Capital Budget Allocation (As at October<u>June</u> Budget) = £16.331<u>20</u>m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Review of spend profiles. Easement to be declared through October monitoring round process.</p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Easement to be declared through October monitoring round process to be declared as a result of spend profiles received from Gov bodies. (C McGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(N.Molloy - ongoing)</p>			
<p>Previous Month's Risk Rating:</p>	<p>H</p>	<p>H</p>		<p>H</p>	<p>H</p>		<p>H-M</p>	<p>L-M</p>	

Stadium Delivery	Delivery Confidence Assessment RAG Status
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 2-4th October 2013 and gave the project a Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	Green

5. Strategic Goal : City of Culture									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<ul style="list-style-type: none"> Regular update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Derry City Council has submitted a draft Legacy Plan to DCAL for consideration. DCAL Officials will continue to work with Derry City Council and Culture Company in the coming weeks to further refine proposals on structures and actions in relation to the Legacy Plan. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural Programme activities. 	M	M	<ul style="list-style-type: none"> DCAL Letter of Offer with DCC will be revisited following approval of the revised Business Case to ensure that the document remains robust and in line with current project structures and approvals. Ongoing monitoring of spend against profile. Consideration of SRO's requests for Optimism Bias to support additional unforeseen costs. Legacy Plan to be finalised. <p>Assignee: Joanna McConway</p>	M	M
		RED	RED		AMB	AMB		AMB	AMB

DC1 13 73904 Corporate Risk Register - Nov 13 Update

Previous month's rating:	H	H		M	M		M	M
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (December Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Treated Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	L/M	6
2	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	M	M	9
3	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	M-H	L	4
4	Inherent risks associated with large capital projects of this nature	H-M	L-M	8
5	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M	M	39

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<u>6</u>	<u>Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality.</u>	<u>M</u>	<u>L-M</u>	<u>6</u>
<u>6</u>	<u>Failure to make official records available to the public in line with relevant legislation and the Minister's priorities</u>	<u>M</u>	<u>M</u>	<u>9</u>

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Version Control: December Update

	Date of Completion
Last reviewed by Board/Director	19/11/13
Next review by Board/Director	17/12/13
Last reviewed by Audit Committee (if applicable)	<u>1203/1209/13</u>

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2013/14 Resource Budget Allocation (As at October Budget) = £89.4m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at October Budget) =</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARMC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. Majority of ALB risk assessments completed. ALB boards managed in accordance with best practice.</p> <p>Board agreed proposed changes to the ARAC ToR in June 2013</p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide.</p> <p>Remaining ALB risk assessments to be completed - Foras and Ulster Scots Agency Risk assessment of WPF, ACNI, NIS and AOP has commenced.</p> <p>A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment.</p> <p>Review of Board TOR - to be completed alongside the Review of Effectiveness.</p> <p>A formal review of the Department's compliance with the Corporate Governance Code 2013 ("the 2013 Code") is underway.</p>	M	L-M

	£19.1m			<p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p>			<p>This will be informed by a Review of Board Effectiveness which is being completed by the Independent Board Members. A paper on compliance with the 2013 Code will be provided to the Board in due course.</p> <p>A slightly amended version of the QAS has been issued for completion by ALBs and Managers/Directors for Q2. The amendments reflect updated guidance and PFG commitments. See Q2 QAS Paper at Agenda Item X</p> <p>Due to timing of ALB Board meetings this revised template will not be fully embedded in the QAS process until Q3.</p> <p>A 'Review of Governance' project has commenced with team members from across DCAL. The objective of which is to reduce the amount of time spent on governance, while obtaining similar levels of assurance to the Accounting Officer, to free up resource to focus on delivery against the Department's main priority to Promote Equality and Tackle Poverty and Social Exclusion. A final paper with findings and recommendations will be submitted to the Departmental Board in the New Year.</p>		
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DC1 13 81578 Corporate Risk Register - Dec 13 Update

				<p>Final Draft of Sponsorship Guide was presented to and endorsed by April Board.</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

2. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown/Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at October Budget) = £122.364m Total ALB / Department 2013/14 Capital Budget Allocation (As at October Budget) = £35.372m	H	H	<p>Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board</p> <p>Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities.</p> <p>Business Plans for the Department and ALBs are now approved.</p>	H	H	<p>Zero based budgeting approach for 2014/15 has commenced. A submission on progress to date sits with Minister.</p> <p>Work is progressing to ensure funding secured in June and October Monitoring is delivered in 13/14 and a progress reports will be provided to Minister detailing progress to October end. The Dept Board will also be provided with an updates.</p> <p>Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent.</p> <p>Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities</p> <p>The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify</p>	M	M

					<p>any skills gaps or deficiencies which will then inform actions needed on training, recruitment and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. A formal PETPSE Board has been established and a monitoring report has been set up to track progress on major PETPSE interventions across the Department.</p> <p>A 'statement of intent' document is being developed to articulate the Department's approach to PETPSE.</p> <p>A Communications Strategy is being drafted for approval by the PETPSE Board.</p> <p>A dedicated interim G5 has taken up post on 11th November 2013 to drive forward this work within the Department.</p> <p>The Department is engaging with Minister to ensure she is kept apprised of the budget position, ability to spend and progress to date.</p>				
Previous Month's Risk Rating:		H	H		H	H		M	M

DC1 13 81578 Corporate Risk Register - Dec 13 Update

3. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>Business Continuity Plan and Emergency Business Continuity Plans have been reviewed and updated and Test Scenario mapped out. These are currently with senior management for consideration/agreement ahead of the desk-top exercise being carried out. JM, 5th November 2013</p> <p>Plans are being updated. Meetings with relevant business areas have taken place to finalise the business continuity plans. Exercise scenarios are being drafted during October to plan test arrangements and a post exercise report will then be produced after the test.</p> <p>Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

DC1 13 81578 Corporate Risk Register - Dec 13 Update

4. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p>Planning - Failure to obtain Planning Approval</p> <p>Legal- Failure to approve legal sign offs</p>	H	H	<p>Formal Pre-Application Discussion (PAD) in place for GAA.</p> <p>Continued close liaison with DoE Strategic Projects Division on Planning . Community consultation actively progressing.</p> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery</p>	H	H	<p>Planning Activity Schedule in place – Key milestone dates and actions agreed to achieve GAA planning approval. (N. Molloy –Dec 2013)</p> <p>Funding Agreement Schedule in place – key milestone dates and actions agreed to achieve completion of funding agreement for IFA/GAA. (C McGurk –Sept – Dec 2013)</p> <p>Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines.(N.Molloy- Dec</p>	H-M	L-M

		<p><u>Procurement-Potential for procurement challenge</u></p> <p><u>Failure by IFA to ensure compliance with 2011 Governance Review requirements</u></p>			<p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD during procurement stages.</p> <p>Legal challenge to GAA IST procurement is in court and date for hearing is scheduled between parties on 2 December 2013</p> <p>Issues have arose in recent weeks <u>months</u> around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p>			<p>2013<u>Jan 2014</u>)</p> <p>Procurement schedule and action plan in place to achieve appointment of IST's for IFA and GAA - Key milestone dates and actions agreed to achieve GAA & IFA IST appointments (N Molloy –December 2013)</p> <p>Parallel actions in place to mitigate potential for impact on programme timelines</p> <p>Legal Challenge to IST procurement is in court and date for hearing is scheduled between the parties. (N Molloy- subject to decision of court)</p> <p>IFA will need to demonstrate that governance arrangements remain robust.An independent review of IFA has been arranged and will be completed by early November 2013was carried out in November 2013. The Department will not issue Funding Agreement until such assurance has been received. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement the recommendations in January</p>		
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	<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p>			<p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB – BRP & FBC in place</p> <p>Review of spend profiles. Easement to be declared through October monitoring round process.</p>			<p>2014. (S. McCartan- November <u>January 2014</u>)</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (C McGurk – Ongoing)</p> <p>New programme SRO now appointed.</p> <p>FBC/BRP schedule in place – Key Milestones dates and actions agreed to achieve sign off of IFA/GAA FBC & BRP's (C McGurk –Dec 2013)</p>		
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<p><u>Spend Profiles (fit with CSR budgets)- Failure to achieve spend within CSR period.</u></p> <p><u>Cost Management- Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u>Total 2013/14 Capital Budget Allocation (As at October Budget) = £16.331m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. Easement to be declared through October monitoring round process to be declared as a result of spend profiles received from Gov bodies. (C McGurk- June 2013 & Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(N. Molloy - ongoing)</p>			
<p>Previous Month's Risk Rating:</p>	<p>H</p>	<p>H</p>		<p>H</p>	<p>H</p>		<p>H-M</p>	<p>L-M</p>	

Stadium Delivery	Delivery Confidence Assessment RAG Status
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 2-4th October 2013 and gave the project a Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	<p>Amber</p>
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 3-5th October 2012 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	<p>Amber</p>
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team recently carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.</p>	<p>Green</p>

5. Strategic Goal : City of Culture 2013									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<ul style="list-style-type: none"> Regular update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Minister announced plans for legacy projects to be delivered between Jan - Mar 2014. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural Programme activities. Addendum to Letter of Offer issued to DCC to cover further projects to be delivered between Jan/Mar 2014. 	M	M	<ul style="list-style-type: none"> Ongoing monitoring of spend against profile. Consideration of SRO's requests for Optimism Bias to support additional unforeseen costs. Legacy Plan to be implemented. (See new Risk) Approx £1.7m remains to be drawdown by Derry City and is expected to be fully spent by March 2014. A project final account setting out final individual project budgets, benefits and audit findings will be submitted by DCC in early 2014. <p>Assignee: Joanna McConway</p>	M	L
Previous month's rating:		H	H		M	M		M	M

DC1 13 81578 Corporate Risk Register - Dec 13 Update

6. Strategic Goal : City of Culture 2014 - 2016									
Risk Owner: Strategic Delivery Division – Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality. Risk Owner: Stephen McGowan	H	H	<ul style="list-style-type: none"> Minister recently announced her strategic vision for City of Culture legacy in the North West region. Up to £2m has been secured for the January to March 2014 period to support continuation of key projects from the City of Culture's cultural programme in 2013 to prevent the loss of key benefits, partnerships and momentum after December 2013 and to invest in strategic sports facility development. Work has been initiated to plan implementation of the Minister's strategic vision for the region. 	M	M	<ul style="list-style-type: none"> Bid to the executive for funding for the 2014/15 financial year to support ongoing and new interventions which maximise City of Culture benefits across the whole North West region in tackling poverty, social exclusion and inequality. Set up a DCAL North-West Office which will be a permanent resource based in Derry and dedicated to building on the benefits of the City of Culture year. Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which directly impact on poverty, social exclusion and inequality. Set up a DCAL led Oversight Group. <p>Assignee: Joanna McConway</p>	M	L-M
		RED	RED		AMB	AMB		AMB	AMB
Previous	month's rating:	N/a	N/A		N/a	N/a		N/a	N/a

DC1 13 81578 Corporate Risk Register - Dec 13 Update

67. Strategic Goal : To make official records available to the public									
Risk Owner: Public Record Office of Northern Ireland									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To make official records available to the public in line with relevant legislation and the Minister's priorities by March 31, 2014	Failure to make official records available to the public in line with relevant legislation and the Minister's priorities Risk Owner: Maggie Smith	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 15000 priority records per annum. 	M	M	<ul style="list-style-type: none"> Robust consultation process developed and implemented for 3rd party consultation required under FOIA – December 2013. Lessons learnt review of 1st year of phasing in of 20 Year Rule and review of 20 Year Rule project –January 2014 Cataloguing and publishing of Coroner's inquest index of c13000 records – March 2014. <p>Assignee: David Huddleston</p>	M	M
		RED	RED		AMB	AMB		AMB	AMB
Previous month's rating:		N/a	N/a		N/a	N/a		N/a	N/a

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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (January Update)

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Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

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DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

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CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

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Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	M	9
2	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	H	H	25
3	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H	M	15
4	Inherent risks associated with large capital projects of this nature	H	H	25
5	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M	M	9

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6	Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality.	M	M	9
7	Failure to make official records available to the public in line with relevant legislation and the Minister's priorities	M	M	9

Version Control: December Update

	Date of Completion
Last reviewed by Board/Director	17/12/13
Next review by Board/Director	28/01/14
Last reviewed by Audit Committee (if applicable)	07/01/14

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies.

Risk Owner: Corporate Services Division - Deborah Brown

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Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p><u>Budgetary implications:</u></p> <p>Total ALB 2013/14 Resource Budget Allocation (As at January 2nd Stage Budget) = £89.7m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at January 2nd Stage Budget) = £18.6m</p>	M-H	M-H	<p>Corporate Governance Framework, ALB Sponsorship Guide and Risk Management Framework in place. QAS and Governance Statement process in place. Departmental Board and ARAC TORs in place. Finance reports supplied monthly to Departmental Board. Annual report and Accounts publicly available. Dissemination of all relevant DAOs and FD letters relating to governance matters. Internal Audit and External audit programmes in place. Anti Fraud Policy in place. Management Statements and Financial Memoranda in place for ALBs. ALB risk assessments performed on a regular basis. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on monitoring and reporting against business plan targets. Two Independent Board Members in place.</p>	M	M	<p>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide.</p> <p>First risk assessments for FnG and USAg to be performed Re-assessment of risk has commenced – to be completed for all ALBs.</p> <p>A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment.</p> <p>Review of existing Board TOR to inform the creation of a 'Board Operating Framework' which will replace the TOR - to be completed alongside the Review of Board Effectiveness.</p> <p>A formal review of the Department's compliance with the Corporate Governance Code 2013 ("the 2013 Code") is underway. This will be informed by a Review of Board Effectiveness which is being completed by the Independent Board Members. A paper on</p>	M	L-M

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			<p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Revised Sponsorship Guide was presented to and endorsed by April 2013 Board.</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role</p>			<p>compliance with the 2013 Code will be provided to the Board in due course.</p> <p>A slightly amended version of the QAS has been issued for completion by ALBs and Managers/Directors for Q2. The amendments reflect updated guidance and PFG commitments.</p> <p>Deborah Brown Cynthia Smith met with the five largest ALBs as part of the 'Review of Governance' project and the wording of the QAS will be revisited, in particular re: Chair sign off.</p> <p>A 'Review of Governance' project has commenced with team members from across DCAL. The objective of which is to reduce the amount of time spent on governance, while obtaining similar levels of assurance to the Accounting Officer, to free up resource to focus on delivery against the Department's main priority to Promote Equality and Tackle Poverty and Social Exclusion. A paper with findings and recommendations will be submitted to the Departmental Board in the New Year.</p>		
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				in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.					
Previous Month's Risk Rating:		M-H	M-H		M	M		M	L-M

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2. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown/Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at January 2 nd Stage Budget) = £122.324m Total ALB / Department 2013/14 Capital Budget Allocation (As at January 2 nd Stage Budget) = £30.872m	H	H	Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities. Business Plans for the Department and ALBs are now approved.	H	H	Work is progressing to ensure funding secured in June and October Monitoring is delivered in 13/14 and progress reports are provided to Minister detailing progress to date. The Dept Board is also provided with updates. The work around zero-basing and early indications of pressures and easements will inform budget management in 14/15. Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent. Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the right time to deliver against business priorities The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify	M	M

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						<p>any skills gaps or deficiencies which will then inform actions needed on training, recruitment and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. A formal PETPSE Board has been established and a monitoring report has been set up to track progress on major PETPSE interventions across the Department.</p> <p>A 'statement of intent' document is being developed to articulate the Department's approach to PETPSE.</p> <p>A Communications Strategy is being drafted for approval by the PETPSE Board.</p> <p>A dedicated interim G5 has taken up post on 11th November 2013 to drive forward this work within the Department.</p> <p>The Department is engaging with Minister to ensure she is kept apprised of the budget position, ability to spend and progress to date.</p>				
Previous Month's Risk Rating:		H	H			H	H		M	M

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3. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p>	H	M	<p>Business Continuity Plan and Emergency Business Continuity Plans have been reviewed and updated and Test Scenario mapped out. An initial planning meeting involving senior management took place on 14th January. Desk-top exercise planned for 31st January. The post exercise report will be used to inform the BCP arrangements. Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

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4. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks</u> associated with large capital projects of this nature, especially;</p> <p><u>Legal- Failure to approve legal sign offs</u></p>	H	H	<p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery</p> <p>Procurement strategy agreed with CPD for each project.</p> <p>Continued involvement with CPD</p>	H	H	<p>Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines.(N.Molloy- Feb 2014)</p> <p>IST Appointments for GAA & IFA were made in December 2013.</p> <p>Parallel actions in place to mitigate potential</p>	H-M	L-M

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	<p><u>Procurement-Potential for procurement challenge</u></p> <p><u>Failure by IFA to ensure compliance with 2011 Governance Review requirements</u></p> <p><u>Programme Governance-</u></p>			<p>during procurement stages.</p> <p>Issues have arose in recent months around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</p> <p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being</p>			<p>for impact on programme timelines in the event of procurement challenge.</p> <p>An independent review of IFA was carried out in November 2013. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement the recommendations in January 2014. (S. McCartan- January 2014)</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme</p>		
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<p><u>Failure to ensure effective governance and management of the programme.</u></p> <p><u>Benefits Delivery-Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit with CSR budgets)- Failure</u></p>			<p>implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p> <p>New programme SRO now appointed.</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB/IFA & UCGAA – BRP & FBC in place</p> <p>Review of spend profiles. Easement to be declared through October monitoring round process.</p>			<p>Board & project Board meetings (C McGurk – Ongoing)</p> <p>Programme benefits Realisation plan will now be developed following submission of project benefit Plans (CMcGurk- March 2014)Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile. (C McGurk- Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(N Molloy - ongoing)</p>		
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	<p><u>to achieve spend within CSR period.</u></p> <p><u>Cost Management-Failure to ensure fit of project costs to agreed budget.</u></p> <p><u>Budgetary Implications:</u>Total 2013/14 Capital Budget Allocation (As at January 2nd Stage Budget) = £11.831m Total Capital Budget Allocation over CSR period = £110m</p>			<p>Review of project budgets at Project Boards & Project Steering Group's.</p>					
<p>Previous Month's Risk Rating:</p>	<p>H</p>	<p>H</p>		<p>H</p>	<p>H</p>		<p>H-M</p>	<p>L-M</p>	

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Stadium Delivery	Delivery Confidence Assessment RAG Status
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 2-4th October 2013 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 11-12th December 2013 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly. Since the last Gateway Review, the risk register for the project has been reviewed at every project board meeting and the project remains as 'Green' with regards to delivery confidence.</p>	Green

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5. Strategic Goal : City of Culture 2013									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	<p>The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.</p> <p>Risk Owner: Arthur Scott</p>	H	H	<ul style="list-style-type: none"> Regular update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Minister announced plans for legacy projects to be delivered between Jan - Mar 2014. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural Programme activities. Addendum to Letter of Offer issued to DCC to cover further projects to be delivered between Jan/Mar 2014. 	M	M	<ul style="list-style-type: none"> Ongoing monitoring of spend against profile. Consideration of SRO's requests for Optimism Bias to support additional unforeseen costs. Legacy Plan to be implemented. (See new Risk) Approx £1.7m remains to be drawdown by Derry City and is expected to be fully spent by March 2014. A project final account setting out final individual project budgets, benefits and audit findings will be submitted by DCC in early 2014. <p>Assignee: Joanna McConway</p>	M	L
Previous month's rating:		H	H		M	M		M	L

Annex C

6. Strategic Goal : City of Culture 2014 - 2016									
Risk Owner: Strategic Delivery Division – Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality. Risk Owner: Stephen McGowan	H	H	<ul style="list-style-type: none"> Minister recently announced her strategic vision for City of Culture legacy in the North West region. Up to £2m has been secured for the January to March 2014 period to support continuation of key projects from the City of Culture's cultural programme in 2013 to prevent the loss of key benefits, partnerships and momentum after December 2013 and to invest in strategic sports facility development. Work has been initiated to plan implementation of the Minister's strategic vision for the region. 	M	M	<ul style="list-style-type: none"> Bid to the executive for funding for the 2014/15 financial year to support ongoing and new interventions which maximise City of Culture benefits across the whole North West region in tackling poverty, social exclusion and inequality. Set up a DCAL North-West Office which will be a permanent resource based in Derry and dedicated to building on the benefits of the City of Culture year. Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which directly impact on poverty, social exclusion and inequality. Set up a DCAL led Oversight Group. <p>Assignee: Joanna McConway</p>	M	L-M
		RED	RED		AMB	AMB		AMB	AMB
Previous month's rating:		H	H		M	M		M	L-M

Annex C

7. Strategic Goal : To make official records available to the public									
Risk Owner: Public Record Office of Northern Ireland									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To make official records available to the public in line with relevant legislation and the Minister's priorities by March 31, 2014	Failure to make official records available to the public in line with relevant legislation and the Minister's priorities Risk Owner: Maggie Smith	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 15000 priority records per annum. First batch of requests being considered under new FOIA consultation process. Lessons learnt review completed for 20 year review.	M	M	<ul style="list-style-type: none"> Cataloguing and publishing of Coroner's inquest index of c13000 records – March 2014. Lessons learnt actions to be implemented during 2014 – December 2014 Assignee: David Huddleston	M	M
		RED	RED		AMB	AMB		AMB	AMB
Previous month's rating:		M	M-H		M	M		M	M



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2013-2014 (February Update)

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium			9	12	15
2	L-M	2	4	6	8	10
1	Low	Inherent Risk		3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.	M	M	9
2	Risk that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Ministerial priorities.	H	H	25
3	Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.	H	M	15
4	<u>Stadium Delivery</u> - Inherent risks associated with large capital projects of this nature	H	H	25
5	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget.	M	M	9

6	Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality.	M	M	9
7	Failure to make official records available to the public in line with relevant legislation and the Minister's priorities	M	M	9

Version Control: December Update

	Date of Completion
Last reviewed by Board/Director	28/1/14
Next review by Board/Director	25/2/14
Last reviewed by Audit Committee (if applicable)	07/01/14

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

1 Strategic Goal - To ensure the effective oversight of relevant Arm's Length Bodies. Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To ensure the effective oversight of relevant Arm's Length Bodies.	<p>Inadequate governance controls in the Department and its ALBs leads to financial loss, non-achievement of objectives and reputational damage to the Department.</p> <p>Budgetary implications:</p> <p>Total ALB 2013/14 Resource Budget Allocation (As at January 2nd Stage Budget) = £89.7m</p> <p>Total ALB 2013/14 Capital Budget Allocation (As at January 2nd Stage</p>	M-H	M-H	<p><u>The following are in place:</u></p> <ul style="list-style-type: none"> • <u>Corporate Governance Framework, ALB Sponsorship Guide and N/S Sponsorship Manual</u> • <u>Risk Management Framework in place</u>. QAS and Governance Statement process <u>in place</u>. • <u>Departmental Board and ARAC TORs in place</u>. <u>Internal Audit and External audit programmes</u> • <u>Anti Fraud Policy</u> • <u>MSFMs</u> • <u>Fraud Awareness Training</u> • <u>Accountability meetings/Ongoing Engagement</u> • <u>Performance Management/ Chair appraisals/ CEO appraisals</u> <p>Finance reports supplied monthly to Departmental Board.</p> <p>-Annual report and Accounts publicly available.</p> <p>Dissemination of all relevant DAOs and FD letters relating to governance matters.</p> <p><u>Internal Audit and External audit</u></p>	M	M	<p><u>Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide. Finalise Business Plan process and include in Sponsorship Guide (Assignee: Philip Spotswood (PS)/Gillian McAfee (GM) Date: June 2014)</u></p> <p>First risk assessments for FnG and USAg to be performed<u>completed</u>. <u>Complete</u> Re-assessment of risk has commenced <u>to be completed</u> for all ALBs (Assignee: GM Date:xx 2014) .</p> <p><u>A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment.</u></p> <p><u>Review of existing Board TOR to inform the creation of a 'Board Operating Framework'</u></p>	M	L-M

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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

		Budget) = £18.6m			<p>programmes in place. Anti Fraud Policy in place.</p> <p>Management Statements and Financial Memoranda in place for ALBs. ALB risk assessments performed on a regular basis. ALB boards managed in accordance with best practice.</p> <p>Greater focus is now being placed on monitoring and reporting against business plan targets.</p> <p>Two Independent Board Members in place.</p> <p>Risk assessment process has been reviewed and updated and has been rolled out to ALBs to reassess risk ratings.</p> <p>Fraud Awareness Training to continue to be rolled out to ALBs and now includes Bribery Act.</p> <p>A rolling programme of fraud awareness training is provided through the DARD CIS SLA on a needs basis.</p> <p>Audit Committee Chair's workshop and Strategic Partnership Forum held in June 2013</p> <p>Accountability meetings are regularly</p>			<p>which will replace the TOR—to be completed alongside the Review of Board Effectiveness.</p> <p>A formal review of the Department's compliance with the Corporate Governance Code 2013 ("the 2013 Code") has been completed is underway. This will be informed by a Review of Board Effectiveness which is being completed by the Independent Board Members. A paper on compliance with the 2013 Code will be provided to the Board in advance of the February meeting, in due course. Complete Board Effectiveness Review and the Review of Compliance with 2013 Code of Corporate governance (Assignee: GM/PS Date: February 2014)</p> <p>A slightly amended version of the QAS has been issued for completion by ALBs and Managers/Directors for Q2. The amendments reflect updated guidance and PFG commitments. (DN: Outdated—remove?) Roll out revised QAS Template (Assignee: GM Date: February 2014)</p> <p>Deborah Brown and Cynthia Smith met with the five largest ALBs as part of the 'Review of Governance' project and the wording of the QAS will be currently being revisited, in particular re: Chair sign off.</p> <p>A 'Review of Governance' project has commenced with team members from across DCAL. The objective of which is to reduce the</p>		
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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

				<p>held, dependent on risk assessments.</p> <p>A greater focus is now being placed on performance management in informing Chair appraisals and CEO appraisals and ensuring the role of the Board is appropriately discharged.</p> <p>Revised Sponsorship Guide was presented to and endorsed by April 2013 Board.</p> <p>Senior Sponsors have met with all ALBs to enhance the understanding and acceptance by ALBs of their role in the QAS process. These meetings have been followed up by letters from the Senior Sponsor and the Department continues to work with ALBs over the course of the 13/14 financial year to assist them in embedding the assurance process effectively within their organisations.</p>			<p>amount of time spent on governance, while obtaining similar levels of assurance to the Accounting Officer, to free up resource to focus on delivery against the Department's main priority to Promote Equality and Tackle Poverty and Social Exclusion. A paper with findings and recommendations will be submitted to the Departmental Board in the New Year. Agree and implement action points from the 'Review of Governance' Project (Assignee: Deborah Brown Date: Various)</p>			
Previous Month's Risk Rating:			M-H	M-H		M	M		M	L-M

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

2. Strategic Goal: Ensure resources are monitored and managed effectively to ensure achievement of Departmental objectives.									
Risk Owner: Corporate Services Division - Deborah Brown/Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
The Department will ensure that resources are monitored and managed effectively to ensure achievement of Departmental objectives	1. Risk that DCAL does not have the capacity to deliver its core functions and that budgets, spend and projects are not sufficiently focused on tackling poverty and social exclusion, resulting in failure to meet Departmental priorities. Total ALB / Department 2013/14 Admin & Resource Budget Allocation (As at January 2 nd Stage Budget) = £122.324m Total ALB / Department 2013/14 Capital Budget Allocation (As at January 2 nd Stage Budget) = £30.872m	H	H	Spend continues to be monitored across the Department and its ALBs with opportunities identified to use easements to meet priorities. This is reported monthly to the Departmental Board Managing Resources <u>Committee in place responsible for staffing meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources taking decisions on filling of posts, creation of new posts etc to meet business priorities.</u> Business Plans for the Department and ALBs are now approved. <u>Formal PETPSE Board has been established and continues to meet as appropriate. Dedicated Champions have been identified across the Department to ensure the PETPSE agenda is being rolled out.</u>	H	H	<u>Finance has provided the Minister with a budget position paper on 13/14. At the time of writing this reflected a potential residential easement of £304k in resource nil in capital.</u> Work is progressing to ensure funding secured in June and October Monitoring is delivered in 13/14 and progress reports are provided to Minister detailing progress to date. The Dept Board is also provided with updates. <u>Following the zero based budget exercise allocation letters for 14/15 are with the Minister for signature.</u> The work around zero-basing and early indications of pressures and easements will inform budget management in 14/15. Senior Sponsors continue to engage with ALBs to ensure delivery against the key priority, and that budgets are spent. <u>Budgets and Staff Resources are being mapped against targets and objectives to inform discussion and action to ensure we have the right people in the right place at the</u>	M	M

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					<p>right time to deliver against business priorities.</p> <p>The draft Learning and Development Strategy was tabled for discussion at the August Board. Its objective is to determine the required skillset to deliver against each of departmental priorities, and then to identify any skills gaps or deficiencies which will then inform actions needed on training, recruitment and short term appointments. This will help ensure achievement of the Departmental objectives.</p> <p>Work across different strands including Together Building a United Community, Disability Signature Programme, Delivering Social Change etc is being progressed within the priority to Promote Equality and Tackle Poverty and Social Exclusion. A formal PETPSE Board has been established and a monitoring report has been set up to track progress on major PETPSE interventions across the Department.</p> <p>A 'statement of intent' document is being developed to articulate the Department's approach to PETPSE.</p> <p>A Communications Strategy is being drafted for approval by the PETPSE Board.</p> <p>A dedicated interim G5 has taken up post on 11th November 2013 to drive forward this work within the Department.</p> <p><u>Three initial PETPSE Roadshows have been scheduled for March/April 2014.</u></p> <p><u>ALB Business plans will be reviewed to</u></p>		
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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

					<p><u>ensure options for collaboration are identified.</u></p> <p>The Department is engaging with Minister to ensure she is kept appraised of the budget position, ability to spend and progress to date.</p>				
Previous Month's Risk Rating:		H	H		H	H		M	M

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

3. Strategic Goal : All									
Risk Owner: Corporate Services Division - Deborah Brown									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
All	<p>Interruption to business caused by weather, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives.</p> <p><u>Budgetary Implications:</u></p> <p>Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>1. Business Continuity Plan. 2. Emergency Plan. 3. Flu Pandemic Plan.</p> <p>Emergency Response for Archives training delivered to PRONI staff by Harwell Document Restoration Services [Lead practitioners UK and Ireland] 4-5 June 2013. Emergency Plan for Archives reviewed by Harwell</p> <p>The emergency plan has been amended to take account of comments from Harwell Disaster Recovery Service. Staff familiarisation with plan and table top test - completed 27 November 2013 Expanded test involving PRONI salvage team – completed 10 January 2014</p>	H	M	<p>Business Continuity Plan and Emergency Business Continuity Plans have been reviewed and updated and Test Scenario mapped out. An initial planning meeting involving senior management took place on 14th January. Desk-top exercise planned for 17th February 31st January. The post exercise report will be used to inform/update the BCP arrangements. (JM – 11th Feb 2014)</p> <p>Risk Owner: Deborah Brown/Jim Magee</p>	M-H	L
Previous Month's Risk Rating:		H	H		H	M		M-H	L

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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

4. Strategic Goal : Stadium Delivery									
Risk Owner: Sport Division – Colin Watson Stadiums – Cynthia Smith									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
Delivery of three regional stadiums within current CSR	<p><u>Inherent risks associated with large capital projects of this nature, especially;</u> <u>Legal- Failure to approve legal sign offs</u></p> <p><u>Legal- Potential for a legal challenge on UCGAA planning decision</u></p>	H	H	<p><u>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks</u></p> <p>Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery. <u>Liaison with UK-Rep and EU Commission as necessary to mitigate against impact on programme timelines.</u></p> <p><u>Planning approval for Casement Park was received on 18 December 2013. Potential for a legal challenge to impact negatively on the project. Meetings have been held on a</u></p>	H	H	<p>Stadium Team liaising with <u>UK-Rep and EU Commission</u> to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines. (<u>N.Molloy/CMcGurk- Feb-Mar-April 2014</u>)</p> <p><u>DCAL are aware that UCGAA and the contractor are fully committed to continuing to engage with residents in the coming weeks. The Department will continue to support this approach. Issues with regard to any potential</u></p>	H-M	L-M

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

		<p><u>Procurement-Potential for procurement challenge</u></p> <p><u>Failure by IFA to ensure compliance with 2011-2013 Governance Review requirements</u></p>			<p><u>number of occasions between the Department, UCGAA and local residents. As extensive community consultation process which has run for 22 months was extended by the UCGAA by a period of four weeks to enable the views of the local community to be heard.</u></p> <p><u>Procurement strategy agreed with CPD for each project.</u></p> <p>Continued involvement with CPD during procurement stages. <u>IST appointments for UCGAA and IFA were made in December 2013.</u></p> <p>Issues have arose in recent months around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. A number of communications have taken place with IFA to reinforce DCAL's requirement for robust governance.</p>			<p><u>legal challenges on planning are dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA (C McGurk – ongoing).</u></p> <p><u>IST Appointments for GAA & IFA were made in December 2013.</u></p> <p>Parallel actions in place to mitigate potential for impact on programme timelines in the event of a procurement challenge. <u>(C McGurk –Ongoing)</u></p> <p>An independent review of IFA was carried out in November 2013. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement the recommendations <u>in January/February 2014. The Conditions Precedent within the Funding Agreement requires IFA to provide evidence of full compliance with recommendations of the Governance Review prior to any funding being released. (S. McCartan/C McGurk- January FebruaryApril 2014)</u></p>		
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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

<p><u>Programme Governance- Failure to ensure effective governance and management of the programme.</u></p> <p><u>Benefits Delivery- Failure to achieve the desired benefits from the programme.</u></p> <p><u>Spend Profiles (fit</u></p>			<p>Monthly Sponsor Board meetings (programme & project sponsorship)</p> <p>Monthly Programme Board Meetings (Assurance Meetings)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Gateway 0a review recommendations agreed and are being implemented. Recommendations arising from project health checks/gateway review being implemented.</p> <p>Programme Director has been appointed and a Programme team is in place</p> <p>Implementation of any NIAO & internal Audit Recommendations</p> <p>New programme SRO now appointed.</p> <p>BRP template in place for each project. FBC consultants appointed for all projects.</p> <p>IRFU UB/IFA & UCGAA – BRP & FBC in place</p> <p>Review of spend profiles. Easement</p>		<p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk - Ongoing)</p> <p>Implementation schedule in relation to NIAO/internal Audit recommendations. (C McGurk - Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & project Board meetings (C McGurk – Ongoing)</p> <p>Additional support being provided by SIB through a part-time strategic advisor on a 5 day a month basis as a result of the departure of the Programme Director.</p> <p>Programme Benefits Realisation Plan will now be developed following submission of project benefit Plans (C McGurk- AprilMarch 2014)</p> <p>Weekly review of spend profiles and</p>		
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DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

	<p>with CSR budgets)- Failure to achieve spend within CSR period agreed timeframes.</p> <p>Cost Management- Failure to ensure fit of project costs to agreed budget.</p> <p>Budgetary Implications: Total 2013/14 Capital Budget Allocation (As at January 2nd Stage Budget) = £11.831m Total Capital Budget Allocation over CSR period = £110m</p>			<p>to be declared through October January monitoring round process.</p> <p>Review of project budgets at Project Boards & Project Steering Group's.</p>			<p>notification to DCAL Finance Branch of variances in spend profile. (C McGurk-Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board(N Molloy C Southern - ongoing)</p>		
Previous Month's Risk Rating:		H	H		H	H		H-M	L-M

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

Stadium Delivery	Delivery Confidence Assessment RAG Status
<p>6a- Windsor Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 2-4th October 2013 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6b- Casement Park Development Project</p> <p>The Gateway Review Team recently carried out a review on the 11-12th December 2013 and gave the project an Amber Delivery Confidence assessment. This rating indicates that successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun.</p>	Amber
<p>6c- Ravenhill Development Project</p> <p>The Gateway Review Team carried out a review on the 17-18th September 2012 and gave the project a Green Delivery Confidence assessment. This rating indicates that successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly. Since the last Gateway Review, the risk register for the project has been reviewed at every project board meeting and the project remains as 'Green' with regards to delivery confidence.</p>	Green

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

5. Strategic Goal : City of Culture 2013									
Risk Owner: Culture Division - Arthur Scott									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	The City of Culture Project poses a number of high level risks which are detailed on the project risk register. If realised, these risks could lead to failure to achieve value for money, failure to successfully deliver the project; failure to achieve a lasting legacy, failure to spend the profiled budget. Risk Owner: Arthur Scott	H RED	H RED	<ul style="list-style-type: none"> Regular update meetings are held between DCAL and project partners. Monthly drawdown meetings are held to scrutinise financial and audit information provided by DCC. Benefits Realisation plan in place. Minister announced plans for legacy projects to be delivered between Jan - Mar 2014. DFP has approved the updated DCAL Business Case including changes to the project's budget structure and the final suite of Cultural Programme activities. Addendum to Letter of Offer issued to DCC to cover further projects to be delivered between Jan/Mar 2014. 	M AMB	M AMB	<ul style="list-style-type: none"> Ongoing monitoring of spend against profile. Consideration of SRO's requests for Optimism Bias to support additional unforeseen costs. Legacy Plan to be implemented. (See new Risk) Approx £2.06m remains to be drawdown by Derry City <u>Council</u>. A project final account setting out final individual project budgets, <u>benefits</u> and audit findings will be submitted by DCC in early 2014. <p>Assignee: Joanna McConway</p>	M GRE	L GRE
Previous month's rating:		H	H		M	M		M	L

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

6. Strategic Goal : City of Culture 2014 - 2016									
Risk Owner: Strategic Delivery Division – Stephen McGowan									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
CITY OF CULTURE	Failure to capitalise on the City of Culture 2013 programme, as part of DCAL's responsibility to deliver strategic development for the North West, leading to a failure to achieve DCAL's mission of tackling poverty, social exclusion and inequality. Risk Owner: Stephen McGowan	H	H	<ul style="list-style-type: none"> Minister recently announced her strategic vision for City of Culture legacy in the North West region. Up to £2m has been secured for the January to March 2014 period to support continuation of key projects from the City of Culture's cultural programme in 2013 to prevent the loss of key benefits, partnerships and momentum after December 2013 and to invest in strategic sports facility development. Work has been initiated to plan implementation of the Minister's strategic vision for the region. 	M	M	<ul style="list-style-type: none"> Bid to the executive for funding for the 2014/15 and 2015/16 financial years to support ongoing and new interventions which maximise City of Culture benefits across the whole North West region in tackling poverty, social exclusion and inequality. Set up a DCAL North-West Office which will be a permanent resource based in Derry and dedicated to building on the benefits of the City of Culture year. Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which directly impact on poverty, social exclusion and inequality. Set up a DCAL led Oversight Group. <p>Assignee: Joanna McConway</p>	M	L-M
		RED	RED		AMB	AMB		AMB	AMB
Previous month's rating:		H	H		M	M		M	L-M

7. Strategic Goal : To make official records available to the public

DC1 14 8804 Corporate Risk Register - Feb 14 Update(2)

Risk Owner: Public Record Office of Northern Ireland									
Business Area Objective	Threat/Budgetary Implications	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
To make official records available to the public in line with relevant legislation and the Minister's priorities by March 31, 2014	Failure to make official records available to the public in line with relevant legislation and the Minister's priorities Risk Owner: Maggie Smith	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 15000 priority records per annum. First batch of requests being considered under new FOIA consultation process. Lessons learnt review completed for 20 year review.	M	M	<ul style="list-style-type: none"> Cataloguing and publishing of Coroner's inquest index of c13000 records – March 2014. Lessons learnt actions to be implemented during 2014 – December 2014 Assignee: David Huddleston	M	M
		RED	RED		AMB	AMB		AMB	AMB
Previous month's rating:		M	M-H		M	M		M	M



Department of
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an Aisedom**

文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

DRAFT 2014/15

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|--|
| 1. Low | No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues |
| 2. Low - Medium | £1000's lost; or some localised press coverage; or isolated errors |
| 3. Medium | £10,000's lost; or localised media attention; or NIAO criticism |
| 4. Medium - High | Failure of key support services; or £100,000's lost; or failure to meet national standards |
| 5. High | Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death |

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR

DETAILED DESCRIPTION

- | | |
|-------------------------|---|
| 1. Low | May occur only in exceptional circumstances |
| 2. Low - Medium | Might conceivably occur at some time |
| 3. Medium | Could occur at some time |
| 4. Medium - High | Will probably occur in most circumstances |
| 5. High | Is expected to occur in most circumstances |

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	L-M	6
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to capitalise on City of Culture/WPFG legacy	H	M	15
6	Failure to deliver Regional Stadia on time and to budget	H	H	25
7	Interruption to Business	H	M	15
8	Failure to make official records available to the public	M	M	9
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25
10	Inability to deliver TBUC	H	H	25

11	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
12	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance		Hungry (open)
Sponsorship	Eg. 1	Open (open)
Propriety, Regularity, Finance and Accountability	Eg. 2	Open (open)
Reputation and External Risk		Open (open)
Information Management		Averse (averse)
Compliance – Legal/Environmental		Averse (averse)

Version Control: xxxx

	Date of Completion
Last reviewed by Board/Director	28/1/14
Next review by Board/Director	25/3/14
Last reviewed by Audit Committee (if applicable)	20/3/14

1. INADEQUATE GOVERNANCE CONTROLS

Risk Owner: DEBORAH BROWN

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £99.216m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> The following are in place: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Management Statements and Financial Memoranda between the Department & ALBs ALB risk assessments performed on a regular basis. ALB boards managed in accordance with best practice. Greater focus is now being placed on monitoring & reporting against business plan targets. Accountability meetings are regularly held, dependent on risk assessments. A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. Review of Compliance against 	M	M	<ol style="list-style-type: none"> Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide (June 2014) A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment. An amended version of the QAS to be embedded in 2014/15. This better reflects the roles of the Board/Chair in discharging their responsibilities <p>Agree and implement action points from the 'Review of Governance' project (Assignee: D Brown Date: Various)</p>	M	L-M

			2013 Code of Corporate Governance performed in 2014 <ul style="list-style-type: none"> • Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice 					
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

2. Insufficient Budget results in failure to deliver key Departmental Priorities

Risk Owner: ALL

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities</p> <p>CAUSE: 15/16 Budget exercise results in cuts to Department's allocations and additional funding not secured for new work streams including City of Culture Legacy and TBUC Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring.</p> <p>CONSEQUENCES: Failure to deliver key priorities including PETPSE, City of Culture Legacy and TBUC</p> <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £99.216m</p>	H	H	<ul style="list-style-type: none"> Zero Based Budget has provided transparency on the allocation of funding against priorities, programmes and projects. This will help inform decisions on 15/16 budget bid and allocations. ALBs have all been alerted to the 15/16 one year budget exercise. 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding secured through monitoring rounds. Minister had also been alerted to pressures in 14/15. Evidence will continue to be collected on our delivery against PETPSE to support future bids to DFP. 	H	H	<ol style="list-style-type: none"> Make bids in 14/15 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Michael O'Dowd/ 5th June 2014) Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC) Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be agreed by Executive in 14/15, this will also include the associated staffing costs Secure DFP approval for a new company to deliver City of Culture Legacy 	M	L-M

Total 2014/15 Capital Budget Allocation = £90.334m								
Previous Month's Risk Rating:								

3. Insufficiently Skilled staff / Insufficient number of skilled staff

Risk Owner: Deborah Brown

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business objectives reputational damage Disengaged staff. 	M	M	<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. Training is commissioned formally twice per year and a training plan prepared set out the training needs identified to build staff skills and knowledge. 	M	L-M	<p>1. Training Strategy is being considered to ensure individuals in post have the required skills to deliver business objectives within their areas (Hilary Harbinson December 2014)</p> <p>Steps are being taken by SMT to manage emerging pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring.</p>	L	L

<u>BUDGETARY CONTEXT:</u>			<ul style="list-style-type: none"> • Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. • Line managers confirm through the Performance management system that staff are performing effectively • Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 					
Previous Month's Risk Rating:								

4. Failure to Deliver PETPSE

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by Department and ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process 	H	H	<ul style="list-style-type: none"> The importance of the PETPSE Agenda is underlined in the Departmental Mission Statement. The 2013/14 DCAL Business Plan clearly articulates that the PETPSE Agenda is to be placed first and foremost when framing policy and allocating resources. The 2013/14 Business Plans of each of DCAL's Arms Length Bodies was carefully assessed on its ability to deliver the PETPSE Agenda before it was approved. Over summer 2013 a zero based budgeting exercise took place. ALBs were asked to identify all spend as either discretionary or non discretionary and to prioritise discretionary spend on the PETPSE Agenda. A PETPSE Board made up of the senior management team has been set up with responsibility to ensure delivery on the PETPSE Agenda. Regular meetings are held. The PETPSE Board has 	M	M	<ol style="list-style-type: none"> An interim Strategic Delivery Division (SDD) has been established with responsibility for coordinating work on the PETPSE Agenda (Assignee: S.McGowan); PETPSE Agenda clearly articulated in the 2014/15 Business Plan (CSU, XXX 2014); ALBs will be supported to build on the PETPSE Agenda in their 2014/15 Business Plans (Sponsor branches with support from CSU and SDD, XXX 2014); PETPSE Agenda focused under four themes: Education; The Economy; Promoting Health and Wellbeing; and Social Inclusion (All, 31 March 2015); DCAL to enhance internal and external communication and engagement initiatives to reinforce the PETPSE agenda (Aine Gaughran and SDD, XXXX 2014); PETPSE Champions appointed and supported to place this Agenda at the forefront of all work done by their branches (DCAL branches and SDD) 	L-M	L-M

			<p>produced a template for reporting delivery towards the PETPSE Agenda to the Minister. This Template will be regularly updated.</p> <ul style="list-style-type: none"> Reporting on progress on the PETPSE Agenda is an integral part of ALB Accountability meetings. 			<p>7. PETPSE Monitoring Working Group established to share research and statistics across the Department (Research&Statistics branch and SDD).</p> <p>8. DCAL to publish a pamphlet on PETPSE. (Paul Gamble, 1 March 2014);</p> <p>9. DCAL to host Roadshows across the region to enhance engagement with social partners and communities (Paul Gamble, Spring / Autumn 2014)</p> <p>10.DCAL website to be redesigned to highlight the PETPSE Agenda (Aine Gaughran and SDD, XXXX March 2014).</p> <p>11.DCAL Staff Conference to be themed around the PETPSE Agenda to improve internal communication at all levels (Staff Engagement Forum, May 2014).</p> <p>12.DCAL Learning Forum refocused on PETPSE (Gerry Kelly/SDD, March 2015).</p> <p>13.Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West in 2014 (SDD, 31 December 2014).</p>		
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

5. Failure to capitalise on City of Culture/WPFG legacy

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u> Failure to capitalise on City of Culture/WPFG legacy</p> <p><u>CAUSE:</u> Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>Failure to build on the success of the World Police and Fire Games to promote equality and tackle poverty and social exclusion.</p> <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • <u>Failure to deliver key Ministerial Commitments</u> • <u>Reputational Damage</u> <p><u>BUDGETARY CONTEXT:</u></p> <ul style="list-style-type: none"> • Bid to Executive required 	H	H	<ul style="list-style-type: none"> • Minister recently announced her strategic vision for City of Culture legacy in the North West region. • Up to £2m has been secured for the January to March 2014 period to support continuation of key projects from the City of Culture's cultural programme in 2013 to prevent the loss of key benefits, partnerships and momentum after December 2013 and to invest in strategic sports facility development. • Work has been initiated to plan implementation of the Minister's strategic vision for the region. • WPFG Sports Co-ordinator has been employed by DCAL to take forward a number of legacy projects. £70k was secured in the 13/14 financial year. 	H	M	<ol style="list-style-type: none"> 1. Bid to the Executive for funding for the 2014/ 15 financial year to support ongoing and new interventions which maximise City of Culture benefits across the whole North West region in tackling poverty, social exclusion and inequality. 2. Set up a DCAL North-West Office which will be a permanent resource based in Derry and dedicated to building on the benefits of the City of Culture year. 3. Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which promote equality and tackle poverty and social exclusion 4. Set up a DCAL led Oversight Group. 5. Further proposals are being developed in partnership with a number of Sports Governing Bodies for larger scale projects which will provide a longer term impact on promoting equality and tackling poverty and social exclusion. 	M	M

for City of Culture

- Funding for WCFG legacy projects will depend on the scale of the proposals developed

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Previous Month's Risk Rating:

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6. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET

Risk Owner: CYNTHIA SMITH

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> • Failure to approve legal sign offs. • Potential for procurement challenge. • Potential for legal challenge on GAA planning decision. • Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium • Failure by IFA to ensure compliance with 2013 Governance Review requirements. <p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> • Failure to achieve the 	H	H	<ul style="list-style-type: none"> • Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery. • Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. • Continued involvement with CPD during procurement stages. • IST Appointments for GAA & IFA were made in December 2013. • Planning Approval for Casement received on 18/12/13. Extensive community consultation process has run for 22 months and extended by GAA to enable views of community to be heard. • The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group (STG) on behalf of the 	H	H	<ol style="list-style-type: none"> 1. Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines (CMcGurk- April 2014) 2. Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (CMcGurk- Ongoing) 3. DCAL are aware that GAA and contractor are committed to continuing to engage with residents. DCAL are supportive of this approach. Issues on challenges to planning are dealt with by way of conditions precedent in the Funding Agreement to GAA (CMcGurk – Ongoing) 4. Stadium Team are liaising with and co-ordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detail dialogue and risk review workshops to ensure the stadium can achieve a 38,000 spectator safe holding capacity. (CSouthern/CMcGurk – 	H-M	L-M

<p>desired benefits from the programme.</p> <ul style="list-style-type: none"> • Failure to achieve spend within agreed timeframes. • Failure to ensure fit of project costs to agreed budget. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Potential for significant cost over-runs; • Non-achievement of objectives and • Reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Allocation for 2013/14 as at January Monitoring Round = £11.8m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>		<p>department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5.</p> <ul style="list-style-type: none"> • Stage approvals are subject to acceptance of the scheme design by the STG • Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the probability of potential incidents that may affect emergency evacuation • Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department • Issues have arose in recent months around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. An independent review of IFA was carried out in November 2013. • Monthly Sponsor Board meetings (programme & project 		<p>Ongoing)</p> <ol style="list-style-type: none"> 5. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement the recommendations in January 2014. (Conditions Precedent in Funding Agreement to be monitored for compliance). (SMcCartan/CMcGurk- April 2014) 6. Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (CMcGurk-Ongoing) 7. Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & Project Board meetings (CMcGurk- Ongoing) 8. Programme benefits Realisation plan will now be developed following submission of project benefit Plans (CMcGurk – April 2014) 9. Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile (CMcGurk-Ongoing) 10. Project Budget reports provided at all design stages– review of cost reports for 	
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			<ul style="list-style-type: none"> sponsorship). Monthly Programme Board Meetings (Assurance Meetings). Programme risk management strategy in place and being implemented. Recommendations arising from project health checks/gateway review being implemented. Implementation of any NIAO & internal Audit Recommendations. New programme SRO now appointed. BRP template in place for each project. FBC consultants appointed for all projects. IRFU UB/IFA & UCGAA – BRP & FBC in place Review of spend profiles. Easements to be declared through monitoring rounds. Review of project budgets at Project Boards & Project Steering Group's. 			<p>projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (CSouthern- Ongoing)</p>		
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

7. Interruption to Business

Risk Owner: Deborah Brown

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ul style="list-style-type: none"> • Business Continuity Plan (Persons required to manage and maintain the 3 plans are named and responsibilities listed in their PPAs). • PRONI Disaster Plan • Flu Pandemic Plan • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • Disaster Plan for PRONI tested and maintained. • Flu Pandemic Plan updated and maintained. 	H	M	<p>Refresh of plans to be carried out to reflect lessons learned from recent flooding incident and recent testing.</p> <p>GSU to consider a contingency plan for the processing of drawdown requests (Gillian McAfee June 2014)</p>	M - H	L
Previous Month's Risk Rating:								

8.Failure to make official records available to the public

Risk Owner: Maggie Smith

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 15000 priority records per annum. First batch of requests being considered under new FOIA consultation process. Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records) Monthly reporting to the DCAL Board and quarterly reporting to OFMDM on FOIA 	M	M	<p>1. Annual Release lessons learnt actions to be implemented during 2014 – December 2014</p> <p>2. Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014</p> <p>Assignee: David Huddleston</p>	M	M
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

9 SUB-REGIONAL STADIA

Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u></p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p><u>CAUSES:</u> Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. • Failure by Governing Bodies to ensure effective 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each</p>	H	H	<p>Anticipated initial steps:-</p> <ol style="list-style-type: none"> 1. Assess recommendations from PEDU report; 2. Development and agreement of a programme plan; 3. Engage SMT and Appoint programme Director; 4. Ministerial engagement with NI executive colleagues as appropriate; 5. Early engagement with Sports Governing bodies; 6. Consultation process with clubs and communities; 7. Initiate development of strategies; 	H	H

<p>governance</p> <ul style="list-style-type: none"> • Failure to secure the necessary budgetresources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource Budget Allocation = £0.582m</p>		<p>stadium to developed; Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p>8. Finalise SOC development;</p> <p>9. Consider state aid notification and timing;</p> <p>10.Consider Gateway application and timing;</p> <p>11.Commence design of application process</p> <p>12.Prepare for CSR process and bid;</p> <p>13.Consider delivery structure and resources required;</p>	
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Total 2014/15 Capital Budget Allocation = £85.1m								
Previous Month's Risk Rating:								

10 Together: Building a United Community

Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u></p> <p>Failure to adequately design and deliver the DCAL signature programme under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p><u>CAUSES:</u> Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Delivery agents and partner organisations have insufficient capacity to design and deliver the programme • Failure to identify and consult with key 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p>Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones; Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan;</p>	H	H	<p>Anticipated initial steps:-</p> <ol style="list-style-type: none"> 1. Development and agreement of a programme plan; 2. Identify and secure key resources and skills; 3. Commence consultation process; 4. Design reporting and management structure; 5. Ministerial engagement with OFMdFM colleagues as appropriate; 6. Early engagement with relevant community groups and other bodies involved in the design and delivery of the programme; 7. Consultation process with clubs and communities; 	H	H

<p>stakeholders in the design of the programme.</p> <ul style="list-style-type: none"> • Failure by funded bodies and delivery organisations to ensure effective governance • Failure to secure the necessary budget, resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Good relations interventions are ineffective; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. 		<p>Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate. Build sustainable Good Relations deliverables within the design of the programme.</p> <p>A task and finish group has been established within the Department to take forward the establishment of governance and project management structures for the programme. The deliverables of the task and finish group will be to establish a Programme/sponsor Board; oversee a comprehensive and succinct consultation process; Define roles and responsibilities within the programme planning and delivery; progress the PID and business case</p> <p>Engagement has also commenced with community groups within the action zones and sporting and other funded organisations to determine and manage expectations as programme design is undertaken;</p>		<p>8. Commence design of application process;</p> <p>9. Prepare for CSR process and bid;</p> <p>10. Engage with SNI to explore synergies with Young Leaders and Active Communities programmes.</p>	
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- Reduced sustainable good relations benefits

BUDGETARY CONTEXT:

Total 2014/15 Resource Budget
Allocation = £99.216m

Total 2014/15 Capital Budget
Allocation = £90.334m

Previous Month's Risk Rating:

11 Failure to deliver Gaeltacht Quarter Plans

Risk Owner: ARTHUR SCOTT

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u> The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p><u>CAUSE:</u> Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p><u>CONSEQUENCES:</u> Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p><u>BUDGETARY CONTEXT:</u> No overall financial allocation/budget has been agreed for implementation of the GQP. The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister is champion for the implementation of the GQP and DCAL is the lead Department. The Minister has met with other Ministers and secured support in principle for the aims of the GQP. DCAL has assumed the programme management role and lead IDM role for the Raidió Fáilte project. Interim reporting dashboard for emerging projects regularly updated and reviewed by DCAL Progress meetings with Gaeltacht Quarter Board members. Risk Profile Assessment completed concludes the programme is high risk. 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements under consideration SIB, BCC and DCAL to meet to discuss and agree. Meeting arranged for 18 March 2013. Arthur Scott Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott Develop draft programme documentation for consideration and approval by Programme Steering Group by 30 April 2014. Consider organising Ministerial meeting for 30th April 2014 to review project. Damien Rea 	M	L-M

Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u> An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p><u>CAUSE:</u> The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p><u>CONSEQUENCES:</u> Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p><u>BUDGETARY CONTEXT:</u> DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure</p>	M-H	M	<ol style="list-style-type: none"> 1. WI seeking additional funding for WI pension costs and changes to how pension costs are funded is being considered by Sponsor Departments. Business case is currently with DCAL Finance for comment. 2. The CEO is developing radical efficiency proposals for consideration by NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new revenue and increased revenue flows from lock charges is also being considered. 3. If the business case is agreed by both Finance Departments prepare a paper as appropriate for a future NSMC meeting (likely to be Autumn 2014). 	M	M

Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a	



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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

~~DRAFT~~ 2014/15 APRIL UPDATE

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	L M	6 9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to capitalise on City of Culture/WPFG legacy deliver City of Culture legacy for the North West	H	M	15
6	Failure to achieve creative industries PfG target	<u>M</u>	<u>M</u>	<u>9</u>
7 6	Failure to deliver Regional Stadia on time and to budget	H	H	25
8 7	Interruption to Business	H M	M	15 9
9 8	Failure to make official records available to the public	M	M	9
10 9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25

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<u>110</u>	Inability to deliver TBUC	H	H	25
<u>121</u>	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
<u>132</u>	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	Eg- 1 , 4,5,6	Open (open)
Propriety, Regularity, Finance and Accountability	Eg- 2 , 4,5,6	Open (open)
Reputation and External Risk	4,5,6,11	Open (open)
Information Management*		Averse (averse)
Compliance – Legal/Environmental		Averse (averse)

*Currently under review

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	Date of Completion
Last reviewed by Board/Director	25/3/14 28/1/14
Next review by Board/Director	25/3/14 8/5/2014
Last reviewed by Audit Committee (if applicable)	20/3/14

1. INADEQUATE GOVERNANCE CONTROLS
 Risk Owner: DEBORAH BROWN

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £99.216m 106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs ALB risk assessments performed updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. Greater focus is now being 	M	M	<ol style="list-style-type: none"> Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide (June 2014) A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment. An amended version of the QAS was embedded to be embedded in Q4 2014/15. This better reflects the roles of the Board/Chair in discharging their responsibilities. From 2014/15 the Assurance Process will be completed on a Bi Annual Basis (-September 2014 and March 2015) Agree and implement action points from the 'Review of Governance' 	M	L-M

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			<p>placed on monitoring & reporting against business plan targets.</p> <ul style="list-style-type: none"> Accountability meetings are regularly held, dependent on risk assessments. <u>Annual & In Year Assurance Statements prepared by Department and ALBs</u> A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. Review of Compliance against 2013 Code of Corporate Governance performed in 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice <u>EQA of ALB Internal Audit Functions performed</u> <u>Rolling programme of attendance by ALBs at Departmental Board meetings</u> 			<p>project (Assignee: D Brown Date: Various)</p> <p><u>5. Improvements will be implemented against the 2013 Code of Corporate Governance</u></p>		
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

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2. Insufficient Budget results in failure to deliver key Departmental Priorities
 Risk Owner: ALL

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Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities</p> <p>CAUSE: <u>15/16 Budget exercise results in cuts to Department's allocations and Additional funding not secured for new work streams including City of Culture Legacy and TBUC Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring. Risk of cuts in 2014/15. 15/16 Budget exercise results in cuts to Department's allocations</u></p> <p>CONSEQUENCES: Failure to deliver key priorities including PETPSE, City of Culture Legacy and TBUC</p> <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin</p>	H	H	<ul style="list-style-type: none"> • Zero Based Budget has provided transparency on the allocation of funding against priorities, programmes and projects. This will help inform decisions on 15/16 budget bid and allocations. <u>A planning exercise is in progress which looks at the consequences of cuts of 2-6% in resource budgets ALBs have all been alerted to the 15/16 one year budget exercise in 15/16.-</u> • 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding secured through monitoring rounds. Minister has <u>sd</u> also been alerted to pressures in 14/15. • Evidence will continue to be collected on our delivery against PETPSE to support future bids to DFP. 	H	H	<ol style="list-style-type: none"> 1. Make bids in 14/15 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Michael O'Dowd/ 5th June 2014) 4-2. <u>Engage with DFP to develop alternative budget management plans should June monitoring exercise not take place. May need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval. (Michael O'Dowd/ date TBC)</u> 2-3. Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC) 3-4. Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be <u>agreed by sought from the</u> Executive in 14/15, this will also include the associated staffing costs 4-5. Secure DFP approval for a new company to deliver City of Culture Legacy 		

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Budget Allocation = £99.216m <u>106.304m</u> Total 2014/15 Capital Budget Allocation = £90.334m						<u>Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.</u>		
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Previous Month's Risk Rating:	N/a	N/a		N/a	N/a		N/a	N/a
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3. Insufficiently Skilled staff / Insufficient number of skilled staff

Risk Owner: Deborah Brown

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Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning <u>preventing the Department from delivering & planning to meet current and future needs re: talented people.</u> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business 		M	<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. TDU liaise with managers of New transferred staff on need for training to deliver new business objectives. 	M	MM	<p><u>Training Strategy. Need for further action</u> is being considered to ensure individuals in post have the required skills to deliver business objectives within their areas (Hilary Harbinson December <u>September 2014</u>)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring <u>See action on risk 2. Outcome will impact on this risk.</u> (<u>Business areas and SMT</u>)</p>	LM	LM

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<p>objectives</p> <ul style="list-style-type: none"> • reputational damage • Disengaged staff. <p>BUDGETARY CONTEXT:</p>			<p>twice per year and a training plan prepared set out the training needs identified to build staff skills and knowledge.</p> <ul style="list-style-type: none"> • Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. • Line managers confirm through the Performance management system that staff are performing effectively • Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 					
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Previous	Month's Risk Rating:	A N/a	N N/a	-----	N/a	N/a	-----	N/a	N/a
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4. Failure to Deliver PETPSE								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by Department and ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process 	H	H	<ul style="list-style-type: none"> The importance of the PETPSE Agenda is underlined in the Departmental Mission Statement. The 2013/14 DCAL Business Plan clearly articulates that the PETPSE Agenda is to be placed first and foremost when framing policy and allocating resources. The 2013/14 Business Plans of each of DCAL's Arms Length Bodies was carefully assessed on its ability to deliver the PETPSE Agenda before it was approved. Over summer 2013 a zero based budgeting exercise took place. ALBs were asked to identify all spend as either discretionary or non discretionary and to prioritise discretionary spend on the PETPSE Agenda. A PETPSE Board <u>made-up-of-the senior management team</u> has been set up with responsibility to ensure delivery on the PETPSE Agenda. Regular meetings are held. An interim Strategic Delivery 	M	M	<p>2. An interim Strategic Delivery Division (SDD) has been established with responsibility for coordinating work on the PETPSE Agenda (Assignee: S.McGowan);</p> <p>1. PETPSE Agenda clearly articulated in the 2014/15 Business Plan (CSU <u>and SDD, April 2014</u>), to be finalisedXXX 2014;</p> <p>3-2. <u>Specific PETPSE targets incorporated into 2014/15 Business Plan (SDD, March 2015)</u></p> <p>4-3. <u>DCAL branches and ALBs</u> will be supported to build on the PETPSE Agenda in their 2014/15 Business Plans (Sponsor branches with support from CSU and SDD, XXX-May 2014);</p> <p>5. <u>PETPSE Agenda focused under four themes: Education; The Economy; Promoting Health and Wellbeing; and Social Inclusion (All, 31 March 2015);</u></p> <p>6-DCAL to enhance internal and external communication and engagement initiatives to reinforce the PETPSE agenda (<u>Aine</u></p>	L-M	L-M

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			<p>Division (SDD) has been established with responsibility for coordinating work on the PETPSE Agenda</p> <ul style="list-style-type: none"> The PETPSE Board has produced a template for reporting <u>delivery towards</u> the PETPSE Agenda <u>to the Minister</u>. <u>This Template will be regularly updated.</u> Reporting on progress on the PETPSE Agenda is an integral part of ALB Accountability meetings. <u>PETPSE Champions appointed and supported to place this Agenda at the forefront of all work done by their branches (DCAL branches and SDD)</u> Roadshows hosted across N/W region. Website 're-skinned' to focus on PETPSE case studies Social Clauses event delivered along with associated report. 		<p><u>Gaughran and SDD and Comms team, XXXX 2014 (ongoing):</u></p> <p>7.4. <u>PETPSE Champions appointed and supported to place this Agenda at the forefront of all work done by their branches (DCAL branches and SDD)</u></p> <p>8.5. PETPSE Monitoring Working Group established to share research and statistics across the Department (Research & Statistics branch and SDD).</p> <p>9.6. DCAL to publish a pamphlet on PETPSE Pamphlet to be distributed to all staff. (Paul Gamble, 1 March/April 2014);</p> <p>10.7. Further DCAL to host Roadshows across the region to enhance engagement with social partners/and communities (Paul Gamble, Spring/October/November/Autumn-2014)</p> <p>11. DCAL website to be redesigned to highlight the PETPSE Agenda (Aine Gaughran and SDD, XXXX March 2014).</p> <p>12.8. DCAL Staff Conference to be themed around the PETPSE Agenda to improve internal communication at all levels (Staff Engagement Forum, May 2014).</p> <p>13. DCAL Learning Forum refocused on PETPSE (Gerry Kelly/SDD, March 2015).</p>		<p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Indent: Left: 0.15 pt, Hanging: 14.15 pt, Numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 18 pt + Indent at: 36 pt</p> <p>Formatted: Font: 11 pt</p> <p>Formatted: Indent: Left: 4.05 pt, Hanging: 14.2 pt, Bulleted + Level: 1 + Aligned at: 18 pt + Indent at: 36 pt</p> <p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Normal, Indent: Left: 0 pt, First line: 0 pt</p> <p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Normal, No bullets or numbering</p> <p>Formatted: Indent: Left: 18.25 pt, No bullets or numbering</p>
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						14.9. Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West in 2014 (SDD, 34 December 2014 ongoing).		
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

5. ~~Failure to deliver City of Culture legacy for the North West-Additional North West Creative Cultural Support and Coordination~~ ~~Failure to capitalise on City of Culture/ WPFG legacy~~

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to <u>secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland. capitalise on City of Culture/ WPFG legacy</u></p> <p>CAUSE: Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p><u>Failure to build on the success of the World Police and Fire Games to promote equality and tackle poverty and social exclusion.</u></p> <p>CONSEQUENCES:</p>	H	H	<ul style="list-style-type: none"> Minister recently announced her strategic vision for City of Culture legacy in the North West region in <u>November 2013.</u> Up to £2m has been secured for the January to March 2014 period to support continuation of key projects from the City of Culture's cultural programme in 2013 to prevent the loss of key benefits, partnerships and momentum after December 2013 and to invest in strategic sports facility development. Work has been initiated to plan implementation of the Minister's strategic vision for the region. <u>A draft business case has been submitted to DFP.</u> <u>A DCAL North West Office has been established in Derry. It is</u> 	H	M	<ol style="list-style-type: none"> <u>Bid to the Executive for funding for the 2014/ 15 financial year to support the to support ongoing and new interventions which maximise City of Culture benefits across the whole North West region in tackling poverty, social exclusion and inequality. (Joanna McConway – April/May 2014)</u> <u>Set up a more high profile DCAL office/presence within City. (Joanna McConway, Aug/Sept 2014)</u> <u>Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which promote equality and tackle poverty and social exclusion. (Joanna McConway – subject to confirmation of additional budget. Minister</u> 	M	M

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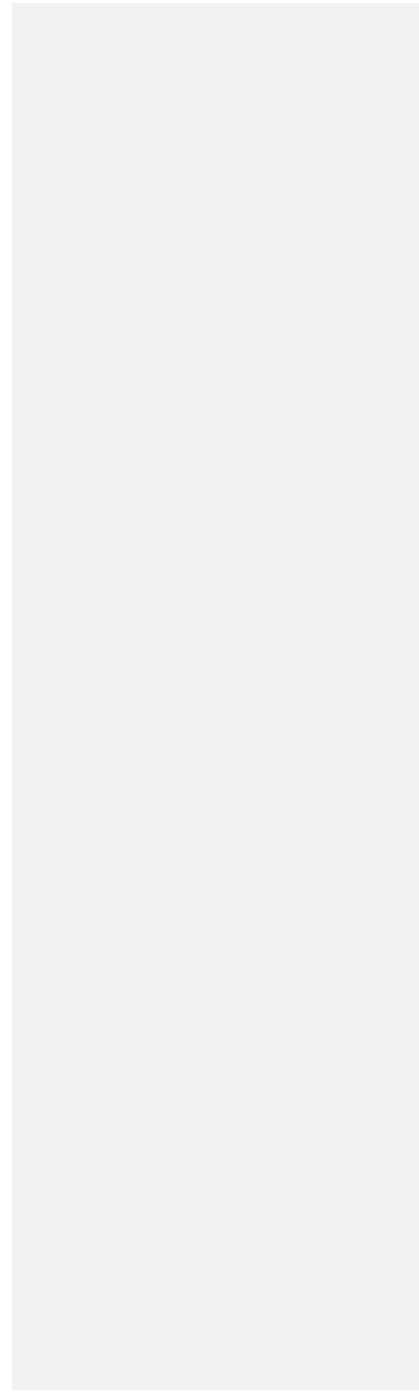
1. Failure to deliver key Ministerial Commitments	2. Reputational Damage			temporarily based in Orchard House.			has announced new company – to be called Creative North West - will be established in Summer 2014)		
BUDGETARY CONTEXT:									
<ul style="list-style-type: none"> • Bid to Executive in progress required for City of Culture • Funding for WPFG legacy projects will depend on the scale of the proposals developed • WPFG Sports Co-ordinator has been employed by DCAL to take forward a number of legacy projects. £70k was secured in the 13/14 financial year. 									
Previous	Month's Risk Rating:	N/a	N/a		N/a	N/a		N/a	N/a

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6. Failure to achieve creative industries PfG target									
Risk Owner: Stephen McGowan									
Risk & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
	Imp	Like		Imp	Like		Imp	Like	
<p>RISK: Failure to achieve PfG departmental target of supporting 200 projects through the Creative Industries Innovation Fund by March 2015.</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Insufficient marketing, targeting and engagement with industry Lack of strategic support to the Arts Council <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to meet PfG target Reputational Damage Department's leadership role for sector suffers Threat to possibility of future funding <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Executive funding in place to deliver PfG target but no funding post March 2015 	H-M	H	<ul style="list-style-type: none"> Arts Council delivers the Creative Industries Innovation Fund (CIIF) on behalf of DCAL. Dept provides strategic oversight and support to Arts Council on Fund's objectives and delivery. Milestones established (100 projects by March 2013; 150 by March 2014; 200 by March 2015) A Management Consortium is chaired by the CEO of ACNI and includes DCAL and representatives from government and sectoral bodies. Final decision making authority lies with ACNI and DCAL. Pre-application workshops run to increase awareness of funding opportunities and the quality of applications. 150 projects supported by March 2014. 	M	M	<ol style="list-style-type: none"> Assessment of awards to be completed by Arts Council and recommended projects ratified by CIIF consortium (Arts Council and Gerard Murray, June 2014) Based on budget availability, DCAL/ACNI to direct additional awards to sectoral bodies for strategic projects linked to the Innovation Strategy and CAL Committee inquiry into the creative industries (Gerard Murray, June 2014) Monitoring of project progress and uptake of funding. Reallocation of funding to new projects as required. (Arts Council and Gerard Murray, March 2015) Policy advocacy to reinforce DCAL leadership role for the sector and support future funding bids (Gerard Murray, March 2015) 	L	L	
Previous Month's Risk Rating:	N/a	N/a		N/a	N/a		N/a	N/a	

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76. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET

Risk Owner: CYNTHIA SMITH

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> Failure to approve legal sign offs. Potential for procurement challenge. Potential for legal challenge on GAA planning decision. JR lodged with courts by residents association (MORA) around GAA planning decision (14/4/14) Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium Failure by IFA to ensure 	H	H	<ul style="list-style-type: none"> Potential for notification of State Aid issue to EU Commission to impact negatively on programme delivery. <ul style="list-style-type: none"> Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. Continued involvement with CPD during procurement stages. IST Appointments for GAA & IFA were made in December 2013. Planning Approval for Casement received on 18/12/13. <u>UCGAA are liaising with MORA around JR. Negotiations are ongoing to get JR lifted. Extensive community consultation process has run for 22 months and extended by GAA to enable views of community to be heard.</u> 	H	H	<p>1. Stadium Team liaising with EU Commission to ensure decision is made speedily. Parallel actions in place to mitigate potential for impact on programme timelines (C_McGurk- April 2014)</p> <p>2.1. Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (C_McGurk- Ongoing)</p> <p>3.2. DCAL are aware that GAA and contractor are committed to continuing to engage with residents. DCAL are supportive of this approach. <u>Regular updates to be provided by UCGAA in relation to negotiations with MORA.</u> Issues on challenges to planning are dealt with by way of conditions precedent in the Funding Agreement to GAA. (C_McGurk – Ongoing)</p> <p>3. Stadium Team are liaising with and co-ordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other</p>	H-M	L-M

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<p>compliance with 2013 Governance Review requirements.</p> <p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> • Failure to achieve the desired benefits from the programme. • Failure to achieve spend within agreed timeframes. • Failure to ensure fit of project costs to agreed budget. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Potential for significant cost over-runs; • Non-achievement of objectives and • Reputational damage to the Department. <p>BUDGETARY CONTEXT: Allocation for 2013/14 as at January Monitoring Round = £11.8m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>		<ul style="list-style-type: none"> • The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group (STG) on behalf of the department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5. <u>Further ongoing work underway to establish measures to address emergency evacuation in the event of an external incident that affects normal exiting.</u> • Stage approvals are subject to acceptance of the scheme design by the STG • Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the probability of potential incidents that may affect emergency evacuation • Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department • Issues have arose <u>arisen</u> in recent months around IFA 		<p>stakeholders within a process that will include further detail dialogue and risk review workshops to ensure the stadium can achieve a 38,000 spectator safe holding capacity. (C_Southern/C_McGurk – Ongoing)</p> <p>4. <u>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures. (C.Southern- Ongoing)</u></p> <p>5. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement <u>all</u> the recommendations <u>in January by June</u> 2014. (Conditions Precedent in Funding Agreement to be monitored for compliance). (S_McCartan/C_McGurk- <u>April June</u> 2014)</p> <p>5-6. <u>Interim support from SIB Advisor obtained for one day a week. SIB advisor has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</u></p> <p>6-7. <u>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C_McGurk-Ongoing)</u></p>	
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			<p>governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. An independent review of IFA was carried out in November 2013.</p> <ul style="list-style-type: none"> • Monthly Sponsor Board meetings (programme & project sponsorship). • Monthly Programme Board Meetings (Assurance Meetings). • Programme risk management strategy in place and being implemented. • Recommendations arising from project health checks/gateway review being implemented. • Implementation of any NIAO & internal Audit Recommendations. • New programme SRO now appointed. • BRP template in place for each project. FBC consultants appointed for all projects. • IRFU UB/IFA & UCGAA – BRP & FBC in place • Review of spend profiles. Easements to be declared through monitoring rounds. • Review of project budgets at 			<p>7-8. Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & Project Board meetings (C_McGurk- Ongoing)</p> <p>8-9. Programme benefits Realisation plan will now be developed following submission of project benefit Plans (C McGurk – April-May 2014)</p> <p>9-10. Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile (C_McGurk-Ongoing)</p> <p>10-11. Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (C_Southern- Ongoing)</p>		
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			Project Boards & Project Steering Group's.				
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a

87. Interruption to Business									
Risk Owner: Deborah Brown									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, <u>infrastructural failures</u> or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>		H	H	<ul style="list-style-type: none"> Business Continuity Plan (Persons required to manage and maintain the 3 plans are named and responsibilities listed in their PPAs). PRONI Disaster Plan Flu Pandemic Plan Business Continuity Arrangements tested and updated. Roles and responsibilities defined. Disaster Plan for PRONI tested and maintained. Flu Pandemic Plan updated and maintained. 	MH	M	<p>Refresh of plans to be carried out to reflect lessons learned from recent flooding incident and recent testing.</p> <p><u>Finance</u> <u>GSU Finance</u> to consider a contingency plan for the processing of drawdown requests (<u>Gillian McAfee-Michael O'Dowd</u> June 2014)</p>	M -H	ML
Previous Month's Risk Rating:		N/a	N/a		N/a	N/a		N/a	N/a

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98. Failure to make official records available to the public

Risk Owner: Maggie Smith

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 45000 <u>25000</u> priority records per annum. First batch of requests being considered under Inquest and court files being released under new FOIA consultation process. <u>Further files issued for consultation</u> Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). <u>Launch scheduled for 29 May</u> 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014 <u>Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA – 31 May 2014</u> <u>Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 January 2015</u> <u>Publish in the PRONI catalogue, 5000 internment files – 31 March 2015</u> <p>Assignee: David Huddleston</p>	M	M

			<p>•Monthly reporting to the DCAL Board and quarterly reporting to OFMDM on FOIA</p> <p><u>Access to internment file being progressed – further information requested from Responsible Authority</u></p>					
Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a

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109 SUB-REGIONAL STADIA

Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u></p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p><u>CAUSES:</u> Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. • Failure by Governing Bodies to ensure effective governance 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed;</p>	H	H	<p>Anticipated initial steps:-</p> <ol style="list-style-type: none"> 1. Assess recommendations from PEDU report; 2. Development and agreement of a programme plan; 3. Engage SMT and Appoint programme Director; 4. Ministerial engagement with NI executive colleagues as appropriate; 5. Early engagement with Sports Governing bodies; 6. Consultation process with clubs and communities; 7. Initiate development of strategies; 8. Finalise SOC development; 	H	H

<ul style="list-style-type: none"> • Failure to secure the necessary budget resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource Budget Allocation = £0.582m</p>		<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p>9. Consider state aid notification and timing;</p> <p>10. Consider Gateway application and timing;</p> <p>11. Commence design of application process</p> <p>12. Prepare for CSR process and bid;</p> <p>13. Consider delivery structure and resources required;</p>	
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Total 2014/15 Capital Budget
Allocation = £85.1m

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Previous	Month's Risk Rating:	A N	N/a	N/a	N/a	N/a	N/a	N/a	N/a
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119 Together: Building a United Community

Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to adequately design and deliver the DCAL signature programme under the Executive’s strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Delivery agents and partner organisations have insufficient capacity to design and deliver the programme • Failure to identify and consult with key 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p>Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones; Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan;</p>	H	H	<p>Anticipated initial steps:-</p> <ol style="list-style-type: none"> 1. Development and agreement of a programme plan; 2. Identify and secure key resources and skills; 3. Commence consultation process; 4. Design reporting and management structure; 5. Ministerial engagement with OFMdFM colleagues as appropriate; 6. Early engagement with relevant community groups and other bodies involved in the design and delivery of the programme; 7. Consultation process with clubs and communities; 	H	H

<p>stakeholders in the design of the programme.</p> <ul style="list-style-type: none"> • Failure by funded bodies and delivery organisations to ensure effective governance • Failure to secure the necessary budget, resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Good relations interventions are ineffective; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. 		<p>Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate. Build sustainable Good Relations deliverables within the design of the programme.</p> <p>A task and finish group has been established within the Department to take forward the establishment of governance and project management structures for the programme Define roles and responsibilities within the programme planning and delivery; progress the PID and business case</p> <p>The deliverables of the task and finish group will be to establish a Programme/sponsor Board; oversee a comprehensive and succinct consultation process; Define roles and responsibilities within the programme planning and delivery; progress the PID and business case</p> <p>Engagement has also commenced with community groups within the action zones and sporting and other funded organisations to determine and manage expectations as programme design is undertaken;</p>		<p>8. Commence design of application process;</p> <p>9. Prepare for CSR process and bid;</p> <p>10. Engage with SNI to explore synergies with Young Leaders and Active Communities programmes.</p> <p>40.</p> <p><u>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan.</u></p> <p><u>Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.</u></p>	
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- Reduced sustainable good relations benefits

BUDGETARY CONTEXT:

Total 2014/15 Resource Budget
Allocation = £99.216m

Total 2014/15 Capital Budget
Allocation = £90.334m

Previous	Month's Risk Rating:	N/a	N/a	N/a	N/a	N/a	N/a
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124 Failure to deliver Gaeltacht Quarter Plans

Risk Owner: ARTHUR SCOTT

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u> The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p><u>CAUSE:</u> Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p><u>CONSEQUENCES:</u> Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p><u>BUDGETARY CONTEXT:</u> No overall financial allocation/budget</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister is champion for the implementation of the GQP and DCAL is the lead Department. The Minister has met with other Ministers and secured support in principle for the aims of the GQP. DCAL has assumed the programme management role and lead IDM role for the Raidió Fáilte project. Interim reporting dashboard for emerging projects regularly updated and reviewed by DCAL Progress meetings with Gaeltacht 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements <u>currently</u> under consideration SIB, BCC and DCAL to meet to discussing with Forbairt Feirste and agree. Meeting arranged for 18 March 2013. Arthur Scott Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott Work ongoing to Ddevelop draft programme documentation for consideration and approval by Programme Steering Group by 30 April 2014. 3. <u>Consider organising Ministerial meeting for 30th April 2014 to review project.</u> Damien Rea 	M	L-M

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has been agreed for implementation of the GQP. The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.

Quarter Board members.

- Risk Profile Assessment completed concludes the programme is high risk.

Previous Month's Risk Rating:	n/a	n/a	n/a	n/a	n/a	n/a	n/a
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Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure</p>	M-H	M	<ol style="list-style-type: none"> 1. WI seeking additional funding for WI pension costs and changes to how pension costs are funded is being considered by Sponsor Departments. Business case is currently with DCAL Finance for comment. 2. The CEO is developing radical efficiency proposals for consideration by NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new revenue and increased revenue flows from lock charges is also being considered. 3. If the business case is agreed by both Finance Departments prepare a paper as appropriate for a future NSMC meeting (likely to be Autumn 2014). 	M	M

Previous Month's Risk Rating:	n/a	n/a		n/a	n/a		n/a	n/a



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文化藝術及康樂局

DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 MAY 28th UPDATE

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to achieve creative industries PfG target	M	M	9
7	Failure to deliver Regional Stadia on time and to budget	H	H	25
8	Interruption to Business	M	M	9
9	Failure to make official records available to the public	M	M	9
10	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25

11	Inability to deliver TBUC	H	H	25
12	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
13	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management*		Averse (averse)
Compliance – Legal/Environmental		Averse (averse)

*Currently under review

Version Control:

	Date of Completion
Last reviewed by Board/Director	08/5/14
Next review by Board/Director	28/5/14
Last reviewed by Audit Committee (if applicable)	27/5/14

1. INADEQUATE GOVERNANCE CONTROLS

Risk Owner: DEBORAH BROWN

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • financial loss, • non-achievement of objectives and • reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> • Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 • Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice • The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework • Departmental Risks and RMF reviewed in 2014 for the 14/15 Year • Management Statements and Financial Memoranda between the Department & ALBs • <u>N/S Sponsorship Manual in place</u> • ALB risk assessments updated on a regular basis. • ALB boards & ARACs managed in accordance with best practice. 	M	M	<ol style="list-style-type: none"> 1. Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide (June 2014) 2. A first draft of the N/S Sponsorship Manual has been completed but is subject to further amendment. A revised FM/MSFM for N/S Bodies is currently in progress. (Autumn 2014) 3. An amended version of the QAS was embedded in Q4 2013/14. This better reflects the roles of the Board/Chair in discharging their responsibilities. From 2014/15 the Assurance Process will be completed on a Bi-Annual Basis (September 2014 and March 2015) 3. Agree and implement action points 	M	L-M

			<ul style="list-style-type: none"> • Greater focus is now being placed on monitoring & reporting against business plan targets. • Accountability meetings are regularly held, dependent on risk assessments. • Annual & In Year Assurance Statements prepared by Department and ALBs • A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. • EQA of ALB Internal Audit Functions performed • Rolling programme of attendance by ALBs at Departmental Board meetings 			<p>from the 'Review of Governance' project (Assignee: D Brown)</p> <p>▲ Dates: <u>Risk Assessments June 2013</u> <u>Drawdowns June 2013</u> 4. <u>Various</u>)</p> <p>5.4. Improvements will be implemented against the 2013 Code of Corporate Governance (<u>DB Oct 2014</u>)</p>		
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Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M
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2. Insufficient Budget results in failure to deliver key Departmental Priorities

Risk Owner: ALL

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities</p> <p>CAUSE: Additional funding not secured for new work streams including City of Culture Legacy and TBUC Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring. Risk of cuts in 2014/15. 15/16 Budget exercise results in cuts to Department's allocations</p> <p>CONSEQUENCES: Failure to deliver key priorities including PETPSE, City of Culture Legacy and TBUC</p> <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p>	H	H	<ul style="list-style-type: none"> • Zero Based Budget has provided transparency on the allocation of funding against priorities, programmes and projects. This will help inform decisions on 15/16 budget bid and allocations. A planning exercise is in progress which looks at the consequences of cuts of 2-6% in resource budgets in 15/16. • 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding secured through monitoring rounds. Minister has also been alerted to pressures in 14/15. • Evidence will continue to be collected on our delivery against PETPSE to support future bids to DFP. 	H	H	<ol style="list-style-type: none"> 1. Make bids in 14/15 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Michael O'Dowd/ 5th June 2014) 2. Engage with DFP to develop alternative budget management plans should June monitoring exercise not take place. May need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval. (Michael O'Dowd/ date TBC) 3. Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC) 4. Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be sought from the Executive in 14/15, this will also include the associated staffing costs <u>(July 2014)</u> 5. Secure DFP approval for a new company to deliver City of Culture Legacy <u>(June</u> 	H	M-H

Total 2014/15 Capital Budget Allocation = £90.334m						<u>2014)</u> Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.		
Previous Month's Risk Rating:	H	H		H	H		H	M-H

3. Insufficiently Skilled staff / Insufficient number of skilled staff

Risk Owner: Deborah Brown

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business 	H	MH/M	<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan prepared set out the training needs 	M	M	<p>Need for further action is being considered to ensure individuals in post have the required skills to deliver business objectives within their areas (Hilary Harbinson September 2014)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring See action on risk 2. Outcome will impact on this risk. (Business areas and SMT, <u>June 2014</u>)</p>	M	M

objectives <ul style="list-style-type: none"> • reputational damage • Disengaged staff. BUDGETARY CONTEXT:			identified to build staff skills and knowledge. <ul style="list-style-type: none"> • Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. • Line managers confirm through the Performance management system that staff are performing effectively • Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 					
Previous Month's Risk Rating:	H	MH/ M		M	M		M	M

4. Failure to Deliver PETPSE

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by Department and ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process 	H	H	<ul style="list-style-type: none"> The importance of the PETPSE Agenda is underlined in the Departmental Mission Statement. The 2013/14 DCAL Business Plan clearly articulates that the PETPSE Agenda is to be placed first and foremost when framing policy and allocating resources. The 2013/14 Business Plans of each of DCAL's Arms Length Bodies was carefully assessed on its ability to deliver the PETPSE Agenda before it was approved. Over summer 2013 a zero based budgeting exercise took place. ALBs were asked to identify all spend as either discretionary or non discretionary and to prioritise discretionary spend on the PETPSE Agenda. A PETPSE Board has been set up with responsibility to ensure delivery on the PETPSE Agenda. Regular meetings are held. An interim Strategic Delivery Division (SDD) has been established with responsibility for 	M	M	<ol style="list-style-type: none"> PETPSE Agenda clearly articulated in the 2014/15 Business Plan (CSU and SDD, April 2014); Specific PETPSE targets incorporated into 2014/15 Business Plan (SDD. March 2015) DCAL branches and ALBs will be supported to build on the PETPSE Agenda in their 2014/15 Business Plans (Sponsor branches with support from CSU and SDD, May 2014); DCAL to enhance internal and external communication and engagement initiatives to reinforce the PETPSE agenda (SDD and Comms team, Ongoing); PETPSE Monitoring Working Group established to share research and statistics across the Department (Research & Statistics branch and SDD). PETPSE Pamphlet to be distributed to all 	L-M	L-M

			coordinating work on the PETPSE Agenda <ul style="list-style-type: none"> • The PETPSE Board has produced a template for reporting on the PETPSE Agenda. • Reporting on progress on the PETPSE Agenda is an integral part of ALB Accountability meetings. • PETPSE Champions appointed and supported to place this Agenda at the forefront of all work done by their branches (DCAL branches and SDD) • Roadshows hosted across N/W region. • Website 're-skinned' to focus on PETPSE case studies • Social Clauses event delivered along with associated report. • <u>Staff conference delivered on PETPSE Theme.</u> • <u>PETPSE pamphlet distributed to all staff.</u> • <u>PETPSE Monitoring Working Group established to share research and statistics across the Department</u> 			staff. (Paul Gamble, April 2014); 7.5. Further Roadshows to enhance engagement with social partners/ communities (Paul Gamble, October/ November 2014) 6. <u>Follow up on discussion groups from staff conference (June 2014).</u> 8. <u>DCAL Staff Conference to be themed around the PETPSE Agenda to improve internal communication at all levels (Staff Engagement Forum, May 2014).</u> 9.7. Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West in 2014 (SDD, ongoing).		
Previous Month's Risk Rating:	H	H		M	M		L-M	L-M

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5. Failure to deliver City of Culture legacy for the North West

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES: 1. <u>Failure to deliver key Ministerial Commitments</u> 2. <u>Reputational Damage</u></p> <p>BUDGETARY CONTEXT: <u>Bid to Executive in progress</u></p>	H	H	<ul style="list-style-type: none"> Minister announced her strategic vision for City of Culture legacy in the North West region in November 2013. Work has been initiated to plan implementation of the Minister's strategic vision for the region. A draft business case has been submitted to DFP. A DCAL North West Office has been established in Derry. It is temporarily based in Orchard House. 	H	M	<ol style="list-style-type: none"> Bid to the Executive for funding for the 2014/ 15 financial year to support the North West in tackling poverty, social exclusion and inequality. (Joanna McConway – April May 2014) Set up a more high profile DCAL office/presence within City.(Joanna McConway, Aug/Sept 2014) Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which promote equality and tackle poverty and social exclusion. (Joanna McConway – subject to confirmation of additional budget. Minister has announced new company – to be called Creative North West - will be established in Summer 2014) Set up a DCAL led Oversight Group. (Joanna McConway. June 2014) 	M	M
Previous Month's Risk Rating:	H	H		H	M		M	M

6. Failure to achieve creative industries PfG target

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to achieve PfG departmental target of supporting 200 projects through the Creative Industries Innovation Fund by March 2015.</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Insufficient marketing, targeting and engagement with industry Lack of strategic support to the Arts Council <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to meet PfG target Reputational Damage Department's leadership role for sector suffers Threat to possibility of future funding <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Executive funding in place to deliver PfG target but no funding post March 2015 	H-M	H	<ul style="list-style-type: none"> Arts Council delivers the Creative Industries Innovation Fund (CIIF) on behalf of DCAL. Dept provides strategic oversight and support to Arts Council on Fund's objectives and delivery. Milestones established (100 projects by March 2013; 150 by March 2014; 200 by March 2015) A Management Consortium is chaired by the CEO of ACNI and includes DCAL and representatives from government and sectoral bodies. Final decision making authority lies with ACNI and DCAL. Pre-application workshops run to increase awareness of funding opportunities and the quality of applications. 150 projects supported by March 2014. 	M	M	<ol style="list-style-type: none"> Assessment of awards to be completed by Arts Council and recommended projects ratified by CIIF consortium (Arts Council and Gerard Murray, June 2014) Based on budget availability, DCAL/ACNI to direct additional awards to sectoral bodies for strategic projects linked to the Innovation Strategy and CAL Committee inquiry into the creative industries (Gerard Murray, June 2014) Monitoring of project progress and uptake of funding. Reallocation of funding to new projects as required. (Arts Council and Gerard Murray, March 2015) Policy advocacy to reinforce DCAL leadership role for the sector and support future funding bids (Gerard Murray, March 2015) 	L	L

Previous	Month's Risk Rating:	<u>HM</u>	<u>H</u>		<u>M</u>	<u>M</u>		<u>L</u>	<u>L</u>
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7. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET

Risk Owner: CYNTHIA SMITH

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> Failure to approve legal sign offs <u>of conditions precedent and deed of amendment (Casement)</u>. Potential for procurement challenge. <u>(Ravenhill, Casement and Windsor)</u> JR lodged with courts by residents association (MORA) around GAA planning decision (14/4/14) Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium Failure by IFA to ensure 	H	H	<ul style="list-style-type: none"> Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. <u>Regular meetings between DCAL, GAA and solicitors to be scheduled</u> Continued involvement with CPD during procurement stages. IST Appointments for GAA & IFA were made in December 2013. Planning Approval for Casement received on 18/12/13. UCGAA are liaising with MORA around JR. Negotiations are ongoing to get JR lifted. The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group (STG) on behalf of the 	H	H	<ol style="list-style-type: none"> Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (C McGurk- Ongoing) <u>Weekly meetings scheduled to close issues out. (Casement) (C.McGurk May 2014)</u> DCAL are aware that GAA and contractor are committed to continuing to engage with residents. DCAL are supportive of this approach. Regular updates to be provided by UCGAA in relation to negotiations with MORA. Issues on challenges to planning are dealt with by way of conditions precedent in the Funding Agreement to GAA.(C McGurk – Ongoing) Stadium Team are liaising with and co-ordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detail dialogue and risk 	H-M	L-M

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<p>compliance with 2013 Governance Review requirements.</p> <p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> • Failure to achieve the desired benefits from the programme. • Failure to achieve spend within agreed timeframes. • Failure to ensure fit of project costs to agreed budget. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Potential for significant cost over-runs; • Non-achievement of objectives and • Reputational damage to the Department. <p>BUDGETARY CONTEXT: Allocation for 2013/14 as at January Monitoring Round = £11.8m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>		<p>department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5. Further ongoing work underway to establish measures to address emergency evacuation in the event of an external incident that affects normal exiting. (Casement)</p> <ul style="list-style-type: none"> • Stage approvals are subject to acceptance of the scheme design by the STG (Casement/Windsor) • Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the probability of potential incidents that may affect emergency evacuation (Casement) <p>→ Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement)</p> <p>→</p> <ul style="list-style-type: none"> • Issues have arisen in recent months around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to 		<p>review workshops to ensure the Casement Park stadium can achieve a 38,000 spectator safe holding capacity. (C Southern/C McGurk – Ongoing)</p> <p>4-5. Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures. (C. Southern- Ongoing)</p> <p>5-6. The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement all the recommendations by June 2014. (Conditions Precedent in Funding Agreement to be monitored for compliance). (S McCartan/C McGurk- June 2014)</p> <p>6-7. Interim support from SIB Advisor obtained for one-five days a weekmonth. SIB advisor has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</p> <p>7-8. Schedule of Sponsor Board and Programme Board meetings in place to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (C McGurk-Ongoing)</p> <p>8-9. Programme Plan & Project Activity</p>		<p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: List Paragraph, Indent: Left: 4.05 pt, Hanging: 14.2 pt, Bulleted + Level: 1 + Aligned at: 18 pt + Indent at: 36 pt</p> <p>Formatted: Indent: Left: 0 pt, First line: 0 pt</p>
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			<p>senior positions within the IFA. An independent review of IFA was carried out in November 2013.</p> <ul style="list-style-type: none"> • Monthly Sponsor Board meetings (programme & project sponsorship). • Monthly Programme Board Meetings (Assurance Meetings). • Programme risk management strategy in place and being implemented. • Recommendations arising from project health checks/gateway review being implemented. • Implementation of any NIAO & internal Audit Recommendations. • New programme SRO now appointed. • BRP template in place for each project. FBC consultants appointed for all projects. • IRFU UB/IFA & UCGAA – BRP & FBC in place • Review of spend profiles. Easements to be declared through monitoring rounds. • Review of project budgets at Project Boards & Project Steering Group's. 			<p>Schedules in place. Progress monitored at all programme Board & Project Board meetings (C McGurk- Ongoing)</p> <p>9-10. Programme benefits Realisation plan will now be developed following submission of project benefit Plans (C McGurk – May 2014)</p> <p>10-11. Weekly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile (C McGurk- Ongoing)</p> <p>11-12. Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (C Southern- Ongoing)</p>		
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Previous Month's Risk Rating:	H	H		H	H		H-M	L-M

8. Interruption to Business

Risk Owner: Deborah Brown

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ul style="list-style-type: none"> • Business Continuity Plan (Persons required to manage and maintain the 3 plans are named and responsibilities listed in their PPAs). • PRONI Disaster Plan • Flu Pandemic Plan • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • Disaster Plan for PRONI tested and maintained. • Flu Pandemic Plan updated and maintained. 	M	M	<p>Refresh of plans to be carried out to reflect lessons learned from recent flooding incident and recent testing. (July 2014)</p> <p>Finance to consider a contingency plan for the processing of drawdown requests (Michael O'Dowd June 2014)</p>	M	M
Previous Month's Risk Rating:	H	H		M	M		M	M

9.Failure to make official records available to the public

Risk Owner: Maggie Smith

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under new FOIA consultation process. Further files issued for consultation Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). Launch scheduled for 29 May Monthly reporting to the DCAL Board 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014 Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA – 31 May 2014 Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 January 2015 Publish in the PRONI catalogue, 5000 internment files – 31 March 2015 <p>Assignee: David Huddleston</p>	M	M

			and quarterly reporting to OFMDM on FOIA				
			Access to internment file being progressed – further information requested from Responsible Authority				
Previous Month's Risk Rating:	M	M-H		M	M		M

10 SUB-REGIONAL STADIA
Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> Failure to achieve the necessary political agreement required from the Executive to make the programme happen. Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. Failure by Governing Bodies to ensure effective governance 	H	H	<ul style="list-style-type: none"> Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed;</p>	H	H	<p><u>Capital Programme bid to be submitted</u></p> <p><u>Outline actions to be taken</u></p> <ul style="list-style-type: none"> <u>Recruit Programme Director by June 2014 - DCAL & SIB</u> <u>Programme Scoping by October 2014 – by Programme Director</u> <u>Establishing need, OBC, Grant Programme Design / documentation etc) by April</u> 	M	M

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<ul style="list-style-type: none"> • Failure to secure the necessary budget resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource Budget Allocation = £0.582m</p>		<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p><u>2015</u></p> <ul style="list-style-type: none"> • <u>Announce Programme April 2015</u> <p><u>Implementation July 2015 - December 2017</u></p> <p>Anticipated initial steps:-</p> <ol style="list-style-type: none"> 1. <u>Assess recommendations from PEDU report;</u> 2. <u>Development and agreement of a programme plan;</u> 3. <u>Engage SMT and Appoint programme Director;</u> 4. <u>Ministerial engagement with NI executive colleagues as appropriate;</u> 5. <u>Early engagement with Sports Governing bodies;</u> 6. <u>Consultation process with clubs and communities;</u> 7. <u>Initiate development of strategies;</u> 8. <u>Finalise SOC development;</u> 9. <u>Consider state aid notification and timing;</u> 	
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Total 2014/15 Capital Budget Allocation = £85.1m						10. Consider Gateway application and timing; 11. Commence design of application process 12. Prepare for CSR process and bid; 13. Consider delivery structure and resources required;		
Previous Month's Risk Rating:	H	H		H	H		H	H

11 Together: Building a United Community

Risk Owner: G5

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to adequately design and deliver the DCAL signature programme under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Delivery agents and partner organisations have insufficient capacity to design and deliver the programme • Failure to identify and consult with key 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p>Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones; Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan;</p>	H	H	<p>Anticipated initial-Next steps:-</p> <ol style="list-style-type: none"> 1. Development and agreement of a programme design proposal and implementation plan; 2. Identify and secure key funding, resources and skills (includes preparation of bids for next CSR period); 3. Commence consultation process; 4. Design reporting and management structure; 5-3. Ministerial engagement with OFMdfM colleagues as appropriate; 6-4. Early-Ongoing engagement with relevant community groups and other bodies involved in the design and delivery of the programme; 7. Consultation process with clubs and communities; 	H	H

<p>stakeholders in the design of the programme.</p> <ul style="list-style-type: none"> • Failure by funded bodies and delivery organisations to ensure effective governance • Failure to secure the necessary budget, resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Good relations interventions are ineffective; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and 		<p>Identify emerging risks as programme rolls out and mitigate; and</p> <p>Escalate high level risks to Programme Board when appropriate.</p> <p>Build sustainable Good Relations deliverables within the design of the programme.</p> <p><u>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan. Sport NI is represented on this Programme Board.</u></p> <p><u>Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.</u></p>		<p>8. Commence design of application process;</p> <p>9. Prepare for CSR process and bid;</p> <p>10.5. Ongoing engagement with Sport NI to explore synergies with Young Leaders and Active Communities programmes.</p> <p>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan.</p> <p>Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.</p> <p><u>Proposals currently being discussed by OFMDFM and DCAL Special Advisers. Target dates will be added when further clarity on the design proposal has been obtained.</u></p>	
<p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. 					

- Reduced sustainable good relations benefits

BUDGETARY CONTEXT:

Total 2014/15 Resource Budget
Allocation = £99.216m

Total 2014/15 Capital Budget
Allocation = £90.334m

Previous Month's Risk Rating:	H	H		H	H		H

12 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP. The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister is champion for the implementation of the GQP and DCAL is the lead Department. The Minister has met with other Ministers and secured support in principle from other Executive Ministers for the aims of the GQP. DCAL has assumed the programme management role and lead IDM role for the Raidió Fáilte project. Interim reporting dashboard for emerging projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. Risk Profile Assessment completed concludes the programme is high risk. 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements currently under consideration and SIB, BCC and DCAL are liaising with/discussing with Forbairt Feirste SIB and DCAL to meet w/e 5 May to discuss. A Scott Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott <p>Work ongoing to develop draft programme documentation and priorities for consideration and approval by Programme Steering Group. Precise target dates for this action have not been set because of resourcing issues.</p> <ol style="list-style-type: none"> Prepare for the assimilation of 3 Forbairt Feirste based support staff to assist delivery of the programme on a full time basis from 1 July 2014. Damien Rea Agree lead/need role for programme 	M	L-M

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			A case for 4 additional staff resources to support the development and delivery of the programme has been approved.			manager/cultural broker by 31 May 2014 Arthur Scotted .		
Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	L-M

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure</p>	M-H	M	<p>1. WI seeking additional funding for WI pension costs and changes to how pension costs are funded. Business case produced by WI needs significant revision. Case to be developed further by 30 May 2014 May.</p> <p>± A revised options paper in relation to the WI Pensions was received by Sponsor Departments on 10 April. The paper is currently under consideration by both Departments including DCAL's Finance Branch. Jerome Dawson, Martina Campbell is being considered by Sponsor Departments. Business case is currently with DCAL Finance for comment.</p> <p>2. The CEO is developing radical efficiency proposals for consideration by NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new revenue and increased revenue flows from lock charges is also being considered.</p> <p>3. If the business case Options is Paper is</p>	M	M

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						<p>agreed by both <u>Sponsor Departments a full Business Case will be prepared for consideration by both</u> Finance Departments prepare a paper as and appropriate if appropriate a paper will be prepared for a future NSMC meeting (likely to be Autumn 2014).</p>		
Previous Month's Risk Rating:								
	M-H	M-H		M-H	M		M	M



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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 JUNE UPDATE

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to achieve creative industries PfG target	M	M	9
76	Failure to deliver Regional Stadia on time and to budget	H	H	25
87	Interruption to Business	M	M	9
98	Failure to make official records available to the public	M	M	9
109	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25

Corporate Risk Register – June 2014 Update

<u>1110</u>	Inability to deliver TBUC	H	H	25
<u>1211</u>	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
<u>1312</u>	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management*		Averse — <u>Open</u> * (averse)
Compliance – Legal/Environmental		Averse (averse)

*~~Currently under review~~ However a cautious approach will be adopted in relation to some areas eg. Management of sensitive information

Version Control:

	Date of Completion
Last reviewed by Board/Director	28/5/14
Next review by Board/Director	24/6/14
Last reviewed by Audit Committee (if applicable)	27/5/14

Corporate Risk Register – June 2014 Update

1. INADEQUATE GOVERNANCE CONTROLS								
Risk Owner: DEBORAH BROWN								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs N/S Sponsorship Manual in place ALB risk assessments updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. 	M	M	<ol style="list-style-type: none"> Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide Philip Spotswood (June-August 2014) A revised FM/MSFM for N/S Bodies is currently in progress, Martina Campbell (Autumn 2014) Agree and implement action points from the 'Review of Governance' project (Assignee: D Brown) <p>Dates: Risk Assessments June 2014 Gillian McAfee Drawdowns June 2014 Michael O'Dowd</p>	M	L-M

Corporate Risk Register – June 2014 Update

			<ul style="list-style-type: none"> • Greater focus is now being placed on monitoring & reporting against business plan targets. • Accountability meetings are regularly held, dependent on risk assessments. • Annual & In Year Assurance Statements prepared by Department and ALBs • A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. • EQA of ALB Internal Audit Functions performed • Rolling programme of attendance by ALBs at Departmental Board meetings 			<p>4. <u>Gaps in compliance with 2013 Code and action plan to be brought to the Dept Board (DB Sept 2014)</u></p> <p>4-5. Improvements will be implemented against the 2013 Code of Corporate Governance (DB Oct <u>March 2015</u>)</p>		
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

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Corporate Risk Register – June 2014 Update

2. Insufficient Budget results in failure to deliver key Departmental Priorities								
Risk Owner: ALL								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities]</p> <p>CAUSE: Additional funding not secured for new work streams including City of Culture Legacy and TBUC Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring. Risk of cuts in 2014/15. 15/16 Budget exercise results in cuts to Department's allocations</p> <p>CONSEQUENCES: Failure to deliver key priorities including PETSSE, City of Culture Legacy and TBUC</p> <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p>	H	H	<ul style="list-style-type: none"> • Zero Based Budget has provided transparency on the allocation of funding against priorities, programmes and projects. This will help inform decisions on 15/16 budget bid and allocations. A planning exercise is in progress which looks at the consequences of cuts of 2-6% in resource budgets in 15/16. • 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding secured through monitoring rounds. Minister has also been alerted to pressures in 14/15. • Evidence will continue to be collected on our delivery against PETSSE to support future bids to DFP. 	H	H	<ol style="list-style-type: none"> 1. Make bids in 14/15 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Michael O'Dowd/ 5th June 2014) 2. If bids are unsuccessful, we may need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval. (Michael O'Dowd/ date TBC) 3. Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC) 4. Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be sought from the Executive in 14/15, this will also include the associated staffing costs (July 2014) 5. Secure DFP approval for a new company to deliver City of Culture Legacy (June 2014) 	H	M-H

Corporate Risk Register – June 2014 Update

Total 2014/15 Capital Budget Allocation = £90.334m						Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.		
Previous Month's Risk Rating:	H	H		H	H		H	M-H

Corporate Risk Register – June 2014 Update

3. Insufficiently Skilled staff / Insufficient number of skilled staff								
Risk Owner: Deborah Brown								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business 	H	MH/M	<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, <u>and succession management i.e.</u> taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan 	M	M	<p>Need for further action is being considered to ensure individuals in post have the required skills to deliver business objectives within their areas (Hilary Harbinson September 2014)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring See action on risk 2. Outcome will impact on this risk. (Business areas -and SMT, June 2014)</p> <p><u>Terms of reference for Managing Resources Committee to be prepared</u> (Hilary Harbinson – September 2014)</p>	M	M

Corporate Risk Register – June 2014 Update

<p>objectives</p> <ul style="list-style-type: none"> reputational damage Disengaged staff. <p><u>BUDGETARY CONTEXT:</u></p>			<p>prepared set out the training needs identified to build staff skills and knowledge.</p> <ul style="list-style-type: none"> Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. Line managers confirm through the Performance management system that staff are performing effectively Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 					
Previous	Month's Risk Rating:	H	MH/M	M	M		M	← M

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Corporate Risk Register – June 2014 Update

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Corporate Risk Register – June 2014 Update

4. Failure to Deliver PETPSE									
Risk Owner: Stephen McGowan									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by Department and ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process. 		H	H	<ul style="list-style-type: none"> The importance of the PETPSE Agenda is underlined in the Departmental Mission Statement. The DCAL Mission Statement and 2014/15 DCAL Business Plan clearly articulates that prioritises the the PETPSE agenda. Agenda is to be placed first and foremost when framing policy and allocating resources. The 2013/14 Business Plans of each of DCAL's Arms Length Bodies was carefully assessed on its ability to deliver the PETPSE Agenda before it was approved. Over summer 2013 a zero based budgeting exercise took place. ALBs were asked to identify all spend as either discretionary or non-discretionary and to prioritise discretionary spend on the PETPSE Agenda. A PETPSE Board oversees has been set up with responsibility to ensure delivery of on the PETPSE 	M	M	<ol style="list-style-type: none"> Enhance internal and external communication initiatives– initial steps include roll out of 'School's Out' and 'Back to School' campaign (SDD and Comms team – June and August 2014). Reinvigorate the PETPSE Champion role and staff engagement mechanisms – (Paul Gamble, September 2014). 5 Roadshows to enhance engagement with social partners/ communities (Paul Gamble, by March 2015). Engagement with PHA and voluntary sector to support joint working (SDD, by March 2015). Launch revision of DCAL Learning Strategy. To include refocusing of Learning Forum and annual awards. (SDD, by September 2014). <p>—Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West (SDD, ongoing).</p>	L-M	L-M

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<ul style="list-style-type: none"> • 			<p>Agenda. <u>An interim Strategic Delivery Division (SDD) coordinates work on the PETPSE Agenda.</u></p> <ul style="list-style-type: none"> • <u>Regular meetings are held. An interim Strategic Delivery Division (SDD) has been established with responsibility for coordinating work on the PETPSE Agenda</u> • <u>PETPSE Monitoring Working Group established to share research and statistics across DCAL. Reporting on PETPSE is an integral part of ALB Accountability meetings. the Department</u> • <u>The PETPSE Board has produced a template for reporting on the PETPSE Agenda.</u> • <u>Reporting on progress on the PETPSE Agenda is an integral part of ALB Accountability meetings.</u> • <u>PETPSE Champions appointed. External engagement includes Roadshows, case-studies and media and on-line promotion.</u> • <u>Staff conference delivered on</u> 		<ol style="list-style-type: none"> 1. <u>PETPSE Agenda clearly articulated in the 2014/15 Business Plan (CSU and SDD, April 2014);</u> 2. <u>Specific PETPSE targets incorporated into 2014/15 Business Plan (SDD, March 2015)</u> 3. <u>DCAL branches and ALBs will be supported to build on the PETPSE Agenda in their 2014/15 Business Plans (Sponsor branches with support from CSU and SDD, May 2014); DCAL to enhance internal and external communication and engagement initiatives to reinforce the PETPSE agenda (SDD and Comms team, Ongoing);</u> 4. <u></u> 5. <u>Further Roadshows to enhance engagement with social partners/ communities (Paul Gamble, October/ November 2014)</u> 6. <u>Follow up on discussion groups from staff conference (June 2014)</u> 		<p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Indent: Left: 0.3 pt, Hanging: 14.2 pt, Space After: 2 pt</p> <p>Formatted ... [27]</p> <p>Formatted ... [28]</p> <p>Formatted ... [21]</p> <p>Formatted ... [22]</p> <p>Formatted ... [29]</p> <p>Formatted ... [30]</p> <p>Formatted ... [31]</p> <p>Formatted ... [32]</p> <p>Formatted ... [23]</p> <p>Formatted ... [24]</p> <p>Formatted: Font: 11 pt</p> <p>Formatted ... [33]</p> <p>Formatted ... [34]</p> <p>Formatted: Font: 11 pt</p> <p>Formatted ... [35]</p> <p>Formatted: Font: 11 pt</p> <p>Formatted ... [36]</p> <p>Formatted: Font: 11 pt</p> <p>Formatted ... [25]</p> <p>Formatted ... [26]</p> <p>Formatted ... [37]</p> <p>Formatted ... [38]</p> <p>Formatted: Indent: Left: 18.25 pt</p> <p>Formatted ... [39]</p>
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Corporate Risk Register – June 2014 Update

				<p>PETPSE Theme. Learning Forum Awards event focused on PETPSE. Social Clauses event delivered along with report, and supported to place this Agenda at the forefront of all work done by their branches (DCAL branches and SDD)</p> <ul style="list-style-type: none"> • Roadshows hosted across NAW region. • Website 're-skinned' to focus on PETPSE case studies. • Social Clauses event delivered along with associated report. • Staff conference delivered on PETPSE Theme. • PETPSE pamphlet distributed to all staff. • PETPSE Monitoring Working Group established to share research and statistics across the Department. 			<p>7. Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West in 2014 (SDD; ongoing).</p> <p>6.</p>			<p>Formatted: Font: 11 pt</p> <p>Formatted: Indent: Left: 0.3 pt, Hanging: 14.2 pt, Space After: 2 pt</p> <p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: Indent: Left: 0.3 pt, Hanging: 14.2 pt, Space After: 2 pt, Numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 18 pt + Indent at: 36 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: (Default) Times New Roman, 11 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: (Default) Times New Roman, 11 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: (Default) Times New Roman, 11 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: (Default) Times New Roman, 11 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: 11 pt</p> <p>Formatted: Font: (Default) Times New Roman, 12 pt</p> <p>Formatted: Font: (Default) Times New Roman, 11 pt</p> <p>Formatted: ... [40]</p> <p>Formatted: Font: (Default) Arial, 10 pt</p>
Previous Month's Risk Rating:	H	H			M	M		L-M	L-M	

5. Failure to deliver City of Culture legacy for the North West

Risk Owner: Stephen McGowan

Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES:</p> <ol style="list-style-type: none"> Failure to deliver key Ministerial Commitments Reputational Damage <p>BUDGETARY CONTEXT: Bid to Executive in progress.</p>	H	H	<ul style="list-style-type: none"> Minister announced her strategic vision for City of Culture legacy in the North WestNW region in November 2013. Work has been initiated to plan implementation of the Minister's strategic vision for the region. A draft business case has been submitted to DFP. A DCAL North West Office has been established in Derry. It is temporarily based in Orchard House. June Monitoring submitted for the 2014/ 15 financial year to support the North West in tackling poverty, social exclusion and inequality. 	H	M	<ol style="list-style-type: none"> Submit finalised business for NW bid to DFP. (Joanna McConway, June 2014). Set up a more high profile DCAL office/presence within City.(Joanna McConway, Aug/Sept 2014) Stimulate joined up approaches and initiatives/activities across DCAL family over July-Dec 2014 to enhance impact and reach of existing DCAL interventions in the short to medium term (JMcC and Strategic Team-by Dec 2014). Establish a Ministerial led Stakeholder group to inform strategy of a new delivery body – Creative North West - (Joanna McConway, July 2014) Note: Creative NW is subject to additional budget.) Establish a DCAL led Oversight Group. (Joanna McConway, July 2014) <p>June Monitoring bid and Bbid to the Executive for funding for the 2014/ 15 financial year to support the North West in tackling poverty,</p>	M	M

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Corporate Risk Register – June 2014 Update

						<p>social exclusion and inequality. (Joanna McConway – May 2014)</p> <p>2. Set up a more high profile DCAL office/presence within City. (Joanna McConway, Aug/Sept 2014)</p> <p>3. Establish a new delivery body which will be a company limited by guarantee with charitable status to deliver cultural based projects in the North West which promote equality and tackle poverty and social exclusion. (Joanna McConway – subject to confirmation of additional budget. Minister has announced new company – to be called Creative North West – will be established in Summer 2014)</p> <p>4. Set up a DCAL led Oversight Group. (Joanna McConway. June/July 2014)</p>		
Previous Month's Risk Rating:	H	H		H	M		M	M
<p>6. Failure to achieve creative industries PIG target</p> <p>Risk Owner: Stephen McGowan</p>								

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Corporate Risk Register – June 2014 Update

Risk – Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to achieve PfG departmental target of supporting 200 projects through the Creative Industries Innovation Fund by March 2015.</p> <p>CAUSE:</p> <ul style="list-style-type: none"> • Insufficient marketing, targeting and engagement with industry • Lack of strategic support to the Arts Council <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Failure to meet PfG target • Reputational Damage • Department's leadership role for sector suffers • Threat to possibility of future funding <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> • Executive funding in place to deliver PfG target but no funding post March 2015 	H-M	H	<ul style="list-style-type: none"> • Arts Council delivers the Creative Industries Innovation Fund (CIIF) on behalf of DCAL. Dept provides strategic oversight and support to Arts Council on Fund's objectives and delivery. • Milestones established (100 projects by March 2013; 150 by March 2014; 200 by March 2015) • A Management Consortium is chaired by the CEO of ACNI and includes DCAL and representatives from government and sectoral bodies. Final decision making authority lies with ACNI and DCAL. • Pre-application workshops run to increase awareness of funding opportunities and the quality of applications. • 150 projects supported by March 2014. 	M	M	<ol style="list-style-type: none"> 1. Assessment of awards to be completed by Arts Council and recommended projects ratified by CIIF consortium (Arts Council and Gerard Murray, June 2014) 2. Based on budget availability, DCAL/ACNI to direct additional awards to sectoral bodies for strategic projects linked to the Innovation Strategy and CAL Committee inquiry into the creative industries (Gerard Murray, June 2014) 3. Monitoring of project progress and uptake of funding. Reallocation of funding to new projects as required. (Arts Council and Gerard Murray, March 2015) 4. Policy advocacy to reinforce DCAL leadership role for the sector and support future funding bids (Gerard Murray, March 2015) 	L	L
Previous Month's Risk Rating:	HMN/a	NH/a		NM/a	N/aM		NL/a	LN/a

Corporate Risk Register – June 2014 Update

67. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET								
Risk Owner: CYNTHIA SMITH								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> • Failure to approve legal sign offs of conditions precedent and deed of amendment (Casement). • Potential for procurement challenge. (Ravenhill, Casement and Windsor) • JR lodged with courts by residents association (MORA) around GAA planning decision (14/4/14) • Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium • Failure by IFA to ensure 	H	H	<ul style="list-style-type: none"> • Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. • Regular meetings between DCAL, GAA and solicitors to be scheduled • Continued involvement with CPD during procurement stages. • IST Appointments for GAA & IFA were made in December 2013. • Planning Approval for Casement received on 18/12/13. UCGAA are liaising with MORA around JR. Negotiations are ongoing to get JR lifted. Full JR hearing has been set for September 2014. • The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group 	H	H	<p>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Ongoing)</p> <p>Weekly meetings scheduled to close legal issues out. (Casement) (Sept 2014)</p> <p>DCAL are aware that GAA and contractor are committed to continuing to engage with residents. DCAL are supportive of this approach. Regular updates to be provided by UCGAA in relation to negotiations with MORA. Full JR hearing has been set for September. Issues on challenges to planning are dealt with by way of conditions precedent in the Funding Agreement to GAA. (Ongoing)</p> <p>Stadium Team are liaising with and co-ordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detail dialogue and risk review workshops to ensure the Casement Park stadium can achieve a 38,000 spectator safe</p>	H-M	L-M

Corporate Risk Register – June 2014 Update

<p>compliance with 2013 Governance Review requirements.</p> <p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> • Failure to achieve the desired benefits from the programme. • Failure to achieve spend within agreed timeframes. • Failure to ensure fit of project costs to agreed budget. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Potential for significant cost over-runs; • Non-achievement of objectives and • Reputational damage to the Department. <p>BUDGETARY CONTEXT: Allocation for 2013/14 as at January Monitoring Round = £11.8m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>		<p>(STG) on behalf of the department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5. Further ongoing work underway to establish measures to address emergency evacuation in the event of an external incident that affects normal exiting. (Casement)</p> <ul style="list-style-type: none"> • Stage approvals are subject to acceptance of the scheme design by the STG (Casement/Windsor) • Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the probability of potential incidents that may affect emergency evacuation (Casement) <p>Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement)</p> <ul style="list-style-type: none"> • Issues have arisen in recent months around IFA governance in relation to the removal of the requirement for competency tests 		<p>holding capacity. (Ongoing)</p> <p>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures. (Ongoing)</p> <p>The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement all the recommendations by June 2014. (Conditions Precedent in Funding Agreement to be monitored for compliance). (June 2014)</p> <p>Interim support from SIB Advisor obtained for five days a month. SIB advisor has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & Project Board meetings (Ongoing)</p> <p>Programme Benefits Realisation Plan will now be developed following submission of project benefit Plans (June 2014)</p> <p>Weekly review of spend profiles and</p>	
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Corporate Risk Register – June 2014 Update

			<p>for those seeking election to senior positions within the IFA. An independent review of IFA was carried out in November 2013.</p> <ul style="list-style-type: none"> • Monthly Sponsor Board meetings (programme & project sponsorship). • Monthly Programme Board Meetings (Assurance Meetings). • Programme risk management strategy in place and being implemented. • Recommendations arising from project health checks/gateway review being implemented. • Implementation of any NIAO & internal Audit Recommendations. • New programme SRO now appointed. • BRP template in place for each project. FBC consultants appointed for all projects. • IRFU UB/IFA & UCGAA – BRP & FBC in place • Review of spend profiles. Easements to be declared through monitoring rounds. • Review of project budgets at Project Boards & Project Steering Group's. 			<p>notification to DCAL Finance Branch of variances in spend profile (Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (Ongoing)</p>		
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Corporate Risk Register – June 2014 Update

Previous Month's Risk Rating:	H	H		H	H		H-M	L-M

Corporate Risk Register – June 2014 Update

78. Interruption to Business								
Risk Owner: Deborah Brown								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<ul style="list-style-type: none"> • Business Continuity Plan (Persons required to manage and maintain the 3 plans are named and responsibilities listed in their PPAs). • PRONI Disaster Plan • Flu Pandemic Plan • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • Disaster Plan for PRONI tested and maintained. • Flu Pandemic Plan updated and maintained. 	M	M	<p>Refresh of plans to be carried out to reflect lessons learned from recent flooding incident and recent testing.(July 2014)</p> <p>Finance to consider a contingency plan for the processing of drawdown requests (Michael O'Dowd June 2014)</p>	M	M
Previous Month's Risk Rating:	H	H		M	M		M	M

Corporate Risk Register – June 2014 Update

89. Failure to make official records available to the public								
Risk Owner: Maggie Smith								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under new FOIA consultation process. Further files issued for consultation Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). Launch ed cheduled for 29 May Monthly reporting to the DCAL Board 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014 Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA; Draft prepared. To be finalised – 31 May 2014 31 July 2014 Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 January 2015 Publish in the PRONI catalogue, 5000 internment files – 31 March 2015 Provide revised monthly report to DCAL Board on FOIA/DPA conflict related requests – 31 July 2014 	M	M

Corporate Risk Register – June 2014 Update

			<p>and quarterly reporting to OFMDM on FOIA</p> <p>Access to internment file being progressed – further information clarification requested from Responsible Authority</p>			Assignee: David Huddleston		
Previous Month's Risk Rating:	M	M-H		M	M		M	M

Corporate Risk Register – June 2014 Update

940 SUB-REGIONAL STADIA								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. • Failure by Governing Bodies to ensure effective governance 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed;</p>	H	H	<p>Capital Programme bid to be submitted</p> <p>Outline actions to be taken</p> <ul style="list-style-type: none"> • <i>Recruit Programme Director by June 2014 - DCAL & SIB</i> • <i>Programme Scoping by October 2014 – by Programme Director</i> • <i>Establishing need, OBC, Grant Programme Design / documentation etc) by April</i> 	M	M

Corporate Risk Register – June 2014 Update

<ul style="list-style-type: none"> • Failure to secure the necessary budgetresources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource Budget Allocation = £0.582m</p>		<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p>2015</p> <ul style="list-style-type: none"> • <i>Announce Programme April 2015</i> <p><u>Implementation</u> July 2015 - December 2017</p>	
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Corporate Risk Register – June 2014 Update

Total 2014/15 Capital Budget Allocation = £85.1m								
Previous Month's Risk Rating:	H	H		H	H		M	M

Corporate Risk Register – June 2014 Update

104 Together: Building a United Community								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to adequately design and deliver the DCAL signature programme under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES:</p> <p>Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Delivery agents and partner organisations have insufficient capacity to design and deliver the programme • Failure to identify and consult with key 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p><u>A June monitoring bid has been submitted to DFP which sets out the funding requirements to take forward the pilot programme.</u></p> <p>Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones; Identify and engage key</p>	H	H	<p>Next steps:-</p> <ol style="list-style-type: none"> 1. Development and agreement of a design proposal and implementation plan; 2. Identify and secure funding, resources and skills (includes preparation of bids for next CSR period); 3. Ministerial engagement with OFMdfM colleagues as appropriate; 4. Ongoing engagement with relevant community groups and other bodies involved in the design and delivery of the programme; 5. Ongoing engagement with Sport NI to explore synergies with Young Leaders and 	H	H

Corporate Risk Register – June 2014 Update

<p>stakeholders in the design of the programme.</p> <ul style="list-style-type: none"> • Failure by funded bodies and delivery organisations to ensure effective governance • Failure to secure the necessary budget, resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Good relations interventions are ineffective; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. 		<p>stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate. Build sustainable Good Relations deliverables within the design of the programme.</p> <p>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan. Sport NI is represented on this Programme Board.</p> <p>A Project Working Group has been set up to consider the programme content and route to delivery. The working group will report to the Programme Board</p>		<p>Active Communities programmes.</p> <p>Proposals currently being discussed by OFMDFM and DCAL Special Advisers. Target dates will be added when further clarity on the design proposal has been obtained.</p>	
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Corporate Risk Register – June 2014 Update

<ul style="list-style-type: none"> Reduced sustainable good relations benefits <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £99.216m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>			Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.					
Previous Month's Risk Rating:	H	H		H	H		H	H

Corporate Risk Register – June 2014 Update

112 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister secured support in principle from other Executive Ministers for the aims of the GQP. Interim reporting dashboard for projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. <p>‡. A case for 4 additional staff resources to support the development and delivery of the programme has been approved and <u>Prepare for the assimilation of 3 Forbait Feirste based support staff are to assisting the delivery of the programme on a full time basis from 1 July 2014. Damien Rea</u></p>	M-H	M	<p>2.1. Draft governance arrangements currently under consideration and <u>officials are liaising with SHB, BCC and and Forbait Feirste DCAL are liaising with</u> A Scott</p> <p>3.2. Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott</p> <p>3. Work ongoing to develop draft programme documentation and priorities for consideration and approval by Programme Steering Group. Precise target dates for this action have not been set because of resourcing issues <u>and uncertainty regarding June monitoring.</u></p> <p>4.</p> <p>5.4. <u>Prepare for the assimilation of 3 Forbait Feirste based support staff to</u></p>	M	L-M

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Corporate Risk Register – June 2014 Update

<p>The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>						<p>assist delivery of the programme on a full time basis from 1 July 2014 – Damien Rea</p> <p>6-5. Agree lead role for programme manager, cultural broker by 3031 Option to use BCC Programme Management expertise exists. This offer has not been implemented owing to delay in advancing the projects. To be revisited following June Monitoring. 31st July 2014 JuneMay 2014 Arthur Scott</p>		
<p>Previous Month's Risk Rating:</p>	<p>M-H</p>	<p>M-H</p>		<p>M-H</p>	<p>M</p>		<p>M</p>	<p>L-M</p>

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Corporate Risk Register – June 2014 Update

123 Infrastructure failure Waterways Ireland								
Risk Owner: Arthur Scott								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure</p>	M-H	M	<p>1. WI seeking additional funding for WI pension costs and changes to how pension costs are funded.</p> <p>4. A revised options paper in relation to the WI Pensions was received by Sponsor Departments on 10 April. The paper is currently under consideration by both Departments including DCAL's Finance Branch. Martina Campbell Jerome Dawson.</p> <p>2. The CEO is developing radical efficiency proposals for consideration by NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new revenue and increased revenue flows from lock charges is also being considered.</p> <p>3. If the Options Paper is agreed by both Sponsor Departments a full Business Case will be prepared for consideration by both Finance Departments and if appropriate a paper will be prepared for a future NSMC meeting (likely to be Autumn 2014).</p>	M	M

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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 July UPDATE

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to deliver Regional Stadia on time and to budget	H	H	25
7	Interruption to Business	M	L-M	69
8	Failure to make official records available to the public	M	M	9
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25
10	Inability to deliver TBUC	H	H	25

Corporate Risk Register – August 2014 Update

11	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
12	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management		Open* (averse)
Compliance – Legal/Environmental		Averse (averse)

*However a cautious approach will be adopted in relation to some areas eg. Management of sensitive information

Version Control:

	Date of Completion
Last reviewed by Board/Director	24/6/14
Next review by Board/Director	05/8/14
Last reviewed by Audit Committee (if applicable)	27/5/14

Corporate Risk Register – August 2014 Update

1. INADEQUATE GOVERNANCE CONTROLS								
Risk Owner: DEBORAH BROWN								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs N/S Sponsorship Manual in place ALB risk assessments updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. 	M	M	<p>1. Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide Philip Spotswood (August 2014)</p> <p>2. A revised FM/MSEM for N/S Bodies is currently in progress, Martina Campbell (Autumn 2014)</p> <p>3. <u>Quarterly Assurance Statements have been introduced in the N/S Bodies and are expected to be embedded by Autumn 2014 (Martina Campbell).</u></p> <p>2.4. <u>SLAs with N/S bodies to be agreed (Martina Campbell, Autumn 2014)</u></p> <p>3. <u>Agree and implement action points from the 'Review of Governance' project (Assignee: D</u></p>	M	L-M

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Corporate Risk Register – August 2014 Update

			<ul style="list-style-type: none"> Greater focus is now being placed on monitoring & reporting against business plan targets. Accountability meetings are regularly held, dependent on risk assessments. Annual & In Year Assurance Statements prepared by Department and ALBs A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. EQA of ALB Internal Audit Functions performed Rolling programme of attendance by ALBs at Departmental Board meetings 			<p>Brown)</p> <p><u>Dates:</u></p> <p><u>Risk Assessments June 2014 (Gillian McAfee)</u></p> <p><u>Drawdowns June 2014 (Michael O'Dowd)</u></p> <p><u>5. Monitor the revised procedures implemented as a result of the 'Review of Governance' project (GMcA Ongoing)</u></p> <p><u>4.6 Gaps in compliance with 2013 Code and action plan to be brought to the Dept Board (DB Sept 2014)</u> Improvements will <u>then</u> be implemented against the 2013 Code by March 2015.</p>		
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

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Corporate Risk Register – August 2014 Update

2. Insufficient Budget results in failure to deliver key Departmental Priorities								
Risk Owner: ALL								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities</p> <p>CAUSE: Additional funding not secured for new work streams including City of Culture Legacy and TBUC Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring. Risk of cuts in 2014/15. 15/16 Budget exercise results in cuts to Department's allocations</p> <p>CONSEQUENCES: Failure to deliver key priorities including PETSSE, City of Culture Legacy and TBUC</p> <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p>	H	H	<ul style="list-style-type: none"> Zero Based Budget has provided transparency on the allocation of funding against priorities, programmes and projects. This will help inform decisions on 15/16 budget bid and allocations. A planning exercise is in progress which looks at the consequences of cuts of 2-6% in resource budgets in 15/16. 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding secured through monitoring rounds. Minister has also been alerted to pressures in 14/15. Evidence will continue to be collected on our delivery against PETSSE to support future bids to DFP. 	H	H	<p>1. Make bids in 14/15 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Michael O'Dowd 5th June 2014)</p> <p>4.</p> <p>2. If bids are unsuccessful, we may need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval. (Michael O'Dowd/ date TBC) Monitoring round is still to be agreed: current proposals call for cuts in year and do not support all of DCAL's bids.</p> <p>2-3. <u>Precautionary planning has begun to manage budget cuts and existing pressures. We may need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval.</u></p> <p>3-4. Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC)</p>	H	H

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Corporate Risk Register – August 2014 Update

<p>Total 2014/15 Capital Budget Allocation = £90.334m</p> <p> </p> <p> </p> <p> </p> <p> </p>						<p>4-5. Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be sought from the Executive in 14/15, this will also include the associated staffing costs (July 2014) but CoC bid has not so far received support.</p> <p>5-6. Secure DFP approval for a new company to deliver City of Culture Legacy (June 2014)</p> <p>Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.</p>		
<p>Previous Month's Risk Rating:</p>	H	H		H	H		H	M-H

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Corporate Risk Register – August 2014 Update

3. Insufficiently Skilled staff / Insufficient number of skilled staff								
Risk Owner: Deborah Brown								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business 	H	MH/M	<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, and succession management i.e. taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan 	M	M	<p>Need for further action is being considered to ensure individuals in post have the required skills to deliver business objectives within their areas (Hilary Harbinson September 2014)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring See action on risk 2. Outcome will impact on this risk. (Business areas and SMT, June 2014)</p> <p>Terms of reference for Managing Resources Committee to be prepared (Hilary Harbinson – September 2014)</p> <p><u>Utilise Business Partnering to discuss with Senior Managers resourcing implications and potential solutions (Tom Hamilton/Hilary Harbinson – September 2014)</u></p>	M	M

Corporate Risk Register – August 2014 Update

<p>objectives</p> <ul style="list-style-type: none"> reputational damage Disengaged staff. <p><u>BUDGETARY CONTEXT:</u></p>			<p>prepared set out the training needs identified to build staff skills and knowledge.</p> <ul style="list-style-type: none"> Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. Line managers confirm through the Performance management system that staff are performing effectively Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 			<p>FED Roadmap is being developed (Tom Hamilton/Hilary Harbinson - October 2014)</p>		
Previous Month's Risk Rating:	H	MH/M		M	M		M	M

Corporate Risk Register – August 2014 Update

4. Failure to Deliver PETPSE									
Risk Owner: Stephen McGowan									
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
	Imp	Like		Imp	Like		Imp	Like	
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by DCAL/ ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process. 	H	H	<ul style="list-style-type: none"> The DCAL Mission Statement and 2014/15 Business Plan prioritises the PETPSE agenda. A PETPSE Board and interim Strategic Delivery Division (SDD) established. PETPSE Monitoring Working Group shares research and statistics across DCAL. Reporting on PETPSE is an integral part of ALB Accountability meetings. PETPSE Champions appointed. External engagement includes Roadshows, case-studies and media and on-line promotion. Staff conference delivered on PETPSE Theme. Learning Forum Awards event focused on PETPSE. Social Clauses event delivered along with report. 	M	M	<ol style="list-style-type: none"> Enhance internal and external communication initiatives– initial steps include roll out of 'School's Out' and 'Back to School' campaign (SDD and Comms team – June and August 2014); Reinvigorate the PETPSE Champion role and staff engagement mechanisms – (Paul Gamble, September 2014) 5 Roadshows to enhance engagement with social partners/ communities (Paul Gamble, by March 2015) Engagement with PHA and voluntary sector to support joint working (SDD, by March 2015) Launch revision of DCAL Learning Strategy. (SDD, by September 2014) Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West (SDD, ongoing). 	L-M	L-M	
Previous Month's Risk Rating:	H	H		M	M		L-M	L-M	

Corporate Risk Register – August 2014 Update

5. Failure to deliver City of Culture legacy for the North West									
Risk Owner: Stephen McGowan									
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
	Imp	Like		Imp	Like		Imp	Like	
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES: 1. Failure to deliver key Ministerial Commitments 2. Reputational Damage</p> <p>BUDGETARY CONTEXT: Bid to Executive in progress</p>	H	H	<ul style="list-style-type: none"> Minister announced her strategic vision for City of Culture legacy in the NW region in November 2013. Work has been initiated to plan implementation of the Minister's strategic vision for the region. A draft business case has been submitted to DFP. A DCAL North West Office has been established in Derry. It is temporarily based in Orchard House. June Monitoring submitted for the 2014/ 15 financial year to support the North West in tackling poverty, social exclusion and inequality. 	H	M	<ol style="list-style-type: none"> Submission with Minister to consider options / proposals in relation to NW led economic and social development in absence of additional funding from the Executive (Joanna McConway, July 2014). Pending Ministerial approval, maintain NW Office and set up a Creative NW promotional/branding initiative to profile DCAL and other stakeholder activities across the NW (JMCC, by Jan 2015) Establish a Ministerial led NW Stakeholder Group to inform community approaches to CAL activities- (JMCC, September 2014) Establish a DCAL led Cultural Oversight Group. (JMCC. September 2014) Stimulate joined up approaches and initiatives across DCAL family to enhance impact and reach of existing DCAL interventions in the short to medium term (JMCC and Strategic Team–by Mar 2015) 	M	M	
Previous Month's Risk Rating:	H	H		H	M		M	M	

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Corporate Risk Register – August 2014 Update

6. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET								
Risk Owner: CYNTHIA SMITH								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> • Failure to approve legal sign offs of conditions precedent and deed of amendment (Casement). • Potential for procurement challenge. (Ravenhill, Casement and Windsor) • JR lodged with courts by residents association (MORA) around GAA planning decision (14/4/14) • Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium • Achieving a clear site at 	H	H	<ul style="list-style-type: none"> • Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. • Regular meetings between DCAL, GAA and solicitors to be scheduled • Continued involvement with CPD during procurement stages. • IST Appointments for GAA & IFA were made in December 2013. • Planning Approval for Casement received on 18/12/13. UCGAA are liaising with MORA around JR. Negotiations are ongoing to get JR lifted. Full JR hearing has been set for September 2014. There is the potential for this to be delayed to December due to delay in submission of affidavits by DOE. 	H	H	<p>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Ongoing)</p> <p>Weekly meetings scheduled to close legal issues out. (Casement) (SeptOCT 2014)</p> <p>DCAL are aware that GAA and contractor are committed to continuing to engage with residents. DCAL are supportive of this approach. Regular updates to be provided by UCGAA in relation to negotiations with MORA. Full JR hearing has been set for September . Continue to liaise with NI Courts to ensure hearing is held in September. GAA considering carrying out early enabling works in Summer months. DCAL will consider GAA's proposal and consider approval through Programme Board. Continue to liaise with DFP in relation to impact on spend caused by JR. Issues on challenges to planning are dealt with by way of conditions precedent in the Funding Agreement to GAA. (Ongoing)</p>	H-M	L-M

Corporate Risk Register – August 2014 Update

<p><u>Casement Park. Relocation of social club</u></p> <ul style="list-style-type: none"> Failure by IFA to ensure compliance with 2013 Governance Review requirements. 			<ul style="list-style-type: none"> The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group (STG) on behalf of the department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5. Further ongoing work underway to establish measures to address emergency evacuation in the event of an external incident that affects normal exiting. (Casement) Stage approvals are subject to acceptance of the scheme design by the STG (Casement/Windsor) <p>Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the probability of potential incidents that may affect emergency evacuation (Casement)</p> <ul style="list-style-type: none"> Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement) 		<p>Stadium Team are liaising with and co-ordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detail dialogue and risk review workshops to ensure the Casement Park stadium can achieve a 38,000 spectator safe holding capacity. (Ongoing)</p> <p>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures. (Ongoing)</p> <p>The IFA have accepted the recommendations within the Report at their Board meeting on 28 November 2013 and have put plans in place to implement all the recommendations by June 2014. (Conditions Precedent in Funding Agreement to be monitored for compliance). (June 2014)</p> <p>Interim support from SIB Advisor obtained for five days a month.</p> <p><u>Discussions between GAA & Social Club members to continue on daily basis to ensure agreement on proposals.</u></p>		<p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: List Paragraph, Indent: Left: 54 pt</p> <p>Formatted: Indent: Left: 18.25 pt, No bullets or numbering</p> <p>Formatted: Font: (Default) Arial, 10 pt</p> <p>Formatted: List Paragraph, Indent: Left: 4.05 pt, Hanging: 14.2 pt, Bulleted + Level: 1 + Aligned at: 18 pt + Indent at: 36 pt</p>
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Corporate Risk Register – August 2014 Update

<p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> • Failure to achieve the desired benefits from the programme. • Failure to achieve spend within agreed timeframes. • Failure to ensure fit of project costs to agreed budget. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Potential for significant cost over-runs; • Non-achievement of objectives and • Reputational damage to the Department. <p>BUDGETARY CONTEXT: Allocation for 2013/14 as at January Monitoring Round = £11.8m</p>		<ul style="list-style-type: none"> • GAA liaising with social club members to agree on suitable replacement facilities for usage throughout construction phase and facilities within new stadium. • Issues have arisen in recent months around IFA governance in relation to the removal of the requirement for competency tests for those seeking election to senior positions within the IFA. An independent review of IFA was carried out in November 2013. • Monthly Sponsor Board meetings (programme & project sponsorship). • Monthly Programme Board Meetings (Assurance Meetings). • Programme risk management strategy in place and being implemented. • Recommendations arising from project health checks/gateway review being implemented. • Implementation of any NIAO & internal Audit Recommendations. • New programme SRO now appointed. • BRP template in place for each project. FBC consultants appointed for all projects. • IRFU UB/IFA & UCGAA – BRP & 		<p><u>Fulltime support obtained from SIB.</u> SIB advisor has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & Project Board meetings (Ongoing)</p> <p>Programme Benefits Realisation Plan will now be developed following submission of project benefit Plans (June 2014)</p> <p><u>Weekly-Monthly</u> review of spend profiles and notification to DCAL Finance Branch of variances in spend profile (Ongoing)</p> <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (Ongoing)</p>	
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Corporate Risk Register – August 2014 Update

Total Capital Budget Allocation over CSR period = £110m	H	H	<p>FBC in place</p> <ul style="list-style-type: none"> Review of spend profiles. Easements to be declared through monitoring rounds. Review of project budgets at Project Boards & Project Steering Group's. 	H	H		H-M	L-M	
			Previous Month's Risk Rating:			H			H

Corporate Risk Register – August 2014 Update

7. Interruption to Business									
Risk Owner: Deborah Brown									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>		H	H	<ul style="list-style-type: none"> • <u>Draft Business Continuity Plan prepared which covers Flood Risks and Flu Pandemic Plan</u> • (Persons required to manage and maintain the 3 plans are named and responsibilities listed in their PPAs). • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • PRONI <u>Emergency Plan for Archives Disaster Plan</u> • Emergency Plan for Archives Disaster Plan for PRONI tested and maintained. (TBC) 	L-M	M	<ul style="list-style-type: none"> -Refresh of plans to be carried out to reflect lessons learned from recent flooding incident and recent testing. (July 2014) -Finance to consider a contingency plan for the processing of drawdown requests (Michael O'Dowd June 2014) <u>Draft PRONI Business Continuity plan to be finalised as part of the Disaster Recovery Plan to be completed as part of the overall DCAL Business Continuity Plan (BCP) (Heather Stanley Sept 2014xxx)</u> <u>ALB Drawdowns Continuity Plan to be tested off site (MO'D xxx)</u> <u>DCAL BCP to be endorsed by owner, SMT and Board (Pat Wilson xxx)</u> 	L-M	L-M
Previous Month's Risk Rating:		H	H		M	M		M	M

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Corporate Risk Register – August 2014 Update

8.Failure to make official records available to the public								
Risk Owner: Maggie Smith								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under new FOIA consultation process. Further files issued for consultation Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). Launched 29 May Monthly reporting to the DCAL Board 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014 Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA; Draft prepared. To be finalised – 31 July 2014 Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 January 2015 Publish in the PRONI catalogue, 5000 internment files – 31 March 2015 Provide revised monthly report to DCAL Board on FOIA/DPA conflict related requests – 31 July 2014 <p>Assignee: David Huddleston</p>	M	M

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Corporate Risk Register – August 2014 Update

			<p>and quarterly reporting to OFMDM on FOIA</p> <p>Access to internment file being progressed—further clarification requested from Responsible Authority <u>Access to internment files being progressed - Files being issued for consultation.</u></p>					
Previous Month's Risk Rating:	M	M-H		M	M		M	M

Corporate Risk Register – August 2014 Update

9 SUB-REGIONAL STADIA								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. • Failure by Governing Bodies to ensure effective governance 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed;</p>	H	H	<p>Capital Programme bid to be submitted</p> <p>Outline actions to be taken</p> <ul style="list-style-type: none"> • <i>Recruit Programme Director by June 2014 - DCAL & SIB</i> • <i>Programme Scoping by October 2014 – by Programme Director</i> • <i>Establishing need, OBC, Grant Programme Design / documentation etc) by April</i> 	M	M

Corporate Risk Register – August 2014 Update

<ul style="list-style-type: none"> • Failure to secure the necessary budgetresources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £0.582m</p>		<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p>2015</p> <ul style="list-style-type: none"> • <i>Announce Programme April 2015</i> <p><u>Implementation</u> July 2015 - December 2017</p>	
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Corporate Risk Register – August 2014 Update

Total 2014/15 Capital Budget Allocation = £85.1m								
Previous Month's Risk Rating:	H	H		H	H		M	M

Corporate Risk Register – August 2014 Update

10 Together: Building a United Community								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to adequately design and deliver the DCAL signature programme under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES:</p> <p>Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Delivery agents and partner organisations have insufficient capacity to design and deliver the programme • Failure to identify and consult with key 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p>A June monitoring bid has been submitted to DFP which sets out the funding requirements to take forward the pilot programme. Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones; Identify and engage key</p>	H	H	<p>Next steps:-</p> <ol style="list-style-type: none"> 1. Development and agreement of a design proposal and implementation plan; (Project Design and Project Management workshops set for 24 & 29 July) 2. Identify and secure funding, resources and skills (includes preparation of bids for next CSR period); 3. Ministerial, Special Adviser and official level engagement with OFMdfM colleagues as appropriate; 3-4. 4. Fully engage with community groups, sporting organisations and governing bodies on design proposal following approval. Ongoing engagement with relevant community groups and other bodies involved in the design and delivery of the programme; 	H	H

Corporate Risk Register – August 2014 Update

<p>stakeholders in the design of the programme.</p> <ul style="list-style-type: none"> • Failure by funded bodies and delivery organisations to ensure effective governance • Failure to secure the necessary budget, resources and/or skills required to deliver the programme; • Failure to manage expectations of the sports and clubs around available funding; • Good relations interventions are ineffective; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. 		<p>stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate. Build sustainable Good Relations deliverables within the design of the programme.</p> <p>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan. Sport NI is represented on this Programme Board.</p> <p>A Programme Teamject Working Group has been set up to consider the programme content and route to delivery. This working group will report to the Programme Board</p>		<p>5. Ongoing engagement withengagement with Sport NI to explore synergies e.g. with Young Leaders and Active Communities programmes.</p> <p>Proposals are currently being discussed by OFMDFM and DCAL Special Advisers. Target dates will be added when further clarity on the design proposal has been obtained.</p>	
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Corporate Risk Register – August 2014 Update

<ul style="list-style-type: none"> Reduced sustainable good relations benefits <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £99.216m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>			<p>Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.</p> <p>A number of exploratory meetings have taken place with other Departments to identify synergies and potential for cooperation and shared practices.</p>					
Previous Month's Risk Rating:	H	H		H	H		H	H

Corporate Risk Register – August 2014 Update

11 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister secured support in principle from other Executive Ministers for the aims of the GQP. Interim reporting dashboard for projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. 3 Forbait Feirste based support staff to assist delivery of the programme on a full time basis from 1 July 2014 A case for 4 additional staff resources to support the development and 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements currently under consideration and officials are liaising with, BCC and and Forbairt Feirste- A Scott Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott <p>Work ongoing- to develop draft programme documentation and priorities for consideration and approval by Programme Steering Group. <u>The draft programme is being re-scoped to initially focus on fewer priorities and those requiring minimal resourcing to deliver benefits</u> Precise target dates for this action have not been set because of resourcing issues, 30 August 2014. <u>Arthur Scott.</u></p> <ol style="list-style-type: none"> Prepare for the assimilation of 3 Forbait Feirste based support staff to assist 	M	L-M

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Corporate Risk Register – August 2014 Update

<p>The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>			<p>delivery of the programme has been approved.</p>			<p>delivery of the programme on a full time basis from 1 July 2014. Damien Rea</p> <p>3. <u>Agree lead role for programme manager.</u> 30 Option to use BCC Programme Management expertise exists. This offer has not been implemented owing to delay in advancing the projects. To be revisited following the outcome of June Monitoring. 34st July 2014. Arthur Scott</p> <p>4. <u>Research EU funding opportunities as a means of financing some aspects of the programme.</u> Damien Rea.</p>		
<p>Previous Month's Risk Rating:</p>	<p>M-H</p>	<p>M-H</p>		<p>M-H</p>	<p>M</p>		<p>M</p>	<p>L-M</p>

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Corporate Risk Register – August 2014 Update

12 Infrastructure failure Waterways Ireland								
Risk Owner: Arthur Scott								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure.</p>	M-H	M	<p>4. WI to ensure an optimum balance between reactive and planned preventive maintenance taking account of the available resources. Seeking additional funding for WI pension costs and changes to how pension costs are funded.</p> <p>A revised options paper in relation to the WI Pensions was received by Sponsor Departments on 10 April. The paper is currently under consideration by both Departments including DCAL's Finance Branch. Martina Campbell.</p> <p>2. The CEO is developing radical efficiency proposals for consideration by a future NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new revenue and increased revenue flows from lock charges is also being considered.</p> <p>3. If the Options Paper is agreed by both Sponsor Departments a full Business Case will be prepared for consideration by both</p>	M	M

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Corporate Risk Register – August 2014 Update

						Finance Departments and if appropriate a paper will be prepared for a future NSMC meeting (likely to be Autumn 2014).		
Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	M



DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 September UPDATE

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to deliver Regional Stadia on time and to budget	H	H	25
7	Interruption to Business	M	L-M	6
8	Failure to make official records available to the public	M	M	9
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25
10	Inability to deliver TBUC	H	H	25

Corporate Risk Register – September 2014 Update

11	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12
12	Infrastructure failure Waterways Ireland	M-H	M	12

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management		Open* (averse)
Compliance – Legal/Environmental		Averse (averse)

*However a cautious approach will be adopted in relation to some areas eg. Management of sensitive information

Version Control:

	Date of Completion
Last reviewed by Board/Director	05/08/14
Next review by Board/Director	16/09/14
Last reviewed by Audit Committee (if applicable)	27/05/14

Corporate Risk Register – September 2014 Update

1. INADEQUATE GOVERNANCE CONTROLS								
Risk Owner: DEBORAH BROWN								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs N/S Sponsorship Manual in place ALB risk assessments updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. 	M	M	<p>1. Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide Philip Spotswood (August 2014).</p> <p>2. <u>Language Body and Waterways Ireland (WI) 2014 Business Plan were submitted to DFP 7/08/14 for consideration at official level WI 2013 Budget and Business Plan is with DFP Minister for approval and will then need to be approved at a future NSMC meeting.</u></p> <p>1.3. A revised FM for N/S Bodies is currently in progress, Martina Campbell (Autumn 2014)</p> <p>2.4. Quarterly Assurance Statements (QAS) have been introduced in the N/S Bodies Language Body and isare</p>	M	L-M

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Corporate Risk Register – September 2014 Update

			<ul style="list-style-type: none"> Greater focus is now being placed on monitoring & reporting against business plan targets. Accountability meetings are regularly held, dependent on risk assessments. Annual & In Year Assurance Statements prepared by Department and ALBs A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. EQA of ALB Internal Audit Functions performed Rolling programme of attendance by ALBs at Departmental Board meetings 			<p>expected to be embedded by Autumn 2014 (Martina Campbell). <u>WI QAS for the period April to June 2014 was received by the Department in August 2014. (Martina Campbell)</u></p> <p>3-5. SLA agreed in July for WI. Language Body SLA in discussion. As with N/S bodies to be agreed (Martina Campbell, Autumn 2014)</p> <p>4-6. Monitor the revised procedures implemented as a result of the 'Review of Governance' project (GMcA Ongoing)</p> <p><u>7. Gaps in compliance with 2013 Code and action plan to be brought to the Dept Board (DB Sept 2014) Improvements will then be implemented against the 2013 Code by March 2015</u></p> <p><u>5-8. Sponsorship Guide is currently under review to ensure it is in line with best practice.</u></p>		
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

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Corporate Risk Register – September 2014 Update

2. Insufficient Budget results in failure to deliver key Departmental Priorities								
Risk Owner: ALL								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities <u>and to maintain existing front line services.</u></p> <p>CAUSE: Additional funding not secured for new work streams including City of Culture Legacy and TBUC</p> <p>1. <u>Commitments made on individual projects that cannot be met from baseline and not met through in year monitoring.</u></p> <p><u>Potential cut to resource budget in 14/15 of 6% overall. Risk of cuts in 2014/15.</u></p> <p><u>45 Potential cut to resource budget in 15/16 of 10-15% 46 Budget exercise results in cuts to Department's allocations</u></p> <p>CONSEQUENCES: Failure to deliver key priorities including PETPSE, City of Culture</p>	H	H	<ul style="list-style-type: none"> • <u>Zero Based Budget has provided transparency across business areas on the allocation of funding against priorities, programmes and projects. This will help inform decisions on where cuts can be made with least impact on priorities.</u> • <u>Planning exercise on accommodating cuts of 4.4% in 14/15 complete.</u> • <u>An initial planning exercise for 15/16 has also taken place, looking at the impact of cuts between 2 and 4%. 15/16 budget bid and allocations. A planning exercise is in progress which looks at the consequences of cuts of 2-6% in resource budgets in 15/16.</u> • <u>Continue to use monitoring rounds to attempt to secure additional resources. 14/15 budget will continue to be closely monitored and reported to the board with opportunities for additional funding</u> 	H	H	<ol style="list-style-type: none"> 1. <u>Make bids in 14 October monitoring to cover inescapable pressures. 45 Monitoring Rounds to manage pressures caused by slippage on 13/14 projects and to secure additional funding to deliver key Departmental Priorities. (Finance Branch, Sept 14)</u> 2. <u>Commission further planning exercise for 14/15 to accommodate potential additional cut of 1.6%. Monitoring round is still to be agreed: current proposals call for cuts in year and do not support all of DCAL's bids. Use outcome to agree on where cuts can be imposed with least impact on priorities. Obtain Ministerial approval (Finance Branch, Oct 14)</u> 3. <u>Arrange for Budget transfer from DE: engage with DFP on mechanism and any requirement for approvals. (Finance Branch, Sept 14)</u> 2. <u>Complete business case for CoC Legacy which is acceptable to DE.</u> 4. <u>Commission further planning exercise for</u> 	H	H

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<p>Legacy and TBUC <u>and to maintain existing front line services across all business areas.</u></p> <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>		<p>secured through monitoring rounds.</p> <ul style="list-style-type: none"> Minister has also been alerted to pressures in 14/15 and in 15/6. Her engagement necessary as we <u>decide where cuts will fall.</u> <u>Explore option of using transferred budget from DE to fund Legacy work with emphasis on educational outcomes. Evidence will continue to be collected on our delivery against PEPSE to support future bids to DFP.</u> <u>Engagement with Supply on management of specific pressures.</u> 		<p><u>15/16 which considers the impacts of cuts in the higher range (10-15%). Use outcome to:</u></p> <ul style="list-style-type: none"> <u>Agree on where cuts can be imposed with least impact on priorities (with Ministerial approval)</u> <u>Assess additional budget required in year to fund staff severance if required</u> <u>Assess long term effects on capacity</u> <u>Prepare for bilateral and consultation exercise. (Finance Branch Oct 14)</u> <u>3. Precautionary planning has begun to manage budget cuts and existing pressures. We may need to delay/postpone spend in some areas to ensure priorities are met. This will need Ministerial approval.</u> <u>4. Detailed plan for 15/16 reflecting key priorities, to be produced once agreed by the Executive and commissioned by DFP. (Michael O'Dowd/ Date TBC)</u> <u>5. Business Cases are being developed for City of Culture Legacy and TBUC. Additional funding to be sought from the Executive in 14/15 but CoC bid has not so far received support.</u> <u>6. Secure DFP approval for a new company to deliver City of Culture Legacy</u> <p>Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.</p>	
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Previous Month's Risk Rating:	H	H		H	H		H

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3. Insufficiently Skilled staff / Insufficient number of skilled staff										
Risk Owner: Deborah Brown										
Risk & Budgetary Context	Consequences		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business 	H	MH/M			<ul style="list-style-type: none"> Managing Resources meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, and succession management i.e. taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan 	M	M	<p>The need for any further action is being considered, to ensure individuals in post have the required skills to deliver business objectives within their areas. <u>Action delayed due to lack of resources. New deadline November 2014</u> (Hilary Harbinson September 2014)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC. Bids will be made in June Monitoring See action on risk 2. Outcome will impact on this risk. <u>Following the outcome of June Monitoring, all vacancies will require SMT approval of business case to fill.</u> (Business areas and SMT, June 2014)</p> <p>Terms of reference for Managing Resources Committee to be prepared (Hilary Harbinson – September 2014) <u>Draft TOR presented to Managing resources Committee August 2014. Revised TOR to be</u></p>	M	M

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Corporate Risk Register – September 2014 Update

<p>objectives</p> <ul style="list-style-type: none"> reputational damage Disengaged staff. <p>BUDGETARY CONTEXT:</p>			<p>prepared set out the training needs identified to build staff skills and knowledge.</p> <ul style="list-style-type: none"> Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. Line managers confirm through the Performance management system that staff are performing effectively Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 			<p><u>presented and signed off by Committee at next meeting scheduled for 6 October 2014.</u></p> <p>Utilise Business Partnering to discuss with Senior Managers resourcing implications and potential solutions (Tom Hamilton/Hilary Harbinson – September 2014) <u>Ongoing. And Managing resources committee meetings held regularly .</u></p> <p>FED Roadmap is being developed (Tom Hamilton/Hilary Harbinson - October 2014) <u>Draft Road map of future training opportunities to be presented to Staff engagement Forum on 4th Sept., To be signed off by SMT in October.</u></p>		
Previous Month's Risk Rating:	H	MH/M		M	M		M	M

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Corporate Risk Register – September 2014 Update

4. Failure to Deliver PETPSE								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by DCAL/ ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process. 	H	H	<ul style="list-style-type: none"> The DCAL Mission Statement and 2014/15 Business Plan prioritises the PETPSE agenda. A PETPSE Board and interim Strategic Delivery Division (SDD) established. PETPSE Monitoring Working Group shares research and statistics across DCAL. Reporting on PETPSE is an integral part of ALB Accountability meetings. PETPSE Champions appointed. External engagement includes Roadshows, case-studies and media and on-line promotion. Staff conference delivered on PETPSE Theme. Learning Forum Awards event focused on PETPSE. Social Clauses event delivered along with report. 	M	M	<p>1. Enhance internal and external communication initiatives – initial steps include roll-out of ‘School’s Out’ and ‘Back to School’ campaign (SDD and Comms team – June and August 2014):</p> <p>2.1. Reinvigorate the PETPSE Champion role and staff engagement mechanisms – (Paul Gamble, September 2014)</p> <p>3.2. 5 Roadshows to enhance engagement with social partners/ communities (Paul Gamble, by March 2015)</p> <p>4.3. Engagement with PHA and voluntary sector to support joint working (SDD, by March 2015)</p> <p>5.4. Launch revision of DCAL Learning Strategy. (SDD, by September 2014)</p> <p>6.5. Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West (SDD, ongoing).</p>	L-M	L-M
Previous Month’s Risk Rating:	H	H		M	M		L-M	L-M

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5. Failure to deliver City of Culture legacy for the North West								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which will build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES: 1. <u>Failure to deliver key Ministerial Commitments</u> 2. <u>Reputational Damage</u></p> <p>BUDGETARY CONTEXT: <u>Bid to Executive in progress</u></p>	H	H	<ul style="list-style-type: none"> • <u>Minister announced her strategic vision for City of Culture legacy in the NW region in November 2013.</u> • <u>Work has been initiated to plan implementation of the Minister's strategic vision for the region.</u> • <u>A draft business case has been submitted to DFP.</u> • <u>A DCAL North West Office has been established in Derry. It is based in Orchard House.</u> • <u>A bid to June Monitoring was submitted for the 2014/ 15 financial year to support the North West in tackling poverty, social exclusion and inequality. Whilst the outcome of the June Monitoring Round was not as successful as hoped, it is possible that some additional funding can be secured in October which will allow greater</u> 	H	M	<ol style="list-style-type: none"> 1. Business case to be finalised and agreed with DE to set out a joint project targeting educational outcomes and community development in the North West. (Joanna McConway, September 2014). 2. Establish a Ministerial led NW Stakeholder Group to inform community approaches to CAL activities- (JMcC, October 2014) 3. Establish a DCAL led Cultural Oversight Group. (JMcC. October 2014) 	M	M

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				potential to build on the initiatives to be developed further as part of the City of Culture legacy.						
Previous Month's Risk Rating:	H	H			H	M			M	M

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6. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET									
Risk Owner: CYNTHIA SMITH									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature.</p> <p>CONSEQUENCES: Reputational Damage Non achievement of objectives Loss of public confidence</p> <p>BUDGETARY CONTEXT: Total Capital Budget Allocation over CSR period = £110m</p>		H	H	<p>Casement Park</p> <ul style="list-style-type: none"> JR Challenge- MORA <p>Hearing set for 9-12th September, release of information requested by MORA legal reps being released in a timely manner by DCAL/UCGAA to ensure any unnecessary delays are avoided.</p> <ul style="list-style-type: none"> Relocation of Social Club <p>GAA liaising with social club members to agree on suitable replacement facilities for usage throughout construction phase and facilities within new stadium.</p>	H	H	<p>Continue to liaise with NI Courts to ensure hearing is heard in September. (R. Miskelly – Ongoing)</p> <p>Stadium Team to ensure GAA release information they hold in a timely manner. (R. Miskelly – Aug 14)</p> <p>Discussion between GAA and Social Club members to continue on daily basis to ensure agreement on proposals. (R.Miskelly- Oct 2014)</p>	H-M	L-M

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<p><u>RISK:</u> Failure to deliver Regional Stadia on time and to budget</p> <p><u>CAUSE:</u> Inherent risks associated with large capital projects of this nature, especially;</p> <ul style="list-style-type: none"> • Failure to approve legal sign offs of conditions precedent and deed of amendment (Casement). • Potential for procurement challenge. (Ravenhill, Casement and Windsor) • JR lodged with courts by residents association (MORA) around GAA planning decision (14/4/14) • Failure to secure safety certification and a 38,000 capacity at the Casement Park stadium • Achieving a clear site at Casement Park. Relocation of social club 				<ul style="list-style-type: none"> • <u>Governance- Skills deficit within GAA Team</u> <p>Stadium Team working closely with GAA to provide necessary skills to supplement their existing team- Skills Gap identified and plans in place to recruit suitable individual</p> <ul style="list-style-type: none"> • <u>Legal Sign Offs</u> <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks.</p> <p>Regular meetings between DCAL/GAA and solicitors being held.</p> <p><u>Casement Park/Kingspan Stadium and Windsor Park</u></p> <ul style="list-style-type: none"> • <u>Failure to achieve safety certification at required capacity</u> <p>Stadium Team are liaising with and co-ordinating the UCGAA/IFA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detailed dialogue and risk review workshops to ensure each stadium</p>			<p><u>Recruitment Exercise to be started to recruit a Project Director for GAA. (R.Miskelly – December 14)</u></p> <p><u>Deed Of Amendment to Funding Agreement to be finalised and agreed (R.Miskelly- Sept 14)</u></p> <p><u>Conditions Precedent to be close out (R.Miskelly- Sept 14)</u></p> <p><u>Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement/Windsor) (R.Miskelly – Ongoing)</u></p> <p><u>Programme Operational Forum to be established to share best practice and ensure</u></p>		
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Corporate Risk Register – September 2014 Update

<p>Failure to ensure effective governance and management of the programme.</p> <ul style="list-style-type: none"> Failure to achieve the desired benefits from the programme. 				<p><u>can achieve their required holding capacity.</u></p> <p><u>Stage approvals are subject to acceptance of the scheme by the STG.</u></p> <ul style="list-style-type: none"> <u>Procurement Challenge</u> <p><u>Continued involvement of CPD during procurement stages</u></p> <ul style="list-style-type: none"> <u>Financial- Failure to achieve spend within agreed timeframes</u> <p><u>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme Board/Sponsor board (Ongoing)</u></p> <ul style="list-style-type: none"> <u>Non achievement of objectives</u> <p><u>Regular review at PSG and PB meetings. Reports tabled on social clause returns and other benefits</u></p>			<p><u>consistency of approach to safety technical mitigation measures (R.Miskelly- Ongoing)</u></p> <p><u>Liaison with GAA and PSNI to look at probability of events that may affect emergency evacuation. (R.Miskelly- Ongoing)</u></p> <p><u>Regular meeting with CPD on procurements (R. Miskelly – Ongoing)</u></p> <p><u>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Stadium Team- Ongoing)</u></p> <p><u>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend. (Stadium Team – Ongoing)</u></p> <p><u>Regular updates to be obtained from IST and</u></p>		
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<ul style="list-style-type: none"> Failure to achieve spend within agreed timeframes. Failure to ensure fit of project costs to agreed budget. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Potential for significant cost over-runs; Non achievement of objectives and Reputational damage to the Department. <p>BUDGETARY CONTEXT: Allocation for 2013/14 as at January Monitoring Round = £11.8m</p> <p>Total Capital Budget Allocation over CSR period = £110m</p>				<p>within BRP.</p> <p>DCAL Governance of Programme</p> <p><u>Schedule of Sponsor Board and Programme Board meetings in place to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (Ongoing)</u></p> <p><u>Programme risk management strategy in place and being implemented.</u></p> <p><u>Recommendations arising from project health checks/gateway review being implemented.</u></p> <p><u>Implementation of any NIAO & internal Audit Recommendations.</u></p> <ul style="list-style-type: none"> Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks. Regular meetings between DCAL, GAA and solicitors to be scheduled Continued involvement with CPD during procurement stages. IST Appointments for GAA & IFA were made in December 2013. 			<p><u>GB's (R.Miskelly – Ongoing)</u></p> <p><u>Programme Director has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</u></p> <p><u>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Ongoing)</u></p> <p><u>Weekly meetings scheduled to close legal issues out. (Casement) (OCT 2014)</u></p> <p><u>Regular updates to be provided by UCGAA in relation to negotiations with MORA. Full JR hearing has been set for September. Continue to liaise with NI Courts to ensure hearing is held in September. GAA considering carrying out early enabling works in Summer months. DCAL will consider GAA's proposal and consider approval through Programme Board. Continue to liaise with DFP in relation to impact on spend caused by JR. Issues on challenges to planning are dealt</u></p>		
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Corporate Risk Register – September 2014 Update

			<ul style="list-style-type: none"> • Planning Approval for Casement received on 18/12/13. UCGAA are liaising with MORA around JR. Negotiations are ongoing to get JR lifted. Full JR hearing has been set for September 2014. There is the potential for this to be delayed to December due to delay in submission of affidavits by DOE. • The evolution of the design has been subject to a rigorous process of design review by the Sport NI Safety Technical Group (STG) on behalf of the department. This has established that normal exit strategy for the full 38,000 capacity is in compliance with Green Guide Version 5. Further ongoing work underway to establish measures to address emergency evacuation in the event of an external incident that affects normal exiting. (Casement) • Stage approvals are subject to acceptance of the scheme design by the STG (Casement/Windsor) <p>Currently, in detail dialogue with PSNI to establish a risk profile (based on historic data) to establish the</p>		<p>with by way of conditions precedent in the Funding Agreement to GAA. (Ongoing)</p> <p>Stadium Team are liaising with and coordinating the UCGAA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detail dialogue and risk review workshops to ensure the Casement Park stadium can achieve a 38,000 spectator safe holding capacity. (Ongoing)</p> <p>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures. (Ongoing)</p> <p>Discussions between GAA & Social Club members to continue on daily basis to ensure agreement on proposals.</p>		
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Corporate Risk Register – September 2014 Update

			<p>probability of potential incidents that may affect emergency evacuation (Casement)</p> <ul style="list-style-type: none"> • Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement) • GAA liaising with social club members to agree on suitable replacement facilities for usage throughout construction phase and facilities within new stadium. • • Monthly Sponsor Board meetings (programme & project sponsorship). • Monthly Programme Board Meetings (Assurance Meetings). • Programme risk management strategy in place and being implemented. • Recommendations arising from project health checks/gateway review being implemented. • Implementation of any NIAO & internal Audit Recommendations. • New programme SRO now appointed. • BRP template in place for each project. FBC consultants appointed for all projects. 		<p>Fulltime support obtained from SIB. SIB advisor has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</p> <p>Schedule of Sponsor Board and Programme Board meetings in place to ensure ongoing sponsorship, risk management, assurance and programme delivery arrangements. (Ongoing)</p> <p>Programme Plan & Project Activity Schedules in place. Progress monitored at all programme Board & Project Board meetings (Ongoing)</p> <p>Programme Benefits Realisation Plan will now be developed following submission of project benefit Plans (June 2014)</p> <p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend profile (Ongoing)</p> <p>Project Budget reports provided at all design stages review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme board/Sponsor board (Ongoing)</p>	
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Corporate Risk Register – September 2014 Update

				<ul style="list-style-type: none"> • IRFU UB/IFA & UCGAA – BRP & FBC in-place • Review of spend profiles. Easements to be declared through monitoring rounds. • Review of project budgets at Project Boards & Project Steering Group's. 					
Previous Month's Risk Rating:		H	H					H-M	L-M

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Corporate Risk Register – September 2014 Update

7. Interruption to Business									
Risk Owner: Deborah Brown David Carson									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>		H	H	<ul style="list-style-type: none"> • Draft Business Continuity Plan prepared which covers Flood Risks and Flu Pandemic Plan • Persons required to manage and maintain the plan are named and responsibilities listed in their PPAs. • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • PRONI Emergency Plan for Archives Emergency Plan for Archives tested and maintained <ul style="list-style-type: none"> • Fish Farm Management Plan for Bushmills and Movanager 	L-M	M	<p>Draft PRONI Business Continuity plan to be finalised as part of the overall DCAL Business Continuity Plan (BCP) and to be validated through an off site test (Heather Stanley Sept 2014)</p> <p>PRONI Emergency Plan for Archives and the Fish Farm Management Plan for Bushmills and Movanager to be included as appendices to the DCAL Business Continuity Plan</p> <p>Fish Farm Management Plan to be validated (Seamus Connor)</p> <p>ALB Drawdowns Continuity Plan to be tested off site (MO'D xxx)Sept 2014</p> <p>DCAL BCP to be endorsed by owner, SMT and DCAL Board (Pat Wilson xxx)</p>	L-M	L-M

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Corporate Risk Register – September 2014 Update

Previous Month's Risk Rating:	H	H	L-M	M	L-M	L-M
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8.Failure to make official records available to the public								
Risk Owner: Maggie Smith								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under new FOIA consultation process. Further files issued for consultation <u>on a weekly basis</u> Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). <u>Launched 29 May</u> 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Quarterly Reporting on FOIA/DPA to the Information Commissioner's Office (ICO) – December 2014 2. Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA; Draft prepared. To be finalised – 31 July 2014 – <u>This has been deferred as a new process is being developed</u> 3. Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 January-March 2015 4. Publish in the PRONI catalogue, 5000 interment files – 31 March 2015 <u>This has been deferred to concentrate on progressing requests</u> 5. Provide revised monthly report to DCAL Board on FOIA/DPA conflict related requests 	M	M

Corporate Risk Register – September 2014 Update

			<p>•Monthly reporting to the DCAL Board and quarterly reporting to OFMDFM on FOIA</p> <p>Access to internment <u>files progressing files being progressed - Files being issued for consultation every 10 days and a group of files released to applicants.</u></p> <p><u>Weekly update on PRONI files being provided to the Minister</u></p>			<p>–31 July 2014</p> <p><u>4. Release of 1985 files by 31 August – completed</u></p> <p><u>5. Development of non-FOI process. Meetings have taken place with a number of solicitors and representative groups about the proposed process and advice to be provided to the Minister – 30 September</u></p> <p>Assignee: David Huddleston</p>		
Previous Month's Risk Rating:	M	M-H		M	M		M	M

Corporate Risk Register – September 2014 Update

9 SUB-REGIONAL STADIA								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large capital programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Failure to achieve the necessary political agreement required from the Executive to make the programme happen. • Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. • Failure by Governing Bodies to ensure effective governance • Failure to secure the necessary budget/resources and/or skills 	H	H	<ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed;</p>	H	H	<p>Capital Programme bid to be submitted</p> <p>Outline actions to be taken</p> <ul style="list-style-type: none"> • <i>Recruit Programme Director by June 2014 - DCAL & SIB</i> • <i>Programme Scoping by October 2014 – by Programme Director</i> • <i>Establishing need, OBC, Grant Programme Design / documentation etc) by April</i> 	M	M

Corporate Risk Register – September 2014 Update

<p>required to deliver the programme;</p> <ul style="list-style-type: none"> • Failure to manage expectations of the sports and clubs around available funding; • Insufficient capacity within Clubs to deliver; • Failure to meet timelines prescribed within the programme plan; • Failure to achieve the desired benefits from the programme; and • Failure to maximise the impact of the new Regional stadia. <p><u>CONSEQUENCES:</u></p> <ul style="list-style-type: none"> • Loss of public confidence, • Loss of needed sports development • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p><u>BUDGETARY CONTEXT:</u> Total 2014/15 Resource Budget Allocation = £0.582m</p> <p>Total 2014/15 Capital Budget Allocation = £85.1m</p>		<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>		<p>2015</p> <ul style="list-style-type: none"> • <i>Announce Programme April 2015</i> <p><u>Implementation July 2015 - December 2017</u></p>		
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Corporate Risk Register – September 2014 Update

Previous Month's Risk Rating:	H	H		H	H		M	M
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Corporate Risk Register – September 2014 Update

10 Together: Building a United Community									
Risk Owner: G5									
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
	Imp	Like		Imp	Like		Imp	Like	
<p>RISK:</p> <p>Failure to <u>adequately design and deliver the DCAL signature programme headline action under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</u></p> <p>CAUSES: Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • <u>Lack of political approval for the design proposal for the pilot and wider programme. Failure to achieve the necessary political agreement required from the Executive to make the programme happen.</u> • <u>Delivery agents and partner organisations have insufficient capacity to design and deliver the programme</u> 	H	H	<p>• <u>Measures will be built into the design of this programme to mitigate the potential threats such as :-</u></p> <p><u>Regular engagement with Spad. Attendance at Ministerial Panel and Good Relations Programme Board. Engagement at official level across TBUC actions.</u></p> <p><u>Sustained engagement with community groups.</u></p> <p><u>Funding secured in June Monitoring for pilot project. Programme Manager seconded from SIB to deliver pilot project. Utilisation of expertise of Sport NI as key delivery partner. Engagement with expert stakeholders.</u></p> <p><u>Building capacity in the communities across governance, community confidence and even management</u></p>	H	H	<p>Next steps:-</p> <p><u>Focused consideration of design proposal with community groups. Targeted consultation with good relations experts on pilot delivery. Explore possibility of workshop with young people to get end user feedback.</u></p> <p><u>Establish a budget monitoring process, governance structures and reporting mechanisms for distribution of funding.</u></p> <p><u>Further analysis of pilot costs – to be informed by ongoing engagement and move to implementation.</u></p> <p><u>Appointment of Community Coordinators. Consideration of different marketing and engagement approaches e.g. schools, youth clubs, taster sessions to recruit participants</u></p> <p><u>Consideration of design of bespoke good relations/TBUC training for coaches and young leaders.</u></p>	H-M	M-H	

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Corporate Risk Register – September 2014 Update

<ul style="list-style-type: none"> Failure to identify and adequately consult with key stakeholders in the design of the programme. Failure by funded bodies and delivery organisations to ensure effective governance Failure to secure the necessary budget, resources, and/or skills or expertise required to deliver the programme; Failure to manage expectations of the sports and clubs around available funding; around pilot and programme delivery; Programme fails to attract and/or retain sufficient participants to meet objectives or value for money; Insufficient good relations focus from frontline delivery agents (coaches and young leaders); Pilot project not scalable for roll out in terms of cost/logistics; Programme unsustainable by communities in the long term; Duplication or competition with existing sporting and good relations programmes; Good relations interventions are ineffective; Failure to meet timelines prescribed within the programme plan; Failure to achieve the desired 		<p>through roll out of pilot project.</p> <p><u>Sustainable Good Relations deliverables built into the design of the programme. Monitoring and measurement of good relations objectives central to pilot design.</u></p> <p><u>Identification of risks and escalation of high level risks to Programme Board. Project Management structures, including a Programme Board and Programme Team, and documentation in place.</u></p> <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Safeguarding requirements and strong mentoring built into the programme design and delivery; Identify appropriate delivery mechanism and resources;</p> <p>A June monitoring bid has been submitted to DFP which sets out the funding requirements to take forward the pilot programme. Establish a Budget monitoring process; Establish governance structures and reporting mechanisms; Produce Project Plan for delivery within and between specified action zones;</p>		<p><u>Ongoing engagement with Sport NI to explore synergies with existing programmes.</u></p> <p><u>Development of detailed implementation plan. Development of a benefits realisation plan. Identification and mitigation of emerging risks as pilot develops.</u></p> <p><u>All above actions assigned to Johnny Davis/Kevin Hamill and targeted for completion in Sept/Oct 2014.</u></p> <p>1. Development and agreement of a design proposal and implementation plan; (Project Design and Project Management workshops set for 24 & 29 July)</p> <p>2. Identify and secure funding, resources and skills (includes preparation of bids for next CSR period);</p> <p>3. Ministerial, Special Adviser and official level engagement with OFMdFM colleagues as appropriate;</p> <p>4.</p> <p><u>Fully engage with community groups, sporting organisations and governing bodies on design proposal following approval.</u></p>	
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Corporate Risk Register – September 2014 Update

<p>benefits from the programme; and</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Loss of public confidence <u>in idea of further roll out of cross community youth sports programme,</u> Loss of <u>needed sports development public confidence in the Executive's TBUC Strategy</u> <u>non-achievement of objectives;</u> political consequences for Minister and reputational damage to the Department. <u>Reduced sustainable A negative impact on good relations benefits</u> <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = <u>£99.216m250k</u></p> <p>Total 2014/15 Capital Budget Allocation = <u>£90.334m20k</u></p>				<p>Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; <u>Development of a benefits realisation plan;</u> <u>Identify emerging risks as programme rolls out and mitigate; and</u> <u>Escalate high level risks to Programme Board when appropriate.</u> <u>Build sustainable Good Relations deliverables within the design of the programme.</u></p> <p><u>A task and finish group has taken forward the establishment of governance and project management structures for the programme, defined roles and responsibilities within the programme planning and delivery, and progressed the PID and business case. A Programme Board has been established and will continue and finalise the development of the PID and the business case while overseeing the refinement of the design proposal and the development of the implementation plan. Sport NI is represented on this Programme Board.</u> <u>A Programme Team has been set up to consider the programme content and route to delivery. This working group will report to the Programme Board</u></p>		<p>5. <u>Ongoing engagement with Sport NI to explore synergies e.g. with Young Leaders and Active Communities programmes.</u></p> <p>— — —</p> <p>1. <u>Proposals are currently being discussed by OFMDFM and DCAL Special Advisers. Target dates will be added when further clarity on the design proposal has been obtained.</u></p>		
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Corporate Risk Register – September 2014 Update

				<p>Engagement has also taken place with community groups within the action zones and sporting and other funded organisations. This will inform the development of the design proposal and implementation plan.</p> <p>A number of exploratory meetings have taken place with other Departments to identify synergies and potential for cooperation and shared practices.</p>					
Previous Month's Risk Rating:		H	H		H	H		H	H

Corporate Risk Register – September 2014 Update

11 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister secured support in principle from other Executive Ministers for the aims of the GQP. Interim reporting dashboard for projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. 3 Forbait Feirste based support staff to-assisting delivery of the programme on a full time basis from 1 July 2014 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements currently under consideration and officials are liaising with, BCC and and Forbairt Feirste- A Scott Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott <p>Work ongoing to develop draft programme documentation and priorities for consideration and approval by Programme Steering Group. The draft programme is being re scoped to initially focus on fewer priorities and those requiring minimal resourcing to deliver benefits. 30 August 2014. Arthur Scott .</p> <ol style="list-style-type: none"> Agree lead role for programme manager. Option to use BCC Programme Management expertise exists. This offer has not been implemented owing to delay in advancing the projects. To be 	M	L-M

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Corporate Risk Register – September 2014 Update

<p>The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>						<p>revisited following the outcome of June Monitoring Arthur Scott</p> <p>4. Research EU funding opportunities as a means of financing some aspects of the programme. Damien Rea.</p> <p>5. <u>Bids have been made in monitoring rounds for the Cumann Chluain Árd project – the refurbishment of the educational community facility in the Gaeltacht Quarter and for the Aras na bhFál project – the development of an Irish language hub on the corner of Broadway and Falls Road. Damien Rea</u></p>		
<p>Previous Month's Risk Rating:</p>	M-H	M-H		M-H	M		M	L-M

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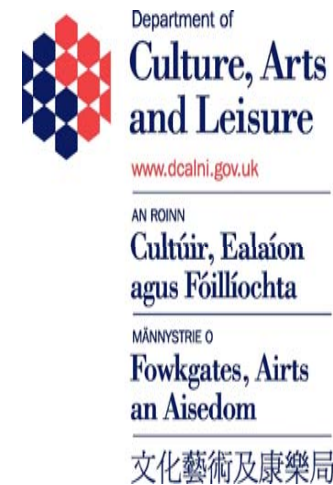
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Corporate Risk Register – September 2014 Update

12 Infrastructure failure Waterways Ireland								
Risk Owner: Arthur Scott								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure.</p>	M-H	M	<p>WI to ensure an optimum balance between reactive and planned preventive maintenance taking account of the available resources.</p> <p>The CEO is developing radical efficiency proposals for consideration by a future NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new review and increased revenue flows from lock charges is also being considered.</p>	M	M

Corporate Risk Register – September 2014 Update

Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	M	



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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 October Update

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to deliver Regional Stadia on time and to budget	H	H	25
7	Interruption to Business	M	L-M	6
8	Failure to make official records available to the public	M	M	9
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25
10	Inability to deliver TBUC	H	H	25
11	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12

Corporate Risk Register – October 2014 Update

12	Infrastructure failure Waterways Ireland	M-H	M	12
13	Failure to Establish Ulster-Scots Academy or Secure Academy Budget post March 2015	H	M	15

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management		Open* (averse)
Compliance – Legal/Environmental		Averse (averse)

*However a cautious approach will be adopted in relation to some areas eg. Management of sensitive information

Version Control:

	Date of Completion
Last reviewed by Board/Director	16/09/14
Next review by Board/Director	21/10/14
Last reviewed by Audit Committee (if applicable)	11/09/14

Corporate Risk Register – October 2014 Update

1. INADEQUATE GOVERNANCE CONTROLS								
Risk Owner: David Carson DEBORAH BROWN								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs N/S Sponsorship Manual in place ALB risk assessments updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. Greater focus is now being placed on monitoring & reporting against business plan targets. 	M	M	<p>1. Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide Philip Spotswood (August-Autumn 2014).</p> <p>2. Language Body Business Plan for 2013 with Minister for approval. and Waterways Ireland (WI) Language Body Business Plans for 2014 Business Plan were submitted to DFP 7/08/14 for consideration at official level WI 2013 Budget and Business Plan is with DFP Minister for approval and will then need to be approved at a future NSMC meeting, and 2015 agreed by DCAL officials. Awaiting confirmation from DAHG that they are content with translation amendments To be forwarded to DFP for officials to agree. Target date to DFP 24/10/14. Martina Campbell.</p> <p><u>WI 2015 Business Plan</u></p>	M	L-M

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Corporate Risk Register – October 2014 Update

		<ul style="list-style-type: none"> Accountability meetings are regularly held, dependent on risk assessments. Annual & In Year Assurance Statements prepared by Department and ALBs A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. EQA of ALB Internal Audit Functions performed Rolling programme of attendance by ALBs at Departmental Board meetings <u>QAS in place in WI since June 2014.</u> <u>SLA in place for WI for 2014 business year.</u> 			<p><u>agreed by DCAL officials awaiting approval from DAHG Sponsor depts to issue to DFP by 8/10/14. Martina Campbell</u></p> <p>2.</p> <p>3. A revised FM for N/S Bodies is currently in progress <u>by Finance Departments.</u> Martina Campbell (Autumn 2014 Ongoing)</p> <p>4. Quarterly Assurance Statement (QAS) has been introduced in the Language Body <u>the 1st return is expected by 23 Oct 2014, and is expected to be embedded by Autumn 2014 WI QAS for the period April to June 2014 was received by the Department in August 2014. (Martina Campbell)</u></p> <p>5. SLA agreed in July for WI. Language Body SLA under in discussion. Martina Campbell, expected completion Autumn 2014) 31 Oct 2014.</p> <p>5. <u>Martina Campbell</u></p> <p>6. Monitor the revised procedures implemented as a result of the 'Review of Governance' project (GMcA Ongoing)</p> <p>7. Gaps in compliance with 2013 Code and action plan to be brought to the Dept Board (- Sept 2014) Improvements <u>will then in compliance with 2013 Code will</u> be implemented against the 2013 Code by March 2015 (<u>GMcA</u>)</p>		
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Corporate Risk Register – October 2014 Update

						<p>8. Sponsorship Guide is currently under review to ensure it is in line with best practice <u>(GMCA, Nov 2014)</u>.</p> <p>9. <u>Grant Guidance being developed to provide a framework for all grant awards. This will ensure consistency in approach across the department (GMcA March 2015)</u></p> <p>10. <u>Review of governance arrangements around grant payments from the Dept to ACNI and SNI and subsequent grants to 3rd parties. Draft ToRs being developed. Arthur Scott</u></p>		
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

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Corporate Risk Register – October 2014 Update

2. Insufficient Budget results in failure to deliver key Departmental Priorities								
Risk Owner: ALL								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities and to maintain existing front line services.</p> <p>CAUSE:</p> <ol style="list-style-type: none"> 1. Additional funding not secured for new work streams including City of Culture Legacy through in year monitoring. 2. Agreed Potential cut to resource budget in 14/15 of 4.46% overall.. 3. Potential cut to resource budget in 15/16 of 10-15% <p>CONSEQUENCES: Failure to deliver key priorities including PETSSE, City of Culture Legacy and TBUC and to maintain existing front line services across all business areas.</p>	H	H	<ul style="list-style-type: none"> • Zero Based Budget has provided transparency across business areas on the allocation of funding against priorities, programmes and projects. This will help inform decisions on where cuts can be made with least impact on priorities. • Planning exercise on accommodating cuts of 4.4% in 14/15 is complete. • An initial planning exercise is taking place to examine a range of budget issues for 15/16 has also taken place, looking at the impact of cuts between 2 and 4%. Continue to use monitoring rounds to attempt to secure additional resources.. • Minister has been alerted to pressures in 14/15 and in 15/6. Her engagement necessary as we decide where cuts will fall. • Explore option of using transferred budget from DE to fund Legacy work with emphasis on educational outcomes. • Engagement with Supply on management of specific pressures. 	H	H	<ol style="list-style-type: none"> 1. Make bids in October monitoring bids to cover inescapable pressures submitted to DFP in Oct 2014-Sept. Executive due to sit 23 Oct to decide outcome. SMT Finance Committee are actively seeking alternative ways to manage pressures on the Dept (Finance Branch, Sept/Oct 14) 2. Commission further planning exercise for 14/15 to accommodate potential additional cut of 1.6%. Use outcome to agree on where cuts can be imposed with least impact on priorities. Obtain Ministerial approval. (Finance Branch, Oct 14) 3.2. A bid has been placed in Oct 2014 monitoring range for Budget transfer from DE: still to engage with DFP on mechanism and any requirement for approvals confirm with DE DFP vires through which this can happen. (Finance Branch, Oct/Sept 14) 4.3. Dept have commissioned further planning exercise for 15/16 which considers the impacts of cuts in the higher <p>Complete business case for CoC Legacy which is acceptable to DE.</p>	H	H

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Corporate Risk Register – October 2014 Update

						<p>range (10-15%). <u>Early indications suggest 14% min.</u> Use outcome to:</p> <p>Agree on where cuts can be imposed with least impact on priorities (with Ministerial approval)</p> <p>Assess additional budget required in year to fund staff severance if required.</p> <p>Assess long term effects on capacity Prepare for bilateral and consultation exercise.(Finance Branch Oct 14)</p> <p>Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.</p>				
Previous Month's Risk Rating:										
		H	H			H	H		H	H

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Corporate Risk Register – October 2014 Update

3. Insufficiently Skilled staff / Insufficient number of skilled staff								
Risk Owner: David Carson Deborah Brown								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business objectives reputational damage Disengaged staff. 	H	MH/M	<ul style="list-style-type: none"> HR Committee (formerly Managing Resources) meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, and succession management i.e. taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan prepared set out the training needs identified to build staff skills and knowledge. 	M	M	<p>The need for any further action is being considered, to ensure individuals in post have the required skills to deliver business objectives within their areas . Action delayed due to lack of resources. New deadline November 2014 (Hilary Harbinson / Tom Hamilton)</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC and the planning assumption of a 6% budget cut. Bids will be made in June Monitoring See action on risk 2. Outcome will impact on this risk. Following the outcome of June Monitoring, Currently, all vacancies will require SMT approval of business case to fill. (Business areas and SMT, June 2014)</p> <p>Terms of reference for HR Committee (formerly Managing Resources Committee) have been drafted and were presented to the Committee in August. to be prepared (Hilary Harbinson – September 2014) Draft TOR presented to Managing resources</p>	M	M

Corporate Risk Register – October 2014 Update

BUDGETARY CONTEXT:				<ul style="list-style-type: none"> Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. Line managers confirm through the Performance management system that staff are performing effectively Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. 			<p>Committee August 2014 Revised TOR to be presented and signed off by Committee at next meeting scheduled for 20th October before the end of October 6 October 2014. TOR to be endorsed by the Board in November xxx 2014. (Hilary Harbinson/Tom Hamilton)</p> <p>Utilise Business Partnering to discuss with Senior Managers resourcing implications and potential solutions (Tom Hamilton/Hilary Harbinson – September 2014) -Ongoing. And Managing resources HR committee meetings held regularly .</p> <p>FED Roadmap is being developed (Tom Hamilton/Hilary Harbinson - October 2014) Draft Road map of future training opportunities to be presented to Staff engagement Forum on 4th Sept, To be signed off by SMT in October.</p>		
Previous Month's Risk Rating:	H	MH/M		M	M		M	M	

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Corporate Risk Register – October 2014 Update

4. Failure to Deliver PETPSE								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by DCAL/ ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process. 	H	H	<ul style="list-style-type: none"> The DCAL Mission Statement and 2014/15 Business Plan prioritises the PETPSE agenda. A PETPSE Board and interim Strategic Delivery Division (SDD) established. PETPSE Monitoring Working Group shares research and statistics across DCAL. Reporting on PETPSE is an integral part of ALB Accountability meetings. PETPSE Champions appointed. External engagement includes Roadshows, case-studies and media and on-line promotion. Staff conference delivered on PETPSE Theme. Learning Forum Awards event focused on PETPSE. Social Clauses event delivered along with report. 	M	M	<ol style="list-style-type: none"> Reinvigorate the PETPSE Champion role and staff engagement mechanisms – (Paul Gamble, September <u>November</u> 2014) 5 Roadshows to enhance engagement with social partners/ communities (Paul Gamble, by March 2015) Engagement with PHA and voluntary sector to support joint working (SDD, by March 2015) Launch revision of DCAL Learning Strategy. (SDD, by September 2014) Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West (SDD, ongoing). 	L-M	L-M
Previous Month's Risk Rating:	H	H		M	M		L-M	L-M

Corporate Risk Register – October 2014 Update

5. Failure to deliver City of Culture legacy for the North West								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES: 1. <u>Failure to deliver key Ministerial Commitments</u> 2. <u>Reputational Damage</u></p> <p>BUDGETARY CONTEXT: <u>Bid to Executive in progress</u></p>	H	H	<ul style="list-style-type: none"> Minister announced her strategic vision for City of Culture legacy in the NW region in November 2013. Work has been initiated to plan implementation of the Minister's strategic vision for the region. A draft business case has been submitted to DFP. A DCAL North West Office has been established in Derry. It is based in Orchard House. A bid to June Monitoring was submitted for the 2014/ 15 financial year to support the North West in tackling poverty, social exclusion and inequality. Whilst the outcome of the June Monitoring Round was not as successful as hoped, it is possible that some additional funding can be secured in October which will allow greater potential to build on the initiatives to be developed further as part of the City of Culture legacy. 	H	M	<p>1. Business case to be finalised and agreed with DE to set out a joint project targeting educational outcomes and community development in the North West. (Joanna McConway, OctoberSeptember 2014).</p> <p>2. Establish a Ministerial led NW Stakeholder Group to inform community approaches to GAL activities- (JMcC, October November 2014)</p> <p>3.2. Establish a DCAL led Cultural Oversight Group- (JMcC, October November 2014)</p>	M	M

Corporate Risk Register – October 2014 Update

Previous Month's Risk Rating:	H	H		H	M		M

Corporate Risk Register – October 2014 Update

6. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET								
Risk Owner: CYNTHIA SMITH								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature.</p> <p>CONSEQUENCES: Reputational Damage Non achievement of objectives Loss of public confidence</p> <p>BUDGETARY CONTEXT: Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Casement Park</p> <ul style="list-style-type: none"> JR Challenge- MORA <p>Hearing set for started on the 9th September and scheduled to be completed by the 2nd October completed 13th October and is currently in the ruling period. Release of Various information requested by MORA legal reps being was released in a timely manner by DCAL/UCGAA to ensure any unnecessary delays are avoided.</p> <ul style="list-style-type: none"> Relocation of Social Club <p>GAA liaising with social club members to agree on suitable replacement facilities for usage throughout construction phase and facilities within new stadium.</p>	H	H	<p>Continue to liaise with NI Courts to ensure hearing is heard in September. (R. Miskelly - Ongoing)</p> <p>Stadium Team to ensure GAA release information they hold in a timely manner support GAA and contractor to submit planning application for social club as soon as JR is completed. (R. Miskelly - Aug/Oct 14-14)</p> <p>Discussion between GAA and Social Club members to continue on daily basis to ensure agreement on proposals. (R.Miskelly- Oct 2014)</p>	H-M	L-M

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Corporate Risk Register – October 2014 Update

				<ul style="list-style-type: none"> • Governance- Skills deficit within GAA Team <p>Stadium Team working closely with GAA to provide necessary skills to supplement their existing team- Skills Gap identified and plans in place to recruit suitable individual.</p> <ul style="list-style-type: none"> • Legal Sign Offs <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks.</p> <p>Regular meetings between DCAL/GAA and solicitors being held.</p> <p><u>Casement Park/Kingspan Stadium and Windsor Park</u></p> <ul style="list-style-type: none"> • Failure to achieve safety certification at required capacity <p>Stadium Team are liaising with and co-ordinating the UCGAA/IFA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detailed dialogue and risk review workshops to ensure each stadium can achieve their required holding capacity.</p> <p>Stage approvals are subject to</p>		<p>Recruitment Exercise to be started to recruit a Project Director for GAA. (R.Miskelly – December 14)</p> <p>Deed Of Amendment to Funding Agreement to be finalised and agreed <u>by end of October 2014</u> (R.Miskelly- <u>Sept-Oct</u> 14)</p> <p>Conditions Precedent to be closed out <u>by the end of October</u> (R.Miskelly- <u>Sept-Oct</u> 14)</p> <p>Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement/Windsor) (R.Miskelly – Ongoing)</p> <p>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures (R.Miskelly- Ongoing)</p>		
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Corporate Risk Register – October 2014 Update

		<p>acceptance of the scheme by the STG.</p> <ul style="list-style-type: none"> • Procurement Challenge <p>Continued involvement of CPD during procurement stages</p> <ul style="list-style-type: none"> • Financial- Failure to achieve spend within agreed timeframes <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme Board/Sponsor board (Ongoing)</p> <ul style="list-style-type: none"> • <u>Non achievement of objectives</u> <p>Regular review at PSG and PB meetings. Reports tabled on social clause returns and other benefits within BRP.</p> <p><u>DCAL Governance of Programme</u></p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and</p>		<p>Liaison with GAA and PSNI to look at probability of events that may affect emergency evacuation. (R.Miskelly- Ongoing)</p> <p>Regular meeting with CPD on procurements (R. Miskelly – Ongoing)</p> <p>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Stadium Team- Ongoing)</p> <p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend. (Stadium Team – Ongoing)</p> <p>Regular updates to be obtained from IST and GB's (R.Miskelly – Ongoing)</p> <p>Operational Forum to be set up to deal with key operational issues (R.Miskelly- Ongoing)</p>		
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Corporate Risk Register – October 2014 Update

			programme delivery arrangements. (Ongoing)					
			Programme risk management strategy in place and being implemented.					
			Recommendations arising from project health checks/gateway review being implemented.					
			Implementation of any NIAO & internal Audit Recommendations.					
Previous Month's Risk Rating:								
	H	H		H	H		H-M	L-M

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Corporate Risk Register – October 2014 Update

7. Interruption to Business									
Risk Owner: David Carson									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>		H	H	<p><u>Disaster Recovery Plan comprising of:</u></p> <ul style="list-style-type: none"> • Draft Business Continuity Plan prepared which covers <u>incorporates</u> Flood Risks and Flu Pandemic Plan • Persons required to manage and maintain the plan are named and responsibilities listed in their PPAs. • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • PRONI Emergency Plan for Archives <u>Emergency Plan for Archives</u> tested and maintained <ul style="list-style-type: none"> • Fish Farm Management Plan for Bushmills and Movanager <u>tested and maintained</u> 	L-M	L-M	<p>Draft PRONI Business Continuity plan to be finalised as part of the overall DCAL Business Continuity Plan (BCP) and to be validated through an off site test <u>at Causeway</u> (Heather Stanley <u>Sept-Oct 2014</u>)</p> <p>PRONI Emergency Plan for Archives and the Fish Farm Management Plan for Bushmills and Movanager to be <u>supplied to MPSO and</u> included as appendices to the DCAL Business Continuity Plan (<u>Heather Stanley and Seamus Connor Oct 2014</u>)</p> <p>Fish Farm Management Plan to be validated (Seamus Connor) <u>Oct 2014</u></p> <p>ALB Drawdowns Continuity Plan to be tested off site <u>at TQ</u> (MO'D <u>Sept-Oct 2014</u>)</p> <p>DCAL BCP to be endorsed by <u>Plan-Owner</u>, and <u>approved by</u> DCAL Board <u>Dec 2014</u> (Pat Wilson-xxx) <u>Promulgation, promotion & training (Pat Wilson) Jan-Feb 2015</u></p>	L-M	L-M
Previous Month's Risk Rating:		H	H		L-M	M		L-M	L-M

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Corporate Risk Register – October 2014 Update

8.Failure to make official records available to the public								
Risk Owner: Maggie Smith								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under FOIA consultation process. Further files issued for consultation on a weekly basis Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). Monthly reporting to the DCAL Board and quarterly reporting to OFMDFM on FOIA Access to internment files progressing- Files being issued for 	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA; Draft prepared. To be finalised – 31 July 2014 – This has been deferred as a new process is being developed. <u>Draft leaflets relating to new process have been developed.</u> Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 March 2015 This has been deferred to concentrate on progressing requests Release of 1985 files by 31 August – <u>C</u>ompleted Development of non-FOI process. Meetings have taken place with a number of solicitors and representative groups about the proposed process and advice to be provided to the Minister. New process approved by Minister. Meeting arranged to discuss with solicitors – 	M	M

Corporate Risk Register – October 2014 Update

			consultation every 10 days and a group of files released to applicants. Weekly update on PRONI files being provided to the Minister			31 0 September <u>October</u> Assignee: David Huddleston		
Previous Month's Risk Rating:	M	M-H		M	M		M	M

Corporate Risk Register – October 2014 Update

9 SUB-REGIONAL STADIA									
Risk Owner: G5									
Risk, Consequences & Budgetary Context		Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
		Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p><u>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</u></p> <p>CAUSES:</p> <p><u>Inherent Risks associated with large capital programmes of this nature</u></p> <p>CONSEQUENCES:</p> <p><u>Reputational Damage</u> <u>Non Achievement of objectives</u> <u>Loss of public confidence</u></p> <p>BUDGETARY CONTEXT:</p> <p><u>Total Capital Budget Allocation = £???.36m (anticipated)</u></p> <p>RISK:</p> <p><u>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</u></p>		H	H	<p><u>DCAL Governance of Programme</u></p> <p><u>Programme Director has now been appointed – Rory Miskelly</u></p> <p><u>Programme Director has identified the necessary budget resource/skills required for the sub regional team to deliver the programme</u></p> <p><u>Master timeline and programme</u></p>	H	H	<p><u>Programme Director to continue to liaise around team requirements. Sub Regional Team to be in place by December 2014 (R.Miskelly-Ongoing)</u></p> <p><u>Sub Regional Team to be in place by (R.Miskelly - ????)</u></p> <p><u>Programme scoping exercise to be carried out (R.Miskelly- Ongoing)</u></p> <p><u>Establishment of governance structures and reporting mechanisms (R.Miskelly-???) by December 2014).</u></p> <p><u>Development of programme documentation ie Expression of Interests, Application Form, Information and Guidance Booklet- (R.Miskelly - ???February 2015)</u></p> <p><u>Programme Gateway 0 to be scheduled (R.Miskelly - ???end November 2014)</u></p>	M	M

Corporate Risk Register – October 2014 Update

<p>CAUSES: Inherent Risks associated with large capital programmes of this nature and in particular:-</p> <ul style="list-style-type: none"> Failure to achieve the necessary political agreement required from the Executive to make the programme happen. Failure to achieve Strategic Outline Case approval and Budget approval from the Executive to secure funding for the programme. Failure by Governing Bodies to ensure effective governance Failure to secure the necessary budget/resources and/or skills required to deliver the programme; Failure to manage expectations of the sports and clubs around available funding; Insufficient capacity within Clubs to deliver; Failure to meet timelines prescribed within the programme plan;— Failure to achieve the desired benefits from the programme; and Failure to maximise the impact of the new Regional stadia. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Loss of public confidence; Loss of needed sports development 			<p><u>DFP/Executive approval of Strategic Outline Case (SOC)</u></p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP/Executive approval to support a bid as part of the next CSR.</p> <p><u>PR</u></p> <p>Launching programme specifically for IFA and potentially for GAA also potential future use by GAA and IRFU also. Risk of adverse publicity around no programme for GAA and IRFU or indeed other sports to be managed. May lead to bad publicity around no programmes for Rugby or indeed other sports to apply to.</p> <p><u>Insufficient Capacity of GB's and clubs to deliver projects</u></p> <p>Sub Regional Team when in place will work closely with GB to provide</p>			<p>SOC to be completed (<u>Sub-Regional Team</u> Rory Miskelly and Ian Davidson - ????end November 2014)</p> <p>Meeting to be scheduled with IFA to discuss SOC (R.Miskelly - ???early November 2014)</p> <p>SOC to be submitted to DFP for approval (R.Miskelly - ???early December 2014)</p> <p>Engage with and manage GB expectations (R.Miskelly- Ongoing)</p> <p>Communications Strategy to be developed before the launch of the programme. (R.Miskelly- Ongoing)</p> <p>Recruitment exercises to be started to recruit required personnel.</p>		
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Corporate Risk Register – October 2014 Update

<ul style="list-style-type: none"> • non-achievement of objectives; political consequences for Minister and • reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £0.582m</p> <p>Total 2014/15 Capital Budget Allocation = £85.1m</p>		<p><u>necessary skills to supplement their existing team- Skills gap to be identified and plans put in place to recruit suitable individuals</u></p> <p><u>Legal Challenges/Judicial Reviews</u></p> <p><u>Liaison with Arthur Cox solicitors and DSO as necessary to manage legal risks.</u></p> <p><u>Procurement Challenges</u></p> <p><u>Involvement of CPD during procurement stages</u></p> <ul style="list-style-type: none"> • Measures will be built into the design of this programme to mitigate the potential threats such as :- <p>Pursue an approved budget in next CSR; formulate a delivery strategy; Establish a Programme/sponsor Board; Identify and appoint a Programme Director; Develop OBC; Engage with and manage Governing body expectations as Facility Strategies are produced; Establish a Budget monitoring process; Establish governance</p>		<p><u>Suitably skilled and experienced ICT teams to be appointed to design/project manage schemes on behalf of Clients (GB/Clubs) (Rory Miskelly – 2015)</u></p> <p><u>Application process to be developed and will be fair open and transparent. (R.Miskelly - ???during Q1 2015)</u></p> <p><u>Consultation on SOC to be carried out with all key stakeholders. (R.Miskelly - ???November 2014)</u></p> <p><u>Procurement Strategy to be developed with CPD (Rory Miskelly – by November 2014) (Continue regular meetings with CPD on procurements)</u></p> <p><u>Regular Meetings with CPD on procurements</u></p> <p>Capital Programme bid to be submitted</p> <p>Outline actions to be taken</p> <ul style="list-style-type: none"> • <i>Recruit Programme Director by June 2014 – DGAL & SIB</i> 	
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Corporate Risk Register – October 2014 Update

				<p>structures and reporting mechanisms; Engage SIB and deploy Gateway procedures; Produce Project Plans for each stadium to developed; Identify and engage key stakeholders (e.g Planning CPD); Set an awards criteria; Development of a benefits realisation plan; Identify emerging risks as programme rolls out and mitigate; and Escalate high level risks to Programme Board when appropriate.</p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP approval to support a bid as part of the next CSR.</p>			<ul style="list-style-type: none"> • Programme Scoping by October 2014 by Programme Director • Establishing need, OBC, Grant Programme Design/ documentation etc) by April 2015 • Announce Programme April 2015 <u>Implementation July 2015- December 2017</u> <p><u>Ongoing action through regular meetings.</u></p>		
Previous Month's Risk Rating:		H	H		H	H		M	M

Corporate Risk Register – October 2014 Update

10 Together: Building a United Community								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to deliver the DCAL headline action under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES: Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Lack of political approval for the design proposal for the pilot and wider programme. Failure to adequately consult with key stakeholders in the design of the programme. • Failure by funded organisations to ensure effective governance • Failure to secure the necessary budget, resources, skills or expertise required to deliver the programme; • Failure to manage expectations around pilot and programme delivery; • Programme fails to attract 	H	H	<p>Regular engagement with Spad. Attendance at Ministerial Panel and Good Relations Programme Board. Engagement at official level across TBUC actions.</p> <p>Sustained engagement with community groups.</p> <p>Funding secured in June Monitoring for pilot project. Programme Manager seconded from SIB to deliver pilot project. Utilisation of expertise of Sport NI as key delivery partner. Engagement with expert stakeholders.</p> <p>Building capacity in the communities across governance, community confidence and even management through roll out of pilot project.</p> <p>Sustainable Good Relations deliverables built into the design of the programme. Monitoring and measurement of good relations objectives central to pilot design.</p>	H	H	<p>Focused consideration of design proposal with community groups. Targeted consultation with good relations experts on pilot delivery. Explore possibility of workshop with young people to get end user feedback.</p> <p>Establish a budget monitoring process, governance structures and reporting mechanisms for distribution of funding.</p> <p>Further analysis of pilot costs – to be informed by ongoing engagement and move to implementation.</p> <p>Appointment of Community Coordinators. Consideration of different marketing and engagement approaches. <i>e.g. schools, youth clubs, taster sessions to recruit participants</i></p> <p>Consideration of design of bespoke good relations/TBUC training for coaches and young leaders.</p> <p>Ongoing engagement with Sport NI to explore synergies with existing programmes.</p> <p>Development of detailed implementation plan.</p>	H-M	M-H

Corporate Risk Register – October 2014 Update

<p>and/or retain sufficient participants to meet objectives or value for money;</p> <ul style="list-style-type: none"> • Insufficient good relations focus from frontline delivery agents (coaches and young leaders); • Pilot project not scalable for roll out in terms of cost/logistics; • Programme unsustainable by communities in the long term; • Duplication or competition with existing sporting and good relations programmes; • Good relations interventions are ineffective; • Failure to achieve the desired benefits from the programme. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence in idea of further roll out of cross community youth sports programme, • Loss of public confidence in the Executive's TBUC Strategy • political consequences for Minister and • reputational damage to the Department. • A negative impact on good relations <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £250k</p> <p>Total 2014/15 Capital Budget Allocation = £20k</p>		<p>Identification of risks and escalation of high level risks to Programme Board. Project Management structures, including a Programme Board and Programme Team, and documentation in place.</p>		<p>Development of a benefits realisation plan. Identification and mitigation of emerging risks as pilot develops.</p> <p>All above actions assigned to Johnny Davis/Kevin Hamill and targeted for completion in Sept Oct 2014.</p> <p>1.</p>		
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Corporate Risk Register – October 2014 Update

Previous Month's Risk Rating:	H	H		H	H		H-M	M-H

Corporate Risk Register – October 2014 Update

11 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP. The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister secured support in principle from other Executive Ministers for the aims of the GQP. Interim reporting dashboard for projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. 3 Forbait Feirste based support staff assisting delivery of the programme on a full time basis from 1 July 2014 	M-H	M	<ol style="list-style-type: none"> Draft governance arrangements currently under consideration and officials are liaising with BCC and and Forbait Feirste – A Scotton hold as the programme is currently smaller than envisaged. Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott <p>Work ongoing to develop draft programme documentation and priorities for consideration and approval by Programme Steering Group. The draft programme is being re scoped to initially focus on fewer priorities and those requiring minimal resourcing to deliver benefits. 310 OctoberAugust 2014 – Damien Rea/ Arthur Scott .</p> <ol style="list-style-type: none"> Agree lead role for programme manager. Option to use BCC Programme Management expertise exists. This offer has not been implemented owing to delay in advancing the projects. To be revisited following the outcome of 	M	L-M

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Corporate Risk Register – October 2014 Update

						<p>June/October Monitoring – <u>Damien Rea/ Arthur Scott</u></p> <p>4. Research EU funding opportunities as a means of financing some aspects of the programme. <u>Forbairt Feirste taking this forward.</u> Damien Rea.</p> <p>5. Awaiting outcome of bBids have been made in monitoring rounds for the Cumann Chluain Árd project –the refurbishment of the educational community facility in the Gaeltacht Quarter and for the Aras na bhFál project –the development of an Irish language hub on the corner of Broadway and Falls Road–project 30/10/14. <u>Damien Rea</u></p> <p>5-6. <u>Scope to provide Client Adviser role for the Raidio Failte Project from DCAL Stadium Team being considered. A potential increase to the level of DCAL financial support for the Raidio Failte project is also being considered.</u> <u>17/10/14 Damien Rea</u></p>		
Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	L-M

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Corporate Risk Register – October 2014 Update

Corporate Risk Register – October 2014 Update

12 Infrastructure failure Waterways Ireland								
Risk Owner: Arthur Scott								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure.</p> <p><u>WI to ensure an optimum balance between reactive and planned preventive maintenance taking account of the available resources.</u></p>	M-H	M	<p>WI to ensure an optimum balance between reactive and planned preventive maintenance taking account of the available resources.</p> <p>The CEO is developing radical efficiency proposals for consideration by a future NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new review and increased revenue flows from lock charges is also being considered. <u>Check progress at Bi monthly meeting 15 Oct 2014. Arthur Scott</u> <u>Ongoing Martina Campbell</u></p>	M	M

Corporate Risk Register – October 2014 Update

Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	M

Corporate Risk Register – October 2014 Update

13. Failure to Establish Ulster-Scots Academy or Secure Academy Budget post March 2015									
Risk Owner: ARTHUR SCOTT									
Risk & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk		
	Imp	Like		Imp	Like		Imp	Like	
<p>RISK: Delay in agreeing Academy proposals.</p> <p>CAUSE: Slippage in the original consultation timetable and potential lack of political consensus.</p> <p>CONSEQUENCES: Gap in Ulster-Scots Academy approach/provision will result in negative reaction from the sector and politicians. Academy space in Corn Exchange will be underutilised. Significant reputational damage for DCAL and the development of the sector as a positive driver for 'Together Building a United Community', economic and social change.</p> <p>BUDGETARY CONTEXT: No budget allocation has yet been agreed for an Ulster-Scots Academy/Academy Approach post March 2015 and reductions 2014/15 of funding expected.</p>	H	M-H	<ul style="list-style-type: none"> Business Case for a full academy already prepared and cleared by economists Public consultation plans for Academy proposals ready to commence since March 2014 with original target decision date of autumn 2014 Academy Implementation Plan prepared Contingency Planning for interim/fallback academy arrangements undertaken. Interim/fallback Academy options considered by MAG Academy Board on 21 August 2014 and submission to Minister 6/10/2014 Submission to Minister to agree the launch of the public consultation in October 2014. 	H	M	<p>1. Plans for public consultation revised, consultation document to be translated into Ulster-Scots by end September consultation to complete by early January, with target date of decision by Minister 28 February 2015.</p> <p>2. Interim/fallback Academy options considered by MAG Academy Board on 21 August 2014 and submission to Minister by end September 2014.</p> <p>3. Decision by Minister target date of end October 2014.</p> <p>4. Implementation of agreed Academy interim option to commence 1 January and be in place by 23 March 2015.</p> <p>5. Preparation of 2015/16 business plan by mid-October and outline 5-year Academy Strategic Plan by mid November, 2014.</p> <p>6. Implementation of full academy proposals if approved and in line with agreed milestones.</p> <p>Brian McTeggart</p>	M	M	

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Corporate Risk Register – October 2014 Update

Previous	Month's Risk Rating:	<u>n/a</u>	<u>n/a</u>		<u>n/a</u>	<u>n/a</u>		<u>n/a</u>	<u>n/a</u>
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DEPARTMENT OF CULTURE, ARTS & LEISURE

DEPARTMENTAL RISK REGISTER

2014/15 November Update

Risk Register - Key to Terms Used

Risk:	Uncertainty of outcome of actions or events. (May provide positive opportunities or negative threats)
Threat:	Events / issues that could cause the risk to materialise
Inherent Risk:	The exposure arising from a specific risk before any action has been taken to manage it
Impact:	The degree of consequence, for example, for performance or reputation
Likelihood:	Probability of occurrence
Impact & Likelihood:	Risks have to be assessed in respect of the combination of the possibility of something happening, and the consequences or impact which arises if it does actually happen.
How risk is Managed:	Measures or controls which are already in place to mitigate against risk
Residual Risk:	The level of risk remaining after current internal control actions have been exercised. It should be acceptable and justifiable and within the risk appetite
Additional Actions:	Enhancement to existing controls to mitigate against risks
Action by Whom:	important to assign responsibility for managing risk and for taking any additional action necessary
Treated Risk:	expected status of the risk after proposed actions have been taken

RISK EVALUATION - IMPACT

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues
2. Low - Medium	£1000's lost; or some localised press coverage; or isolated errors
3. Medium	£10,000's lost; or localised media attention; or NIAO criticism
4. Medium - High	Failure of key support services; or £100,000's lost; or failure to meet national standards
5. High	Resulting in failure of key objective(s); or £1,000,000's lost; or attention from Assembly / PAC; or death

RISK EVALUATION – LIKELIHOOD

DESCRIPTOR	DETAILED DESCRIPTION
1. Low	May occur only in exceptional circumstances
2. Low - Medium	Might conceivably occur at some time
3. Medium	Could occur at some time
4. Medium - High	Will probably occur in most circumstances
5. High	Is expected to occur in most circumstances

CALCULATION OF RISK RATING

		IMPACT				
		1	2	3	4	5
LIKELIHOOD		Low	L-M	Medium	M-H	High
5	High	5	10	15	20	25
4	M-H	4	8	12	16	20
3	Medium	3	6	9	12	15
2	L-M	2	4	6	8	10
1	Low	1	2	3	4	5

Risk Overview

Risk	Threat	Residual Risk		Weighted Scoring
		Impact	Likelihood	
1	Inadequate Governance Controls	M	M	9
2	Budget Constraints	H	H	25
3	Insufficiently skilled staff/Sufficient number of skilled staff	M	M	9
4	Failure to deliver PETPSE Agenda	M	M	9
5	Failure to deliver City of Culture legacy for the North West	H	M	15
6	Failure to deliver Regional Stadia on time and to budget	H	H	25
7	Interruption to Business	H-M	L-H-M	6
8	Failure to make official records available to the public	M	M	9
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	H	H	25
10	Inability to deliver TBUC	H	H	25
11	Failure to deliver Gaeltacht Quarter Plans	M-H	M	12

Corporate Risk Register – November 2014 Update

12	Infrastructure failure Waterways Ireland	M-H	M	12
13	Failure to Establish Ulster-Scots Academy or Secure Academy Budget post March 2015	H	M	15

Risk Appetite

CATEGORY OF RISK	Risk #	APPETITE (prior year)
Policy/Guidance	4,5,6	Hungry (open)
Sponsorship	1, 4,5,6, 13	Open (open)
Propriety, Regularity, Finance and Accountability	2, 4,5 6, 12,13	Open (open)
Reputation and External Risk	4,5,6,11, 12 ,13	Open (open)
Information Management		Open* (averse)
Compliance – Legal/Environmental		Averse (averse)

*However a cautious approach will be adopted in relation to some areas eg. Management of sensitive information

Version Control:

	Date of Completion
Last reviewed by Board/Director	16/09/14
Next review by Board/Director	18/11/14
Last reviewed by Audit Committee (if applicable)	11/09/14

Corporate Risk Register – November 2014 Update

1. INADEQUATE GOVERNANCE CONTROLS								
Risk Owner: David Carson								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Inadequate governance controls in the Department and its ALBs</p> <p>CAUSE: Insufficient oversight, guidance and monitoring</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> financial loss, non-achievement of objectives and reputational damage to the Department. <p>BUDGETARY CONTEXT: Total 2014/15 Resource & Admin Budget Allocation = £106.304m</p> <p>Total 2014/15 Capital Budget Allocation = £90.334m</p>	M-H	M-H	<ul style="list-style-type: none"> Review of Compliance against 2013 Code of Corporate Governance performed in March 2014 Board Terms of Reference have been replaced by a Board Operating Framework which is in line with best practice The following are in place and updated on a regular basis: Corporate Governance Framework, ALB Sponsorship Guide Risk Management Framework Departmental Risks and RMF reviewed in 2014 for the 14/15 Year Management Statements and Financial Memoranda between the Department & ALBs N/S Sponsorship Manual in place ALB risk assessments updated on a regular basis. ALB boards & ARACs managed in accordance with best practice. Greater focus is now being placed on monitoring & reporting against business plan targets. 	M	M	<ol style="list-style-type: none"> Business Plans are now being used as the primary tool to hold the ALBs to account. The Business Planning process, including monitoring and reporting, is being reviewed and once complete will be included as an annex in the revised Sponsorship Guide Philip Spotswood (Autumn 2014). Language Body Business Plan for 2013 with Minister for approval. Language Body Business Plans for 2014 and 2015 agreed by DCAL officials. Awaiting confirmation from DAHG that they are content with translation amendments To be forwarded to DFP for officials to agree. . Target date to DFP 24/10/14. Martina Campbell. WI 2015 Business Plan agreed by DCAL officials awaiting approval from DAHG . Martina Campbell A revised FM for N/S Bodies is currently in progress by Finance Departments. Martina Campbell (Ongoing) 	M	L-M

Corporate Risk Register – November 2014 Update

			<ul style="list-style-type: none"> • Accountability meetings are regularly held, dependent on risk assessments. • Annual & In Year Assurance Statements prepared by Department and ALBs • A greater focus is now being placed on performance management in informing Chair appraisals & CEO appraisals & ensuring the role of the Board is appropriately discharged. • EQA of ALB Internal Audit Functions performed • Rolling programme of attendance by ALBs at Departmental Board meetings • QAS in place in WI since June 2014. • SLA in place for WI for 2014 business year. 			<ol style="list-style-type: none"> 4. Quarterly Assurance Statement (QAS) introduced in the Language Body the 1st return is expected by 23 Oct 2014. (Martina Campbell) 5. Language Body SLA under discussion., expected completion 31 Oct 2014. Martina Campbell 6. Monitor the revised procedures implemented as a result of the 'Review of Governance' project (GMcA Ongoing) 7. Improvements in compliance with 2013 Code will be implemented by March 2015 (GMcA) 8. Sponsorship Guide is currently under review to ensure it is in line with best practice (GMCA, Nov 2014) 9. Grant Guidance being developed to provide a framework for all grant awards. This will ensure consistency in approach across the department (GMcA March 2015) 10. Review of governance arrangements around grant payments from the Dept to ACNI and SNI and subsequent grants to 3rd parties. Draft ToRs being developed. Arthur Scott 		
Previous Month's Risk Rating:	M-H	M-H		M	M		M	L-M

Corporate Risk Register – November 2014 Update

2. Insufficient Budget results in failure to deliver key Departmental Priorities								
Risk Owner: ALL								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficient Budget results in failure to deliver key Departmental Priorities and to maintain existing front line services.</p> <p>CAUSE:</p> <ol style="list-style-type: none"> 1. Additional funding not secured for new work streams including City of Culture Legacy through in year monitoring. 2. Agreed cut to resource budget in 14/15 of 4.4% overall.. 3. Agreed cut Potential cut to resource budget in 15/16 of 10%-15% <p>CONSEQUENCES: Failure to deliver key priorities including PETSPE, City of Culture Legacy and TBUC and to maintain existing front line services across all business areas.</p>	H	H	<ul style="list-style-type: none"> • Zero Based Budget has provided transparency across business areas on the allocation of funding against priorities, programmes and projects. This will help inform decisions on where cuts can be made with least impact on priorities. • Planning exercise on accommodating cuts of 4.4% in 14/15 is complete. • Planning exercises are taking place to examine a range of budget issues. • Minister has been alerted to pressures in 14/15 and in 15/16. Her engagement necessary as we decide where cuts will fall. • Budget transferred from DE to be used to Explore option of using transferred budget from DE to fund Legacy work with emphasis on educational outcomes. • Engagement with Supply on management of specific pressures. 	H	H	<p>1. October monitoring bids to cover inescapable pressures submitted to DFP in Oct 2014. Executive due to sit 23 Oct to decide outcome. SMT are actively seeking alternative ways to manage pressures on the Dept (Finance Branch, Oct 14)</p> <p>2.1. A bid has been placed in Oct 2014 monitoring for Budget transfer from DE: still to confirm with DE vires through which this can happen. (Finance Branch, Oct 14)</p> <p>Complete business case for CoC Legacy which is acceptable to DE.</p> <p>3.2. Dept has ve commissioned a further planning exercise for 15/16 which considers the impacts of <u>agreed cuts of 10% on resource budget in the higher range (10-15%). Early indications suggest 14% min. Use outcome to: Initial returns due 7 November</u></p> <p>Agree on where cuts can be imposed with least impact on priorities (with Ministerial approval)</p> <p>Assess additional budget required in year to fund staff severance if required.</p>	H	H

Corporate Risk Register – November 2014 Update

						Assess long term effects on capacity Prepare for bilateral and consultation exercise.(Finance Branch Oct 14)		
						Action plan is not guaranteed to reduce residual risk; therefore, treated risk remains high.		
Previous Month's Risk Rating:	H	H		H	H		H	H

Corporate Risk Register – November 2014 Update

3. Insufficiently Skilled staff / Insufficient number of skilled staff								
Risk Owner: David Carson								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Insufficiently skilled staff /insufficient number of skilled <u>staff</u></p> <p>CAUSE:</p> <ul style="list-style-type: none"> Budget constraints – Prolonged delay in vacancy management process Delay in identifying training needs and delay in accessing appropriate training interventions. Inadequate forward business planning, succession planning and workforce planning preventing the Department from delivering & planning to meet current and future needs re: talented people. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Failure to deliver business objectives reputational damage Disengaged staff. 	H	MH/M	<ul style="list-style-type: none"> HR Committee (formerly Managing Resources) meets approximately six times a year to discuss and agree the staffing budget and allocation of staffing resources, and succession management i.e. taking decision on filling posts, creation of new posts etc to meet current and future business priorities. Training needs are identified jointly by staff and line managers against the business needs as part of the Performance Management system. These training needs are reviewed at least twice per year and adjusted in line with business priorities. <p>TDU liaise with managers of New transferred staff on need for training to deliver new business objectives.</p> <ul style="list-style-type: none"> Training is commissioned formally twice per year and a training plan prepared set out the training needs identified to build staff skills and knowledge. 	M	M	<p>The need for any further action is being considered, to ensure individuals in post have the required skills to deliver business objectives within their areas . Action delayed due to lack of resources <u>and uncertainty around anticipated reductions in posts due to budget cuts. New deadline November 2014</u> (Hilary Harbinson / Tom Hamilton</p> <p>Steps are being taken by SMT to manage emerging budget pressures due to new work areas, including City of Culture Legacy and TBUC and the planning assumption of a <u>4.46%</u> budget cut. Currently, all vacancies require SMT approval of business case to fill. (Business areas and SMT, June 2014)</p> <p>Terms of reference for HR Committee (formerly Managing Resources Committee) have been drafted and were presented to the Committee in August. Revised TOR to be presented at nd signed off byHR Committee <u>Meeting on at next meeting scheduled for 20th October and 12 January - further amendments required but -TOR expected to be presented to to be endorsed by</u> the Board</p>	M	M

Corporate Risk Register – November 2014 Update

<p>BUDGETARY CONTEXT:</p>			<ul style="list-style-type: none"> Annual reports are provided to the DCAL Board covering setting both the training delivered over the year and an evaluation of its impact. Line managers confirm through the Performance management system that staff are performing effectively Other learning interventions are developed/implemented, e.g. Lunch & Learn to ensure staff are better informed of business priorities and initiatives. <u>FED Roadmap was issued by the Permanent Secretary to all staff on the 8th October 2014.</u> 			<p>in February 2015 December 2014. (Hilary Harbinson/Tom Hamilton)</p> <p>Utilise Business Partnering <u>and regular HR Committee meetings</u> to discuss with Senior Managers resourcing implications and potential solutions (Tom Hamilton/Hilary Harbinson September 2014) Ongoing. And HR committee meetings held regularly.</p> <p>FED Roadmap was issued by the Permanent Secretary to all staff on the 8th October 2014.</p> <p>is being developed (Tom Hamilton/Hilary Harbinson October 2014) Draft Road map of future training opportunities to be presented to Staff engagement Forum on 4th Sept, To be signed off by SMT in October.</p>		
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Previous Month's Risk Rating:	H	MH/M		M	M		M	M
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Corporate Risk Register – November 2014 Update

4. Failure to Deliver PETPSE								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver PETPSE Agenda</p> <p>CAUSE:</p> <ul style="list-style-type: none"> Lack of strategic focus and delivery by DCAL/ ALBs; Insufficient buy-in and collaboration across department and ALBs; <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Non-achievement of objectives; Reputational damage to the Department; Loss of faith in the Department by Minister. <p>BUDGETARY CONTEXT:</p> <ul style="list-style-type: none"> Zero-based budgeting exercise on PETPSE has informed the 2014/15 budgetary process. 	H	H	<ul style="list-style-type: none"> The DCAL Mission Statement and 2014/15 Business Plan prioritises the PETPSE agenda. A PETPSE Board and interim Strategic Delivery Division (SDD) established. PETPSE Monitoring Working Group shares research and statistics across DCAL. Reporting on PETPSE is an integral part of ALB Accountability meetings. PETPSE Champions appointed. External engagement includes Roadshows, case-studies and media and on-line promotion. Staff conference delivered on PETPSE Theme. Learning Forum Awards event focused on PETPSE. Social Clauses event delivered along with report. 	M	M	<ol style="list-style-type: none"> Reinvigorate the PETPSE Champion role and staff engagement mechanisms – (Paul Gamble, November 2014) 5 Roadshows to enhance engagement with social partners/ communities (Paul Gamble, by March 2015) Engagement with PHA and voluntary sector to support joint working (SDD, by March 2015) Launch revision of DCAL Learning Strategy. (SDD, by September 2014) Delivery on the PETPSE Agenda central to City of Culture Legacy plans for the North West (SDD, ongoing). 	L-M	L-M
Previous Month's Risk Rating:	H	H		M	M		L-M	L-M

Corporate Risk Register – November 2014 Update

5. Failure to deliver City of Culture legacy for the North West								
Risk Owner: Stephen McGowan								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to secure additional funding and put in place delivery structures to maximise success of City of Culture 2013 and take forward community cultural development in the North West of Ireland.</p> <p>CAUSE: Failure to support strategic intervention which build on the benefits realised in 2013 to promote equality and tackle poverty and social exclusion in the North West.</p> <p>CONSEQUENCES: 1. <u>Failure to deliver key Ministerial Commitments</u> 2. <u>Reputational Damage</u></p> <p>BUDGETARY CONTEXT: <u>Bid to Executive in progress</u></p>	H	H	<ul style="list-style-type: none"> Minister announced her strategic vision for City of Culture legacy in the NW region in November 2013. Work has been initiated to plan implementation of the Minister's strategic vision for the region. A DCAL North West Office has been established in Derry based in Orchard House. Funding of £1m resource and £2.8m capital has been secured in the October Monitoring Round which will allow greater potential to build on the initiatives to be developed further as part of the City of Culture legacy. The North West Team have met with various stakeholder organisations in the North West to advance proposals for projects to be delivered by March 2015. 	H	M	<ol style="list-style-type: none"> Overall business case to be finalised and agreed to set out a programme targeting educational outcomes and community development in the North West. (Joanna McConway, November 2014). Detailed Letters of Offer to be agreed and issued to funded organisations. (Joanna McConway, November 2014) Planning for sustainable approach post April 2015 	M	M
Previous Month's Risk Rating:	H	H		H	M		M	M

Corporate Risk Register – November 2014 Update

6. FAILURE TO DELIVER REGIONAL STADIA ON TIME AND TO BUDGET								
Risk Owner: CYNTHIA SMITHRORY MISKELLY								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to deliver Regional Stadia on time and to budget</p> <p>CAUSE: Inherent risks associated with large capital projects of this nature.</p> <p>CONSEQUENCES: Reputational Damage Non achievement of objectives Loss of public confidence</p> <p>BUDGETARY CONTEXT: Total Capital Budget Allocation over CSR period = £110m</p>	H	H	<p>Casement Park</p> <ul style="list-style-type: none"> JR Challenge- MORA <p>Hearing started on the 9th September and completed 13th October and is currently in the ruling period.. Various information requested by MORA legal reps was released in a timely manner by DCAL/UCGAA to ensure any unnecessary delays are avoided.</p> <ul style="list-style-type: none"> Relocation of Social Club <p>GAA liaising with social club members to agree on suitable replacement facilities for usage throughout construction phase and facilities within new stadium.</p>	H	H	<p>Stadium Team to support GAA and contractor to submit planning application for social club as soon as JR is completed. (R. Miskelly - Oct Nov 14)</p> <p>Discussion between GAA and Social Club members to continue on daily basis to ensure agreement on proposals. (R.Miskelly- Oct Nov 2014)</p>	H-M	L-M

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Corporate Risk Register – November 2014 Update

		<ul style="list-style-type: none"> • Governance- Skills deficit within GAA Team <p>Stadium Team working closely with GAA to provide necessary skills to supplement their existing team- Skills Gap identified and plans in place to recruit suitable individual.</p> <ul style="list-style-type: none"> • Legal Sign Offs <p>Liaison with Arthur Cox Solicitors and DSO as necessary to manage legal risks.</p> <p>Regular meetings between DCAL/GAA and solicitors being held.</p> <p><u>Casement Park/Kingspan Stadium and Windsor Park</u></p> <ul style="list-style-type: none"> • Failure to achieve safety certification at required capacity <p>Stadium Team are liaising with and co-ordinating the UCGAA/IFA, Sport NI, PSNI, ICT and IST Design Teams and other stakeholders within a process that will include further detailed dialogue and risk review workshops to ensure each stadium can achieve their required holding capacity.</p> <p>Stage approvals are subject to</p>			<p>Recruitment Exercise to be started to recruit a Project Director for GAA. (R.Miskelly – December 14)</p> <p>Deed Of Amendment to Funding Agreement to be finalised and agreed by end of October 2014 (R.Miskelly- Oct-Nov 14)</p> <p>Conditions Precedent to be closed out by the end of October (R.Miskelly- Oct-Nov14)</p> <p>Ongoing design review and collaboration between the Design Team, Sport NI Safety Technical Group (STG) and the department (Casement/Windsor) (R.Miskelly – Ongoing)</p> <p>Programme Operational Forum to be established to share best practice and ensure consistency of approach to safety technical mitigation measures (R.Miskelly- Ongoing)</p> <p>Liaison with GAA and PSNI to look at probability of events that may affect emergency evacuation. (R.Miskelly- Ongoing)</p>		
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		<p>acceptance of the scheme by the STG.</p> <ul style="list-style-type: none"> • Procurement Challenge <p>Continued involvement of CPD during procurement stages</p> <ul style="list-style-type: none"> • Financial- Failure to achieve spend within agreed timeframes <p>Project Budget reports provided at all design stages– review of cost reports for projects to be reviewed at all PB's. Significant variances to be raised at Programme Board/Sponsor board (Ongoing)</p> <ul style="list-style-type: none"> • <u>Non achievement of objectives</u> <p>Regular review at PSG and PB meetings. Reports tabled on social clause returns and other benefits within BRP.</p> <p><u>DCAL Governance of Programme</u></p> <p>Schedule of Sponsor Board and Programme Board meetings in place- to ensure ongoing sponsorship, risk management, assurance and</p>		<p>Regular meeting with CPD on procurements (R. Miskelly – Ongoing)</p> <p>Parallel actions in place to mitigate potential for impact on programme timelines in the event of procurement challenge (Stadium Team- Ongoing)</p> <p>Monthly review of spend profiles and notification to DCAL Finance Branch of variances in spend. (Stadium Team – Ongoing)</p> <p>Regular updates to be obtained from IST and GB's (R.Miskelly – Ongoing)</p> <p>Operational Forum to be set up to deal with key operational issues (R.Miskelly- Ongoing)</p> <p>Programme Director has developed and submitted a resource plan detailing requirements of team going forward bearing in mind risks to the programme.</p>		
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Corporate Risk Register – November 2014 Update

			<p>programme delivery arrangements. (Ongoing)</p> <p>Programme risk management strategy in place and being implemented.</p> <p>Recommendations arising from project health checks/gateway review being implemented.</p> <p>Implementation of any NIAO & internal Audit Recommendations.</p>					
Previous Month's Risk Rating:								
	H	H		H	H		H-M	L-M

Corporate Risk Register – November 2014 Update

7. Interruption to Business								
Risk Owner: David Carson								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Interruption to Business.</p> <p>CAUSE: Weather, sabotage, industrial action, infrastructural failures or other causes could impact on business critical areas in the Department leading to a failure to meet strategic objectives and reputational damage.</p> <p>Budgetary Implications: Heavily dependent on scale and length of business interruption which cannot be foreseen at this stage.</p>	H	H	<p>Disaster Recovery Plan comprising of:</p> <ul style="list-style-type: none"> • Draft Business Continuity Plan prepared which incorporates Flood Risks and Flu Pandemic Plan • Persons required to manage and maintain the plan are named and responsibilities listed in their PPAs. • Business Continuity Arrangements tested and updated. Roles and responsibilities defined. • PRONI Emergency Plan for Archives tested and maintained <ul style="list-style-type: none"> • Fish Farm Management Plan for Bushmills and Movanager tested and maintained 	H-M	H-M	<p>Draft PRONI Business Continuity plan to be finalised as part of the overall DCAL Business Continuity Plan (BCP) and to be validated through an off site test at Causeway (Heather Stanley OctNov 2014)</p> <p>PRONI Emergency Plan for Archives and the Fish Farm Management Plan for Bushmills and Movanager to be supplied to MPSO and included as appendices to the DCAL Business Continuity Plan (Heather Stanley and Seamus Connor OctNov 2014)</p> <p>Fish Farm Management Plan to be validated (Seamus Connor) OctNov 2014</p> <p>ALB Drawdowns Continuity Plan to be tested off site at TQ (MO'D OctNov 2014</p> <p>DCAL BCP to be endorsed by PlanOwner, and approved by DCAL Board Dec 2014 (Pat Wilson)</p> <p>Promulgation, promotion & training (Pat Wilson) Jan-Feb 2015</p>	L-M	L-M
Previous Month's Risk Rating:	H	H		H-M	H-M		L-M	L-M

Corporate Risk Register – November 2014 Update

8.Failure to make official records available to the public								
Risk Owner: Maggie Smith								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Failure to make official records available to the public.</p> <p>CAUSE: Backlog of access requests and court action</p> <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> Legislative non-compliance Reputational damage to the Department Non-achievement of business objectives <p>BUDGETARY CONTEXT PRONI allocation for 14/15 £4.355m (Resource £4.293m and Capital £62k)</p>	M	M-H	<ul style="list-style-type: none"> Responding to historical FOIA/DPA requests in line with legislation and ministerial priorities. Annual release of records under the 30/20 Year Rule, coordinated by PRONI with NI Departments and NIO Cataloguing and publishing of 25000 priority records per annum. Inquest and court files being released under FOIA consultation process. Further files issued for consultation on a weekly basis. <u>30 requests have been completed.</u> Lessons learnt review completed for 20 year review. Coroner's inquest index catalogued and published (13000 records). Monthly reporting to the DCAL Board and quarterly reporting to OFMDFM on FOIA <p>Access to internment files</p>	M	M	<ol style="list-style-type: none"> Annual Release lessons learnt actions to be implemented during 2014 – December 2014 Publish in hardcopy and online information to inform and assist people who may wish to seek information under FOIA/DPA; Draft prepared. To be finalised – 31 July 2014 – This has been deferred as a new process is being developed. Draft leaflets relating to new process have been developed, Publish in the PRONI catalogue Court records for Belfast from 1969-1996 – 31 March 2015 Release of 1985 files by 31 August – Completed Development of non-FOI process. New process approved by Minister. Meetings <u>arranged to discuss with have taken place with solicitors and representative groups. New process being piloted – 31-30 October/November</u> 	M	M

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			<p>progressing- Files being issued for consultation every 10 days and a-20 group of files released to applicants.</p> <p>Weekly update on PRONI files being provided to the Minister</p>			<p><u>6. Release of 1986 files by 31 December</u></p> <p>Assignee: David Huddleston</p>		
Previous Month's Risk Rating:	M	M-H		M	M		M	M

Corporate Risk Register – November 2014 Update

9 SUB-REGIONAL STADIA								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p><u>RISK:</u></p> <p>Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance</p> <p><u>CAUSES:</u> Inherent Risks associated with large capital programmes of this nature</p> <p><u>CONSEQUENCES:</u> Reputational Damage Non Achievement of objectives Loss of public confidence</p> <p><u>BUDGETARY CONTEXT:</u> Total Capital Budget Allocation = £36m (anticipated)</p>	H	H	<p><u>DCAL Governance of Programme</u></p> <p>Programme Director has now been appointed – Rory Miskelly</p> <p>Programme Director has identified the necessary budget resource/skills required for the sub regional team to deliver the programme</p> <p>Master timeline and programme</p>	H	H	<p>Programme Director to continue to liaise around team requirements. Sub Regional Team to be in place by December 2014 (R.Miskelly)</p> <p>Programme scoping exercise to be carried out (R.Miskelly- Ongoing)</p> <p>Establishment of governance structures and reporting mechanisms (R.Miskelly by December 2014).</p> <p>Development of programme documentation ie Expression of Interests, Application Form, Information and Guidance Booklet- (R.Miskelly - February 2015)</p> <p>Programme Gateway 0 to be scheduled (R.Miskelly - end November 2014)</p> <p>SOC to be completed (Rory Miskelly and Ian Davidson - end November 2014)</p>	M	M

Corporate Risk Register – November 2014 Update

		<p><u>DFP/Executive approval of Strategic Outline Case (SOC)</u></p> <p>To date work has commenced on the development of an SOC which incorporates all the key information about the programme. This will be finalised in due course and will facilitate DCAL seeking DFP/Executive approval to support a bid as part of the next CSR.</p> <p><u>PR</u></p> <p>Launching programme specifically for IFA and potential future use by GAA and IRFU also. Risk of adverse publicity around no programme for GAA and IRFU or indeed other sports to be managed.</p> <p><u>Insufficient Capacity of GB's and clubs to deliver projects</u></p> <p>Sub Regional Team when in place will work closely with GB to provide necessary skills to supplement their existing team- Skills gap to be identified and plans put in place to recruit suitable individuals</p>		<p>Meeting to be scheduled with IFA to discuss SOC (R.Miskelly - early November 2014)</p> <p>SOC to be submitted to DFP for approval (R.Miskelly - early December 2014)</p> <p>Engage with and manage GB expectations (R.Miskelly- Ongoing)</p> <p>Communications Strategy to be developed before the launch of the programme. (R.Miskelly- Ongoing)</p> <p>Suitably skilled and experienced ICT teams to be appointed to design/project manage schemes on behalf of Clients (GB/Clubs) (Rory Miskelly – 2015)</p> <p>Application process to be developed and will be fair open and transparent. (R.Miskelly - during Q1 2015)</p>		
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			<p><u>Legal Challenges/Judicial Reviews</u></p> <p>Liaison with Arthur Cox solicitors and DSO as necessary to manage legal risks.</p> <p><u>Procurement Challenges</u></p> <p>Involvement of CPD during procurement stages</p>			<p>Consultation on SOC to be carried out with all key stakeholders. (R.Miskelly - November 2014)</p> <p>Procurement Strategy to be developed with CPD (Rory Miskelly – by November 2014) (Continue regular meetings with CPD on procurements)</p> <p>Ongoing action through regular meetings.</p>		
Previous Month's Risk Rating:	H	H		H	H		M	M

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10 Together: Building a United Community								
Risk Owner: G5								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK:</p> <p>Failure to deliver the DCAL headline action under the Executive's strategy Together: Building a United Community to expectations and in accordance with good governance</p> <p>CAUSES:</p> <p>Inherent Risks associated with large programmes of this nature and in particular :</p> <ul style="list-style-type: none"> • Lack of political approval for the design proposal for the pilot and wider programme. Failure to adequately consult with key stakeholders in the design of the programme. • Failure by funded organisations to ensure effective governance • Failure to secure the necessary budget, resources, skills or expertise required to deliver the programme; • Failure to manage expectations around pilot and programme delivery; • Programme fails to attract 	H	H	<p>Regular engagement with Spad and Spad's attendance at DCAL TBUC Programme Board, Minister's Attendance at Ministerial Panel and SRO at Good Relations Programme Board. Engagement at official level across TBUC actions.</p> <p>Sustained engagement with community groups.</p> <p>Funding secured in June Monitoring for pilot project. Programme Manager seconded from SIB to deliver pilot project. Utilisation of expertise of Sport NI as key delivery partner. Engagement with expert stakeholders.</p> <p>Building capacity in the communities across governance, community confidence and event management through roll out of pilot project.</p> <p>Sustainable Good Relations deliverables built into the design of the programme. Monitoring and</p>	H	H	<p>Ongoing focused consideration of design proposal with community groups.</p> <p>Targeted consultation with good relations experts on pilot delivery. Explore possibility of workshop with young people to get end user feedback. (Dec 2014)</p> <p>Establish a budget monitoring process, governance structures and reporting mechanisms for distribution of funding. (Nov 2014)</p> <p>Further analysis of pilot costs has taken place and incorporated into the business case. Further analysis of costs— to be informed by ongoing engagement and move to implementation. (Nov 2014)</p> <p>Appointment of Community Coordinators have been identified and Letter of Offer to issue once business case is signed off. (Nov 2014)</p> <p>Consideration of different marketing and engagement approaches. Meeting arranged with comms experts to discuss marketing and communication approaches. (Nov 2014)</p>	H-M	M-H

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<p>and/or retain sufficient participants to meet objectives or value for money;</p> <ul style="list-style-type: none"> • Insufficient good relations focus from frontline delivery agents (coaches and young leaders); • Pilot project not scalable for roll out in terms of cost/logistics; • Programme unsustainable by communities in the long term; • Duplication or competition with existing sporting and good relations programmes; • Good relations interventions are ineffective; • Failure to achieve the desired benefits from the programme. <p>CONSEQUENCES:</p> <ul style="list-style-type: none"> • Loss of public confidence in idea of further roll out of cross community youth sports programme, • Loss of public confidence in the Executive's TBUC Strategy • political consequences for Minister and • reputational damage to the Department. • A negative impact on good relations <p>BUDGETARY CONTEXT: Total 2014/15 Resource Budget Allocation = £250k</p> <p>Total 2014/15 Capital Budget Allocation = £20k</p>		<p>measurement of good relations objectives central to pilot design.</p> <p>Identification of risks and escalation of high level risks to Programme Board. Project Management structures, including a Programme Board and Programme Team, and documentation in place.</p>		<p>Consideration of design of bespoke good relations/TBUC training resource for coaches and young leaders. (Nov 2014)</p> <p>Young Leaders Training Development Programme to commence Nov 2014.</p> <p>Ongoing engagement with Sport NI to explore synergies with existing programmes.</p> <p>Tender for evaluation to issue Nov 2014.</p> <p>Development of detailed implementation plan. Development of a benefits realisation plan. (Nov 2014)</p> <p>Ongoing identification and mitigation of emerging risks as pilot develops.</p> <p>All above actions assigned to Johnny Davis/Kevin Hamill, and targeted for completion in Oct 2014.</p> <p>1.</p>		
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Previous Month's Risk Rating:	H	H		H	H		H-M	M-H

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11 Failure to deliver Gaeltacht Quarter Plans								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: The anticipated benefits from the implementation of the Gaeltacht Quarter Plan (GQP) are not realised.</p> <p>CAUSE: Lack of an agreed detailed programme setting out a portfolio of projects, associated benefits, time frame for delivery and overall resource needs. Skills gaps and inadequate governance arrangements.</p> <p>CONSEQUENCES: Serious reputational damage for DCAL, and the development of the language as a positive economic and social change driver is not maximised.</p> <p>BUDGETARY CONTEXT: No overall financial allocation/budget has been agreed for implementation of the GQP. The department is already overcommitted for 2014/15 and RPA has affected indicative offers of funding from DSD and BCC.</p>	M-H	M-H	<ul style="list-style-type: none"> The Minister secured support in principle from other Executive Ministers for the aims of the GQP. Interim reporting dashboard for projects regularly updated and reviewed by DCAL. Progress meetings with Gaeltacht Quarter Board members. 3 Forbait Feirste based support staff assisting delivery of the programme on a full time basis from 1 July 2014 	M-H	M	<p>1. Draft governance arrangements on hold as <u>due to funding restraints</u> the programme is currently smaller than envisaged.</p> <p>2. Work to scope the portfolio of projects, identify benefits and necessary funding is ongoing. Damien Rea/Arthur Scott</p> <p>2. The draft programme is being re scoped to initially focus on fewer priorities and those requiring minimal resourcing to deliver benefits. 31 October 2014 – Damien Rea/ Arthur Scott .</p> <p>3. 3. Agree lead role for programme manager. Option to use BCC Programme Management expertise exists. This offer has not been implemented owing to delay in advancing the projects. To be revisited following the outcome of October Monitoring – Damien Rea/ Arthur Scott</p> <p>4.2. Research EU funding opportunities as</p>	M	L-M

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					<p>a means of financing some aspects of the programme. Forbairt Feirste taking this forward. Damien Rea.</p> <p>5.3. <u>Work ongoing to produce LOO and Business case for Awaiting outcome of bids made for the Cumann Chluain Árd project following successful bid in October Monitoring. Regular meetings with funding partners and project and for the Aras na bhFál project 30/10/14.</u> Damien Rea</p> <p>6.4. <u>Scope to provide Client Adviser role for the Raidio Failte Project from DCAL Stadium Team being considered £30k secured for funding a client advisor and architect for the Lionra Uladh project before handing the project over to BCC to manage on 31st March 2017. A potential increase to the level of DCAL financial support for the Raidio Failte project is also being considered. 17/10/14 Damien Rea Bids to be made in 2015/16 for Lionra Uladh and InaG capital builds. Damien Rea/Arthur Scott</u></p>			
Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	L-M

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Corporate Risk Register – November 2014 Update

12 Infrastructure failure Waterways Ireland								
Risk Owner: Arthur Scott								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: An inadequately resourced maintenance/investment programme and inappropriate inspection regime results in a major infrastructure failure.</p> <p>CAUSE: The enhanced size of the asset base and the need to deliver increased efficiencies while also having to meet rising pension costs from the recurrent budget.</p> <p>CONSEQUENCES: Potential loss of life, damage to property and disruption to commerce and local communities.</p> <p>BUDGETARY CONTEXT: DAHG is seeking a further 1% efficiency gain for 2014 as well as the required 4% annually for 2014 - 2016.</p>	M-H	M-H	<p>Deployment of risk based inspection regime and delivery of prioritised maintenance programme</p> <p>Daily inspections and or detailed structural analysis for structures assessed to be at imminent risk of failure.</p> <p>Posting marine warning notices and advising land owners and other interested stakeholders of potential risks for structures assessed to be at imminent risk of failure.</p> <p>WI to ensure an optimum balance between reactive and planned preventive maintenance taking account of the available resources.</p>	M-H	M	<p>The CEO is developing radical efficiency proposals for consideration by a future NSMC including the closure of the navigations during off peak hours and the low season and the disposal of corporate assets. The potential to generate new and increased revenue flows from lock charges is also being considered.</p> <p>Ongoing Martina Campbell</p>	M	M

Corporate Risk Register – November 2014 Update

Previous Month's Risk Rating:	M-H	M-H		M-H	M		M	M

Corporate Risk Register – November 2014 Update

13. Failure to Establish Ulster-Scots Academy or Secure Academy Budget post March 2015								
Risk Owner: ARTHUR SCOTT								
Risk, Consequences & Budgetary Context	Inherent Risk		How risk is currently managed	Residual Risk		Action Plan (including assignee and completion date)	Treated Risk	
	Imp	Like		Imp	Like		Imp	Like
<p>RISK: Delay in agreeing Academy proposals.</p> <p>CAUSE: Slippage in the original consultation timetable and potential lack of political consensus.</p> <p>CONSEQUENCES: Gap in Ulster-Scots Academy approach/provision will result in negative reaction from the sector and politicians. Academy space in Corn Exchange will be underutilised. Significant reputational damage for DCAL and the development of the sector as a positive driver for 'Together Building a United Community', economic and social change.</p> <p>BUDGETARY CONTEXT: No budget allocation has yet been agreed for an Ulster-Scots Academy/Academy Approach post March 2015 and reductions 2014/15 of funding expected.</p>	H	M-H	<ul style="list-style-type: none"> • Business Case for a full academy already prepared and cleared by economists • Public consultation plans for Academy proposals ready to commence since March 2014 with original target decision date of autumn 2014 • Academy Implementation Plan prepared • Contingency Planning for interim/fallback academy arrangements undertaken. • Interim/fallback Academy options considered by MAG Academy Board on 21 August 2014 and submission to Minister 6/10/2014 • Submission to Minister to agree the launch of the public consultation in October 2014. 	H	M	<p>1..Implementation of agreed Academy interim option to commence 1 January and be in place by 23 March 2015.</p> <p>2.Preparation of 2015/16 business plan by mid October and outline 5 year Academy Strategic Plan by mid November 2014.</p> <p>3.Implementation of full academy proposals if approved and in line with agreed milestones.</p> <p>Brian McTeggart</p>	M	M
Previous Month's Risk Rating:	H	M-H		H	M		M	M

Corporate Risk Register – November 2014 Update

From: John Hinds
Date: 27th January 2015
To: Departmental Board



Revised 2014/15 Corporate Risk Register

SUMMARY

Issue: Amendments have been made to the 2014/15 Corporate Risk Register which require endorsement by the Board

Timescale: 27th January 2015

Presentational Issues: None.

Recommendation: That the Departmental Board:

- (a) endorses the revised format of the corporate risk register;
- (b) advises if any additional risks are required/existing risks should be removed;
- (c) notes the need to prepare a 2015/16 Corporate Risk Register once the 2015/16 Business Plan is finalised; and
- (d) endorses the proposal to bring the corporate risk register to the Board every quarter as opposed to every month.

Detail

At the November Board meeting it was recognised that the current 2014/15 Corporate Risk Register required some work to ensure that risks were relevant and real.

2. Corporate Strategy and Governance Branch has developed a new 2014/15 register which focuses on true, corporate level risks – See attached at **Annex A**.

Proposed Changes and Rationale

3. Definitions of 'Impact' and 'Likelihood' have been enhanced to help the user select the most appropriate rating. For example reference to key deliverables is now included across all ratings
4. Previously in the 5x5 risk rating matrix ratings of 10 or above had been deemed as red risks however it is proposed that this is too conservative/cautious and now only ratings of 15 or above are deemed red risks. This better reflects the Department's appetite to risk.
5. The risk overview table has been enhanced to include movement from the last review.
6. Impact and likelihood of risks are now depicted as numbers and not letters.
7. The 'treated risk' section of the risk register has been removed as it is hypothetical and potentially misleading to the user. Once items from the action plan are completed they will move into the 'how risk is currently managed' section and the residual risk will be amended if necessary.
8. The removal or amendment of a number of risks on the following basis:
 - a. There were too many risks – some risks were not significant enough or corporate in nature and should be managed at Divisional level, **OR**
 - b. Some are not true risks – either because they were aspirational in nature i.e. are to do with objectives where firm plans and funding are not in place, or because they related to the failure to achieve objectives and not what causes the failure.

Each of the risks from the old register is detailed in **Annex B** along with details of the changes being proposed.

9. A new risk has been added to cover the risk represented by breaches in information management. Some further work is required to fully populate this new risk.
10. Currently the Corporate Risk Register is formally reviewed and presented to the Board every month. It is proposed that this formal review be reduced to quarterly to allow branches and Heads of Division more time to thoroughly review and update the register.

11. Although the 2014/15 has been revised further work will be required to develop a 2015/16 risk register once the 2015/16 departmental business plan is agreed.

Recommendations

12. The Board is asked to:
 - a. Endorse the revised format of the corporate risk register,
 - b. Advise if additional risks are required or if existing risks should be removed,
 - c. notes the need to prepare a 2015/16 Corporate Risk Register once the 2015/16 Business Plan is finalised, and
 - d. Endorse the proposal to move to a quarterly timetable for reviewing and amending the corporate risk register.

JOHN HINDS
CORPORATE STRATEGY & GOVERNANCE
EXT: 75027

Annex B

Risk #	Risk Description (from old register)	Proposed Change
1	Inadequate Governance Controls	This is still considered a corporate level risk but the inherent and residual risk ratings have been reduced. The risk has also been reframed as 'Failure to adhere to Governance Controls'.
2	Budget Constraints	<p>This remains a valid risk however at the start of a financial year or when in year cuts have been addressed the risk rating is much lower than currently illustrated. Therefore risk ratings have been reduced.</p> <p>The risk has also been reframed as 'Unexpected reductions in budgets which cause objectives not to be met'.</p>
3	Insufficiently skilled staff/Sufficient number of skilled staff	This is not deemed a significant enough risk for the corporate register. It is more applicable to business areas that rely on skilled staff eg. IT staff, Fisheries Officers, Curatorial staff etc and should be included in the relevant branch/divisional registers and has therefore been removed from the corporate register.
4	Failure to deliver PETPSE Agenda	<p>Failure to deliver an objective is not a risk instead the risk should be what would cause the failure of the objective.</p> <p>This risk has been removed from the corporate risk register.</p>
5	Failure to deliver City of Culture legacy for the North West	<p>Failure to deliver an objective is not a risk instead the risk should be what would cause the failure of the objective.</p> <p>In this case it would have been funding had it not been secured.</p> <p>Therefore this risk has been removed from the corporate register.</p>
6	Failure to deliver Regional Stadia on time and to budget	<p>This risk has crystallised in 2014/15.</p> <p>Once the plans have been reset then risks can be redetermined. However it is expected that any new risks will be managed at divisional level and not at corporate level.</p>

7	Interruption to Business	This is still considered a corporate level risk but the inherent and residual risk ratings have been reduced.
8	Failure to make official records available to the public	This is still included as a corporate level risk due to its significance and currently the ratings have been unchanged.
9	Failure to deliver Sub-Regional Stadia to design/expectations and in accordance with good governance	This is aspirational – neither firm plans nor budget are in place. Therefore this risk has been removed from the corporate register.
10	Inability to deliver TBUC	Failure to deliver an objective is not a risk instead the risk should be what would cause the failure of the objective. This risk has been removed from the corporate risk register.
11	Failure to deliver Gaeltacht Quarter Plans	Failure to deliver an objective is not a risk instead the risk should be what would cause the failure of the objective. This risk has been removed from the corporate risk register.
12	Infrastructure failure Waterways Ireland	This is not deemed a significant enough risk for the corporate register and should be managed at a Divisional level.
13	Failure to Establish Ulster-Scots Academy or Secure Academy Budget post March 2015	Failure to deliver an objective is not a risk instead the risk should be what would cause the failure of the objective. In this case it is lack of budget that would be covered by Risk #2 Therefore this risk has been removed from the corporate register.

SPORT NORTHERN IRELAND

MINUTES

Third Meeting 2012

Held on Tuesday 1 May 2012 in the House of Sport, Malone Road, Belfast BT9 5LA.

PRESENT

In the Chair: D Walsh

Members: G Campbell
R Carr
P Cummings
J D'Arcy
B Delaney
B Macaulay
R Mallon
A Moneyppenny
S McCullough
H McGrady
D O'Connor
J O'Neill
P Turnbull

Chief Executive: E McCartan

Staff in Attendance: N Harkness
S Ogle
A Sloan
R McCormick
A Campbell (for agenda item 7.8)
E Bailey

1 APOLOGIES

An apology was received from M Cowan.

2 DECLARATION OF INTERESTS

The Chairman asked everyone individually if they had any interest to declare. No interest was declared.

3 CHAIRMAN'S BUSINESS

- 3.1 The Chairman welcomed Members to the meeting and informed them that two members of staff had recently had a bereavement. The mother of Mr Ian Weir, Accountant; and the father of Mr John News, Participation Manager. Members expressed their condolences to Mr Weir and Mr News.

4 **MINUTES**

The Minutes of the First Meeting of 2012 held on 7 February 2012; the Continuation Meeting held on 21 February 2012 and the Second Meeting of 2012 held on 30 March 2012, having been previously circulated, were approved and signed.

5 **MATTERS ARISING**

5.1 Quarterly Assurance Statement to 31 December 2012

Members were advised that the Quarterly Assurance Statement for the Quarter to 31 December 2012 had been re-submitted to the Department following the discussion at the Council Meeting on 7 February 2012.

5.2 50-metre Pool Project

Members were advised that following the Council meeting on 7 February 2012 Sport Northern Ireland's (SNI) Chief Executive had written to the Permanent Secretary in response to her letter of 27 January 2012.

Members asked if Sport Northern Ireland had received the Department's Independent Review in the matter and were advised that this had not yet been issues by DCAL.

Members asked if Sport Northern Ireland had made a bid for the funds eased in 2011/12 in relation to the 50-metre Pool Project. The Director of Corporate Services advised that this would be done in the June 2012 monitoring round and that this was the first opportunity to bid for funds.

Action 1: Officers to make in-year bid for 50m Pool easement.

5.3 CAL Committee Correspondence

The Chairman advised Members that he had written to the Chair of the CAL Committee and the Minister giving his unreserved apology for misleading information sent to the CAL Committee. He further advised that he was content with the delegated arrangements for the clearance of business intended for the CAL Committee, which were that an officer would prepare a response, the respective Director would sign it off, and finally the Chief Executive would sign it off.

Action 2: New sign-off arrangements for correspondence with scrutiny committees of the Northern Ireland Executive.

6 **CORRESPONDENCE**

6.1 The Chief Executive referred to correspondence from the Department of Culture Arts and Leisure (DCAL) relating to:

- The Stadia Programme Transfer of Responsibility
- Letter from the Minister regarding common working between DCAL and the Department of Education
- Letter regarding Executive decision on Campaign Advertising

- Letter regarding draw down of cash
- Letter regarding St Colman's College Newry

Other correspondence referred to included:

- Limavady Borough Council – thanks regarding the new sports facilities at Scroggy Road.

Members noted letter dated 22 February 2012 thanking Board Member Mr D O'Connor for his visit to the official opening of

- Mrs U Duncan – thanks for the opportunity to be involved as a Member of SNI.
- Mr B McCargo – reflecting on his membership of SNI.
- Ballymena Rugby Football Club – thanking SNI for the assistance in connection with the British Irish Lions Legends Masterclass.
- Generalitat de Catalunya – on behalf of the Catalan Sports Council, who had found the Activ8 programme very worthwhile and were planning to roll out a similar programme in their region.
- C2K - thanking SNI for the assistance given to the launch of the Aim, Aspire, Achieve eLearning activity for schools.
- Mr Kevin O'Neill - thanking SNI for input to an inter-primary schools competition.

7

PARTICIPATION UNIT

7.1

Sports Matters Community Capital Project

Members considered Paper SNI/12/57 which was presented by the Community Capital Manager.

The paper proposed an approach for the Sport Matters Community Capital Programme (SMCCP) on whether SNI will allow applicant organisations to change their application details. Members heard that legal advice had been taken on how to consider any change in an application and the legal briefing was attached at Appendix 4 of the paper.

Members were required to make decisions on the approach to be adopted when dealing with requests for changes. Members were also asked to consider delegating responsibility to the Places Committee to apply the agreed approach at a subsequent meeting of the Places Committee to the three requests outlined in the paper (one now withdrawn).

The paper had appendices as follows attached.

- 1 - Sport Matters Community Capital Programme Application Form
- 2 - Sport Matters Community Capital Programme Information and Guidance Notes
- 3 - List of Assessed Applications
- 4 - Legal Briefing

5 – Legal Advice Pertaining to SNI’s Approach to Consideration of the Elite Facilities Late Applications.

Members discussed the issue at length and recognised the importance of the process being correct.

After discussion Members agreed that SNI should use its discretion to consider requests for change. Members also agreed the approach to be adopted when dealing with requests for change and agreed to delegate authority to a further meeting of the Places Committee to make decisions in respect of specific requests for change.

Action 3: Places Committee to consider requests for changes to applications under delegated authority.

7.2 Induction Briefing on SNI Participation Team Interventions

Members considered and approved Paper SNI/12/50 which contributed to the induction process of new Members of the SNI Participation Committee by bringing them “up to speed” with current SNI Participation Team interventions and priorities. Separate briefings would be arranged for those Members who were not able to attend.

Action 4: Officers to brief Members of Participation Committee not able to attend.

7.3 Memorandum of Understanding Between SNI and Sported

Members considered Paper SNI/12/51. Members noted the background to “sported” which is a national charity established in 2008 by Sir Keith Mills (Deputy Chair of LOCOG).

Members queried the funding of “sported” and where it sat with similar schemes run by SNI. Members agreed that there should be no duplication of funding.

After discussion, and taking into account the above provisos, Members approved the Memorandum of Understanding.

Action 5: SNI to sign the Memorandum of Understanding with Sported.

7.4 Tollymore National Outdoor Centre

Members considered Paper SNI/12/52 which provided an update on progress made to date in the implementation of Post Project Evaluation (PPE) recommendations. The Paper also informed Members of revised timescales for completion of a number of recommendations; and proposed and recommended a new pricing structure for Tollymore National Outdoor Centre (TNOC).

Members noted that since the re-opening of Tollymore National Outdoor Centre it had attracted the attention of two private sector companies in the Mourne area who were making complaints to DCAL that activities at Tollymore National Outdoor Centre were impacting negatively on their business.

Members agreed that concerns of others should be noted but that SNI had to be true to the goals of the Centre for the purpose for which it was built. Members

heard that Committee had given this matter significant debate.

After discussion Members approved the recommendation and agreed that the implementation of the new pricing structure should be carefully monitored and regularly reviewed.

Action 6: New TNOC pricing structure to be implemented and carefully monitored and regularly reviewed.

7.5 Delegated Decisions – Participation

Members considered and approved Paper SNI/12/53. They noted decisions taken in accordance with Council's Delegated Policy and the new/revised awards requiring Committee Delegated Authority.

7.6 Stadium Programme – SRO Report

Members considered Paper SNI/12/54 which provided an update on recent progress made on the delivery of the Stadia Projects.

Members noted the major progress made in Section 1.

Members noted that the responsibility for the Stadia Programme moved on 30 April from SNI to DCAL. They heard that the Programme Director had commented on the professional hand-over from SNI staff.

Members noted the staffing situation and the Staffing Committee's proposal that Council write to DCAL offering the advice secured by the HR Manager. Members agreed the importance of an efficient handover and agreed that the Programme Director should be asked to confirm if the handover had been adequate and if SNI could do anymore to assist.

Members adopted the Report.

Action 7: HR Manager to write to DCAL and offer access to the legal advice. Director of Participation and Places to contact new Programme Director to confirm adequate handover.

7.7 Delegated Decisions – Places

Members considered Paper SNI/12/55 and noted decisions taken in accordance with Council's Delegation Policy.

7.8 Safety of Sports Grounds (NI) Order 2006

Members considered Paper SNI/12/56 and noted the ongoing work in the overseeing of the implementation of the Safety of Sports Grounds (NI) Order 2006 and the progress made in monitoring the implementation of Part 4 of the Justice Act.

8 **PERFORMANCE UNIT**

8.1 Delegated Decisions – Performance

Members considered Paper SNI/12/63 and noted actions taken in accordance

with Council's Delegation Policy.

8.2 Investment in Amateur Boxing 2012-2015

Members considered Paper SNI/12/64. The Paper sought approval of the programme level business case for investment in amateur boxing over the period 2012-15. It also requested approval to allocate £3.27m from SNI's Lottery Funds to initiative the development of a funding programme.

The business case identified a need for strategic intervention in the sport of amateur boxing. In order to meet performance and participation needs in the sport in the medium term, immediate intervention would be required to address the capital needs of clubs, primarily equipment, new ancillary facilities and repair of existing facilities.

This business case identified the resources required to fund the preferred option for investment and identified a programme management partnership that would deliver investment at a club level.

Members considered the challenge in meeting societal outcomes but recognised the potential benefits for areas of deprivation from this investment.

Members approved the recommended preferred option and structure for delivery.

9 **SPORTS MANAGEMENT SERVICES (formerly Corporate Services Unit)**

9.1 Management Accounts for the 12 Months to 31 March 2012

Members considered Paper SNI/12/58 and noted that it was discussed in detail at the Audit and Risk Management Committee (ARMC) earlier in the day. The Director of Sports Management Services took Members through the paper in detail and provided explanations for any variances arising.

Members approved the Management Accounts for the 12 months to 31 March 2012.

9.2 Delegated Decisions – Sports Management Services

Members considered Paper SNI/12/59 and noted decisions taken in accordance with Council's Delegation Policy.

9.3 Risk Register

Members considered and approved Paper SNI/12/60 which provided a summary of the key corporate risks, their ratings, agreed mitigation activities and progress made against those activities.

Members heard the paper had been considered at the ARMC earlier in the day. The primary change was to the Stadium risk now that responsibility had been transferred to DCAL. Members heard that the ARMC Committee had expressed some concern that whilst the Stadia Programme had moved to DCAL there might still be residual risk to SNI.

9.4 Annual Report of the Chair of Audit and Risk Management Committee

Members considered Paper SNI/12/61 which highlighted the key achievements of the ARMC in 2011/12. Members were content that it provided a full and balanced account of the activities of the Committee during the year.

9.5 Audit and Risk Management Committee

9.5.1 The Chair of the ARMC advised Members that the NIAO Director had raised an issue regarding the transfer of projects between Lottery and Exchequer. The NIAO Director advised that the National Audit Office (NAO) had qualified the accounts of Arts Council England for the transfer of projects from Lottery to Exchequer. He had noted that the issue revolved around the fact that the projects had already been accounted for in Lottery and that these accounts had been laid before Parliament and then the Projects were transferred to Exchequer.

The Chair of ARMC advised that the Executive Team would be reviewing their files to establish if this applied to Sport Northern Ireland.

Action 8: Executive Team to review files and report back to next Council Meeting.

The Chair of ARMC advised that the Permanent Secretary had written to the Chair of Council on 29 March 2012 referring to a communication from a journalist in relation to the business case for St Colman's College project received by Sport Northern Ireland on 5 March 2012. The Permanent Secretary was very concerned that Sport Northern Ireland did not notify the Department immediately of this issue under its Anti-Fraud and Corruption Policy.

The ARMC Chair advised that he had carried out a review of the matter and he had reported his findings to the ARMC that day. They include:

- The journalist raised a series of questions seeking clarification in relation to the business case that was approved to support funding to the St Colman's College Project.
- On receipt of the journalist's communications of 5 March 2012, Sport Northern Ireland's Director of Corporate Services conducted a review of the matters raised in the communication, including meeting with the consultants who had prepared the business case. The Director of Corporate Services was unable to substantiate the matters raised by the journalist.
- Given the nature of the issue, the matter should have been handled in accordance with Sport Northern Ireland's Anti-Fraud and Corruption Policy when the communication was first received.
- All relevant Sport Northern Ireland officers have received fraud awareness training and in particular the officers who dealt with this matter.

The ARMC Chair also outlined a number of learning points he identified during

the course of his review:

- Letters of support for capital projects should be re-validated where a period of two years had elapsed between receipt of the letter of support and the project commencing.
- The assertion made by the journalist in relation to the scope of sports using the facility may have been resolved more expeditiously had greater focus been given to the facility user agreements that existed for the facility.
- The opportunity to demonstrate the project's value for money would have been welcomed but it was recognised that at this early stage a Post Project Evaluation had not been completed.
- As an additional step to the review undertaken by the Director of Corporate Services, validation of the information in relation to cross community usage by State Controlled Schools could have been obtained directly from St Colman's College.

Members were advised that at the invitation of the Department of Social Development's Deputy Director of Regional Development, Sport Northern Ireland representatives were invited to attend a meeting with the journalist to discuss the St Colman' College Project on 19 April 2012. Also in attendance at the meeting were representatives from Newry and Mourne District Council and FPM Consultants who had prepared the business case. During the course of this meeting the journalist reiterated and expanded on the assertions he had made in his e-mail to Sport Northern Ireland of 5 March 2012. The journalist also referred to communications he had from third parties that had not been available to Sport Northern Ireland. Members were advised that copies of these communications were requested but that this request had been refused by the journalist's Editor.

The ARMC Chair advised that the matter had been discussed at the ARMC in detail and that Members reinforced the need to ensure that Department are informed promptly of such issues and that if there is any doubt the Executive should err on the side of caution and advise the Department. It was agreed that the Chair of the Council should write to the Permanent Secretary on this matter.

Members of Council were content with the investigation carried out by the ARMC Chair and the subsequent learning points and actions.

Financial Management -

The ARMC Chair advised that DCAL's Director of Finance had written to Sport Northern Ireland Director of Corporate Services on 20 April 2012 expressing concern with regard to cash forecasting within Sport Northern Ireland. There had been a variance of 55% between the cash forecast submitted in March and that actual drawdown submitted in April. In addition it was noted in the letter that a major variance had occurred in October 2011 and December 2011 and that there was the requirement for emergency funding in July 2011.

The Director of Corporate Services advised:

- That Sport Northern Ireland operated in an environment that includes working with a significant number of community/voluntary organisations which have limited capacity to submit claims regularly and to the desired quality to enable the timely release of funds.
- That Sport Northern Ireland predicts cash needs on data from past claims submitted; future activity anticipated based on discussion with grant recipients; and an understanding of the grant recipient's needs.
- Sport Northern Ireland factors these issues within its cash planning framework, however there are times when deviations occur due to claims which are not received with the timeframe expected or where paperwork is missing from the claim to fully comply with grant vouching requirements. In addition, grant recipients can submit claims when they are not expected due to their own cash flow issues. Sport Northern Ireland endeavours to process all claims quickly.

The Director of Corporate Services advised that Sport Northern Ireland was not aware that it could revise its forecasted cash requirement once the figure had been submitted. He further advised that Sport Northern Ireland will introduce a step within its internal processes to review cash requirements between the submission of the cash requirement and the submission of the drawdown claim so as to enable differences to be identified and the Department advised at the earliest possible time.

Members were advised that the matter had been discussed by the ARMC in detail and that they were content that SNI's cash forecasting process was in a state of control but recognised that third party actions and pressures had an impact on accuracy.

Action 9: SNI Finance team to introduce a step within its internal processes to review cash requirements between the submission of the cash requirement and the submission of the drawdown claim.

9.6 Advocacy and Communications Department

Members considered Paper SNI/12/62 and after discussions approved the advocacy and communication activities.

Members noted the communication from DCAL regarding protocols on arms-length bodies' advertising and branding.

Mrs H McGrady left the meeting

9.7 Business Plan 2012/13 and Revised Savings Delivery Plan

Members considered Paper SNI/12/65 which provided them with the current Sport Northern Ireland Draft Business Plan and Savings Delivery Plan for the period 2012/13 which had been submitted to the Department. The Chairman noted that Members had been consulted on the plans before they had been submitted to the Department on 20 March 2012.

9.8 Sport Matters

Members considered Paper SNI/12/66 which provided an update on the targets

within Sport Matters. Members received an update on each of the targets and were content with progress.

9.9 Monitoring Policy

Members considered and approved the Monitoring Policy (Paper SNI/12/67) which replaced the Grant Monitoring Policy and provided a more detailed, structured and consistent approach to monitoring through the organisation.

9.10 Business Plan Quarter 4 Review

Members considered Paper SNI/12/68 which outlined Sport Northern Ireland's out-turn against its key performance indicators 2011/12.

Members considered the key performance indicators and sought and received explanation of where targets had not been achieved.

After discussion Members approved the Business Plan Quarter 4 Review.

9.11 Annual Quarterly Assurance Statement

Members considered Paper SNI/12/70 which provided Sport Northern Ireland Chief Executive's Quarterly Assurance Statement (QAS).

Members discussed the QAS in detail and raised concerns that in relation to Risk Management that the Chief Executive had ticked "no" to question 2 which states that "I am satisfied that there are appropriate controls in place to manage the risks for which I am responsible and that these controls are both adequate and effective to manage the risk to an acceptable level". The Chief Executive explained that this related specifically to the Stadium programme and that it was detailed in the notes within the QAS.

After discussion Members approved the QAS for the period January to March 2012.

10 **COMMITTEE REPORTS**

10.1 Audit and Risk Management Committee

Members received the Minutes of the Meeting held on 7 February 2012.

10.2 Places Committee

Members received the Minutes of the Meeting held on 20 September 2011.

10.3 Mountain Leader Training Northern Ireland

Members received the Minutes of the One Hundred and Sixth Meeting held on 8 November 2011.

10.4 Northern Ireland Mountain Cave Cliff Rescue Co-Ordinating Committee

Members received the Minutes of the One hundred and First Meeting held on 17 November 2011.

10.5 Participation Committee

Members received the Minutes of the Meeting held on 19 January 2012.

11 **PUBLICATIONS**

There were none.

12 **DATE OF NEXT MEETING**

Tuesday 7 August 2012.

13 **ANY OTHER BUSINESS**

13.1 Directors' Liability Assurance

Members queried the availability of Liability Assurance but noted that this was not available to Members.

There being no further business the Chairman thanked Members for their attendance and the meeting closed.

Signed: _____

Dated: _____

House of Sport
Upper Malone Road
Belfast
BT9 5LT

SPORT NORTHERN IRELAND

MINUTES

Minutes of Meeting held on 31 July 2012 in the House of Sport, Malone Road, Belfast BT9 5LA.

PRESENT

In the Chair: D Walsh

Members: P Cummings
R Mallon
A Moneypenny (by conference call)
P Turnbull

Acting Chief Executive: N Harkness

Staff in Attendance: A Sloan
S Ogle

1 **APOLOGIES**

An apology was noted from John D'Arcy.

2 **DECLARATION OF INTERESTS**

No declarations of interest were declared.

3 **EXCHEQUER ANNUAL REPORT AND ACCOUNTS FOR THE YEAR TO 31 MARCH 2012**

The Chairman outlined that the purpose of the meeting was to approve the Exchequer Annual Report and Accounts for the year to 31 March 2012 and to consider the Report to those Charged with Governance from the Northern Ireland Audit Office.

The Chairman advised that at the last Council Meeting Members delegated authority to the Members of the Audit and Risk Management Committee plus the Chairman and Vice-Chairman to approve the Exchequer Annual Report and Accounts for the year to 31 March 2012.

The Chairman advised that with five Members present the meeting was quorate.

The Chairman of the Audit and Risk Management Committee advised that the Committee had considered the Exchequer Annual Report and Accounts for the year to 31 March 2012 and the Report to those Charged with Governance. He further advised that the Audit and Risk Management Committee Members recommended that the Exchequer Annual Report and Accounts for the year to 31 March 2012 should be approved by Council and signed by the Chairman and

the Acting Chief Executive.

Members noted that the Northern Ireland Audit Office had issued an unqualified audit opinion and that there had been no major or minor adjustments made to the Annual Report and Accounts. Members asked for the Members of the Audit and Risk Management Committee to monitor the implementation of the three priority 1 recommendations made by the Northern Ireland Audit Office.

Members approved the Exchequer Annual Report and Accounts for the year to 31 March 2012 and that they should be signed by the Chairman and the Acting Chief Executive.

4 **ANY OTHER BUSINESS**

There was no other business.

5 **DATE OF NEXT MEETING**

The next meeting will take place on Wednesday 15 August 2012 in the House of Sport.

Signed: _____

Dated: _____

House of Sport
Upper Malone Road
Belfast
BT9 5LT

SPORT NORTHERN IRELAND

MINUTES

Minutes of Meeting held on Wednesday 4 July 2012 in the House of Sport,
Malone Road, Belfast BT9 5LA.

PRESENT

In the Chair:	D Walsh
Members:	J D'Arcy G Campbell P Cummings B Delaney R Mallon S McCullough D O'Connor
In Attendance as Observer:	R Flanagan, Permanent Secretary, Department of Culture Arts and Leisure (DCAL)
Acting Chief Executive:	N Harkness
Staff in Attendance:	S Ogle A Sloan J Beggs A Campbell T Smyth E Bailey

1

APOLOGIES

Apologies were received from Mr A Money Penny, Mr M Cowan,
Mr B Macaulay and Mr P Turnbull.

2

DECLARATION OF INTERESTS

The Chairman asked everyone individually if they had any interests to declare.

Mr D Walsh and Mr D O'Connor both declared an interest in the World Police and
Fire Games.

3 **CHAIRMAN'S BUSINESS**

- 3.1 The Chairman welcomed Ms Rosalie Flanagan, Permanent Secretary of Department of Culture Arts and Leisure (DCAL) who was attending her first SNI Council Meeting.
- 3.2 The Chairman congratulated Mr Nick Harkness on his appointment as Acting Chief Executive.
- 3.3 The Chairman referred to a tabled Paper SNI/12/75 –SMCCP/5574 Ardoyne Youth Providers Forum" which provided a progress report on the Ardoyne Youth Providers Forum application to the Sports Matters Community Capital Programme. The Paper was provided to reassure Members with respect to SNI assistance and associated project management decision. The Paper indicated that the matter is being handled within due process.

Members were informed that this matter was being brought to their attention because Belfast City Council had advised that it is attracting political interest and Members were also advised that DCAL had been informed. They were asked, should they be approached by the press, to refer that approach to the Communications and Advocacy Department.

- 3.4 The Chairman advised, following consultation with Members, that Mr Gerard Campbell, Mr Shane McCullough, and Mr Danny O'Connor were confirmed as SNI-nominated Directors for the Sports Institute Northern Ireland (SINI); and also confirmed Dr Olive Brown, Prof Marie Murphy, and Prof Carol Curran as nominations from the University of Ulster, with Dr Olive Brown appointed as Chair.
- 3.5 The Chairman advised Council Members that, following consultation with Members, a decision had been taken to stand down Committees while Council Meetings are taking place on a monthly basis.
- 3.6 The Chairman informed Members that the Management Accounts would be considered on a bi-monthly basis during the period of monthly Council meetings so that the workload of the Council can be effectively managed. Members were content to receive Management Accounts provided they are considered by the Executive Team on a monthly basis.

4 **MINUTES**

The Minutes of the Meetings held on 1 May 2012 and 14 June 2012, having been previously circulated, were approved and signed subject to a typographical point in Item 6.1.

The Minutes of the meeting held on 18 May were not available for tabling but will be circulated to the next meeting on 15 August.

Action 1: Minutes of Meeting of 18 May 2012 to be provided to August meeting. (Vice-Chairman)

5 **MATTERS ARISING**

5.1 Members asked if there was any update on the Chief Executive and heard an update from the Chair of the Staffing Committee which met earlier in the day.

The action points listed in the Minutes of the meeting on 1 May were confirmed as carried out with the following exceptions.

Reference Action 6 - Tollymore National Outdoor Centre - pricing structure. The Acting Chief Executive reported that a number of bookings had been cancelled because of the new pricing structure. Proposed revisions to the new pricing structure will be brought to the next Council meeting.

Members expressed the view that it is SNI's duty to ensure that Tollymore National Outdoor Centre is run its remit as set out in the Business Case. The economic climate should not influence SNI's decision to do the right thing. Members agreed that SNI should focus on what is its core delivery.

The Acting Chief Executive said that a proposal would be brought to the next meeting on 15 August.

Action 2: TNOC pricing proposal to be revised. (Director of Participation and Places)

Reference Action 7 - Stadium Programme – SRO Report. The Acting Chief Executive reported that the Stadium Director was content with the handover and had confirmed to the Acting Chief Executive that it was one of the most professional handovers he had experienced.

Members asked for regular updates on the Stadium Programme bearing in mind SNI's long involvement with it. The Permanent Secretary agreed that her SRO Report could be circulated to Members.

Action 3: Stadium SRO Reports to be provided to Members. (Director of Participation and Places)

Reference Action 9 - Audit and Risk Management Committee. Members heard that the Lottery Accounts would be unqualified.

Members agreed that the list of Action Points as tabled were useful and should be continued with any update on action points being reported in writing.

6 **CORRESPONDENCE**

6.1 Irish Sports Council

Members noted letter dated 4 May 2012 confirming agreement of the Memorandum of Understanding on coach education between ISC, SNI, Coaching Ireland and Sportscoach UK.

6.2 Youth Sport Trust

Members noted letter dated 18 May 2012 thanking SNI for its support of the Sainsbury's 2012 School Games.

7 **SPORTS MANAGEMENT SERVICES UNIT**

7.1 Department of Culture Arts and Leisure Review of Armslength Bodies

Members considered Paper SNI/12/76 which provided a background to, and proposed a timetable for, the forthcoming governance and value for money review of SNI.

In the absence of the Chair of the Audit and Risk Management Committee (ARMC) Mr P Cummings reported that the ARMC had met on two occasions; that the Armslength Body review of SNI had been postponed for a period of time and that the Chair of ARMC had offered to oversee a governance review of SNI. A useful meeting had taken place with the Permanent Secretary to discuss issues of concern to DCAL and the remit to take the review forward.

The Chair of ARMC had met CIPFA, a non-profitmaking and training organisation which had proposed a methodology for the review which is with the Permanent Secretary.

The Permanent Secretary concurred with Mr Cummings' statement and said that SNI was moving in the right direction.

It was noted that a Terms of Reference for a Value for Money Review had been drafted and that DCAL approval was required although Members asked that the Value for Money Review should have a quality aspect.

Members stated that SNI should ascertain what sports and other stakeholders think of it as an organisation and noted that it is proposed to do a stakeholder satisfaction survey through the Policy Planning and Research Manager.

Members asked that an adjusted Terms of Reference be presented to the next meeting.

Action 4: Director of Sports Management Services to present updated Terms of Reference to Members to the next meeting.

Action 5: Director of Sports Management Services to propose a Terms of Reference for a stakeholder survey at a future meeting.

Members agreed the importance of having objectivity and validation from an

external point of view and noted that should CIPFA be procured it would be done in accordance with procurement policy.

7.2 Olympic Games

Members considered Paper SNI/12/177 which sought approval for attendance at the Olympic and Paralympic Games.

The Chairman, Acting Chief Executive and Director of Performance left the room for forthcoming discussion to take place.

Mr J D'Arcy chaired the discussion.

The Director of Sports Management Services reported on costs involved. An indicative budget was prepared as some costs were uncertain at this stage. The Paper sought approval for up to £16,500 for attendance at the Olympic and Paralympic Games.

In addition to attendance of the Chair and Acting Chief Executive, officers requested and obtained permission for the attendance of the Director of Performance to allow him to observe the benefit of the investment made in athletes taking part in the 2012 London Olympics.

Members agreed that those attending the Olympic Games and the Paralympic Games should provide a written report to Members on their return.

The Chairman, Acting Chief Executive and Director of Performance returned to the room.

Mr J D'Arcy reported that Members approved the budget of up to £16,500 for attendance at the Olympic and Paralympic Games. Members had also requested that officers actively network with Commonwealth Games countries with a view to promoting Northern Ireland as a base for pre-games camps for the Commonwealth Games in Glasgow in 2014.

Members also approved that officers have flexibility in actual dates of attendance.

7.3 Exchequer and Lottery Accounts 2011/12

Members considered Paper SNI/12/78 which sought approval for the Exchequer and Lottery Accounts for the year to 31 March 2012. It also sought delegated authority for SNI officers to make minor amendments to the accounts if required by the Northern Ireland Audit Office (NIAO).

The Director of Sports Management Services reported that it was only possible for Members to consider the Lottery Accounts as the NIAO had not yet issued the Report to those Charged with Governance on the Exchequer Accounts.

The Director of Sports Management Services explained that this had arisen due to the late submission by three weeks of the Exchequer Accounts to the NIAO. Members expressed their disappointment at the late submission of the Exchequer Accounts, whilst recognising the valid reason for it happening. They requested that they be informed immediately of such issues rather than waiting to the next Council meeting.

Members discussed the recommendations made within the Report to those charged with governance and asked that the Priority 1 recommendation would be followed up by the ARMC.

Members asked that a summary of highlights from the Accounts be included in future years.

Members approved the Lottery Accounts and noted the unqualified Audit Report.

Members agreed that when the Report to those Charged with Governance in relation to the Exchequer Accounts 2011/12 is available the ARMC should meet as soon as possible to consider these. It was further agreed that the Chair and Vice-Chair, along with the ARMC, could approve them on behalf of Council.

Action 6: Annual Accounts highlights to be included in future years. (Director of Sports Management Services)

It was also agreed that it would be preferable for the ARMC to meet two weeks ahead of Council Meetings to facilitate Committee Papers being amended for distribution to Council Members.

7.4 Advocacy and Communications

Members received a Pre-Games Training Camps (PGTC) Update (Paper SNI/12/79) and noted recent and upcoming activities in the Advocacy and Communications Department.

Members noted that a drop box has been set up for accessing changing information regarding PGTC and relevant passwords will be circulated by e-mail to Members.

Action 7: Director of Sports Management Services to circulate access instructions to the PGTC drop box to Members.

Members expressed their congratulations to all concerned in exceeding the PGTC target.

7.5 Report Of Delegated Decisions - Contracts

Members considered Paper SNI/12/81 and noted decisions taken in accordance with Council's Delegated Decisions Policy.

7.6 Revenue Support Towards World Police and Fire Games 2013

The Chairman and Mr D O'Connor left the room.

Mr John D'Arcy chaired this discussion. Members considered Paper SNI/12/82 which sought Members' approval of the business case for Revenue Support towards the World Police and Fire Games (WPF) 2013. The recommendation was for exchequer investment of up to £115k towards the WPF 2013.

Members noted the rationale for the business case and the necessity owing to the identification of Ministerial priority of investment in Amateur Boxing 2012-15 to terminate a secondment agreement to the WPF.

Members also noted the preferred options from the business case. Members raised questions regarding the degree of commitment by SNI to second when so many staff are on sickness absence; but noted that SNI had made a decision to second three members of staff and noted that the Games were a Ministerial priority. Members sought reassurance that this would not negatively impact on SNI and that the staff remaining in the House of Sport would still be able to deliver on SNI's core business.

The Acting Chief Executive reported that delivering on the Ministerial priority of the boxing programme would be unlikely if we don't have the seconded Deputy Principal. He reported that SNI is trying to find a route through this to deliver aspirations and demand.

Members agreed that they would wish to support WPFG but added concern over the quantum of resources. Members proposed an equal share of any additional costs over the current cost of proving the Deputy Principal on secondment.

Members set out their decision as follows:

- Up to £115k approved.
- Aspiration to share any increased cost equally with WPFG.
- Aspiration not to exceed current SNI costs if that can be achieved.

The acting Chief Executive was given authority to proceed on this basis.

Mr G Campbell left the meeting.

The Chairman and Mr O'Connor returned to the room.

Mr J D'Arcy reported that following discussion Members were very supportive of the WPFG and the boxing priority. In principle the recommendation was approved but Members wanted a significant challenge. Members were concerned with the increase in resource being sought. The Paper was agreed in principle and the Acting Chief Executive was to have discussions with WPFG to try to bring down the additional spend. Members were of the view that SNI is being asked to significantly increase its contribution at a time when its resources were tight.

Action 8: Acting Chief Executive to discuss further with WPFG and report to next Council meeting.

7.7

Cliftonville Football Club

Members considered Paper SNI/12/83 which conducted a risk assessment of a proposal put forward by Cliftonville Football Club (CFC) regarding legal charge.

CFC wished to secure loan financing from Tennents NI; and had made a request that SNI revise the priority of its legal charge down to allow Tennents NI higher preferential status

Mr Shane McCullough declared an interest and left the room.

The Acting Chief Executive reported on the background research that had been carried out. He proposed that reducing the security of the SINI grant could be

considered contentious.

The Paper did not contain a specific recommendation but did contain a risk assessment.

A lengthy discussion took place and Members sought guidelines. The policy stated that SNI has to take a charge that is sufficient to cover the grant given to the organisation – in this case originally £1.1m.

Members discussed at length CFC's current asset valuation. They also queried the risk to SNI in changing or not changing priority on the legal charge and reputational risks to SNI as a result of either decision.

The Chairman asked, if SNI had security of cover for all outstanding grant values, would Members have a comfort. SNI's role was promotion of sport and Members asked the Acting Chief Executive and Director of Sports Management Services to obtain a verification on the CFC valuation through the Land and Property Services Agency and refer back to Council as quickly as possible and obtain a more recent set of Management Accounts.

Members agreed that the Acting Chief Executive should inform the Chairman of CFC of Council's considerations and actions.

Action 9: Acting Chief Executive to contact CFC to advise them of the decision to seek a new valuation and obtain a more recent set of Management Accounts.

7.8 Risk Register

Members considered Paper SNI/12/84 which provided a summary of the key corporate risks, their ratings, agreed mitigation activities and progresses against those activities.

The Director of Sports Management Services took Members through the Risk Register identifying the comments raised by Members of the ARMC. Members discussed the risks and the mitigating actions and were content.

The Director of Sports Management Services advised that following the emerging findings he would be carrying out a review of SNI's Risk Management Framework and would report back to the next Council Meeting.

Action 10: The Director of Sports Management Services to review Risk Management Framework and report to the next Council Meeting.

8 PARTICIPATION UNIT

8.1 Update on 50-metre Pool Project

Members considered Paper SNI/12/80 which provided a progress report on the 50m pool project and which gave reassurance with respect to SNI project management.

The report provided an overview of the current status of the project. Members noted that the mechanisms employed are managed within a pro-active system of project governance including review and mitigation by a Project Steering

Group and Executive Project Board on a regular structured basis.

Member noted the report as an assurance that the project is being managed effectively to ensure successful delivery within agreed time, cost and quality parameters.

8.2 Special Olympics Ulster Budget Variation

Members considered Paper SNI/12/85 which sought approval for a variation to the percentage contribution to eligible cost centres within the Special Olympics Ulster (SOU) award in 2012/13 subject to final Inter Departmental Oversight Group (IDOG) approval.

It sought delegated authority to officers to approve up to a maximum of 10% virement across eligible programme expenditure areas.

It also sought delegated authority to officers to approved a variation to the percentage IDOG contribution to SOU.

The Acting Chief Executive reported that this is partly funded by a range of Departments and SNI is managing it as lead funder.

Members approved the recommendations.

8.3 SNI Funding Allocation to Mountain and Cave Rescue Teams

Members considered Paper SNI/12/86 which sought approval for a mechanism for allocating SNI recurrent (exchequer) funding to designated Mountain & Cave Rescue Teams in Northern Ireland.

Members noted the funding proposal and the issues to which due weight was given in the proposed funding formula.

Members approved the proposed allocation formula; the future allocation of SNI investments in Mountain and Cave Rescue through the application of this formula; and that Letters of Offer be issued to the three designated mountain and cave rescue teams based on the application of the funding formula.

8.4 Youth Sport Omagh

Members received an update on recent actions undertaken by SNI (Paper SNI/12/87).

Members noted the background and context of Youth Sport Omagh (YSO); the current issues surrounding the Funders Group; and recent developments (2012/13).

Members noted that SNI had met regularly with YSO who had recently appointed new Directors and now meet more regularly.

Officers will monitor its financial viability closely and will provide monthly updates to Council and DCAL.

Members wished to see real assurance that by 31 December 2012 SNI could be confident of the future of YSO and asked that this item be kept on Council

Agenda for the coming months. Officers advised Members of the reversion clause within the lease and the Deed of Dedication that would protect the future use of the facility for sport.

Action 11: Youth Sport Omagh to be a standing item at Council Meetings. (Director of Participation and Places)

8.5 Re-Profiling of Adventure Mark Delivery Costs

Members considered Paper SNI/12/88 which sought approval for a re-profiling of the funding requirements to continue to develop and deliver Adventuremark in Northern Ireland.

Members approved the re-profiling of costs associated with the development and delivery of Adventuremark in Northern Ireland as set out in Table 2 of the Paper.

8.6 Provision of Assurance in the 2012/13 Financial Year

Members considered Paper SNI/12/89 which provided an update on the revisions to the Quarterly Assurance Statements (QAS) and Accountability Meetings process being introduced by DCAL.

The background referred to changes to the QAS and Accountability Meetings which had been presented to the DCAL Armslength Body Chairs at the Strategic Partnership Forum Meeting on 12 June 2012. Chairs had expressed strong opposition to the proposals and pointed out that they had a part-time non-executive role and proposed that these new arrangements would draw Chairs into executive functions. The DCAL Permanent Secretary undertook to re-look at the suggestions and engage directly with Chairs.

The Permanent Secretary said that she had taken the comments made on board. The suggestion was that the Chair attends a meeting with her once or twice a year. Previously there seemed to be some concern and confusion but she hoped that the revised suggestions meet with agreement and she would be happy to discuss it further.

Members asked that this be brought to the next meeting of Council.

Action 12: Director of Sports Management Services to consider further revision to QAS at the next Council Meeting.

8.7 Delegated Decisions – Places

Members considered Paper SNI/12/91 and noted decision taken in accordance with Council's Delegated Decisions Policy.

9 PERFORMANCE UNIT

9.1 Delegated Decisions – Performance

Members consider Paper SNI/12 90 and noted decisions taken in accordance with Council's Delegated Decisions Policy.

9.2 Olympic Athletes

Members received an update on the current situation of Northern Ireland athletes selected for Ireland and Great Britain for the 2012 London Olympics and Paralympics (Paper SNI/12/92).

Members asked if information would be provided on how athletes perform and the Director of Performance reported that Twitter and Facebook accounts would be set up so that all such information would go quickly into the social domain.

Action 13: Director of Sports Management Services to set up relevant social media accounts as a means of informing Members.

10 COMMITTEE REPORTS

10.1 Mountain Leader Training Northern Ireland

Members received the Minutes of the One Hundred and Seventh Meeting held on 14 March 2012.

10.2 Audit and Risk Management Committee

Members received the Minutes of the Seventieth Meeting held on 1 May 2012.

11 DATE OF NEXT MEETING

Wednesday 15 August 2012 at 5 pm.

12 ANY OTHER BUSINESS

12.1 Ms R Mallon referred to the Public Attitudes Survey 2008 and suggested it would be useful to know how things had changed since then. The Acting Chief Executive undertook to ascertain the current situation.

Action 14: Acting Chief Executive to check situation and report to the next Council Meeting.

12.2 Mr B Delaney referred to the number of volunteer technical officials going to the Olympic and Paralympic Games and suggested that it might be worthwhile celebrating their involvement. The Director of Performance undertook to give this consideration.

Action 15: Performance Director to follow up with governing bodies of Olympic sports funded by SNI how many officers are attending the Games in a technical capacity.

12.3 Mr S McCullough asked that SNI record its gratitude and thanks to Royal Portrush for the exceptional way in which the Irish Open was delivered.

Action 16: Acting Chief Executive to draft letter for the Chairman's signature.

12.4 Mr D O'Connor referred to the three Committees now stood down and asked how business would be handled.

The Chair replied that a decision would be made when a new Chair and Vice-Chair would be appointed within the coming few months. In the meantime

issues would be dealt with by full Council on a month by month basis and issues previously delegated to Committees would go to full Council meeting.

12.5 The Chairman asked the Permanent Secretary if she had comfort from the meeting and she replied that as she had been present as observer she had decided not to intervene. She said that her presence had given her a greater insight into how the Council operates.

12.6 The Chairman informed Members that there had been a level of uncertainty within the staff, particularly with the governance review and press articles; and he suggested that a staff briefing be organised with Council Members being present and this would give them an opportunity to meet staff.

Action 17: Staff briefing to be organised. (Chairman and Director of Sport Management Services)

12.7 The Chairman informed Members that the term of office of Mr Alan Money Penny, Vice-Chairman, will come to an end on 31 July 2012. He put on record his thanks to Mr Money Penny who had put much effort into his work for SNI over the period of the last four years and seven months. He extended very best wishes to him for the future and it was hoped to have a more formal opportunity to thank the Vice-Chairman in due course.

Action 18: Acting Chief Executive to consider options.

There being no further business the meeting ended at 7.55 pm.

Signed: _____

Dated: _____

House of Sport
Upper Malone Road
Belfast
BT9 5LT

Action Number	Agenda Item No. and Title	Agreed Action	Progress
Action 1	4 - Minutes	Minutes of Meeting of 18 May 2012 to be provided to August meeting. (Vice-Chairman)	Done – will be considered at the Council Meeting on 15 August 2012.
Action 2	5.1 - Matters Arising	TNOC pricing proposal to be revised. (Director of Participation and Places)	Done – Members will consider this at the Council Meeting on 15 August 2012.
Action 3	5.1 - Matters Arising	Stadium SRO Reports to be provided to Members. (Director of Participation and Places)	Done
Action 4	7.1 - DCAL Review of ALBs	Director of Sports Management Services to present updated Terms of Reference to Members to the next meeting.	Done – will be considered at the Council Meeting on 15 August 2012 (SNI/12/97).
Action 5	7.1 - DCAL Review of ALBs	Director of Sports Management Services to propose a Terms of Reference for a stakeholder survey at a future meeting.	Done – SNI/12/102.
Action 6	7.3 - Exchequer and Lottery Accounts	Annual Accounts highlights to be included in future years. (Director of Sports Management Services)	This will be done for the 2012/13 Annual Report and Accounts.
Action 7	7.4 - Advocacy and Communications	Director of Sports Management Services to circulate access instructions to the PGTC drop box to Members.	Done – Members were provided with access codes.
Action 8	7.6 - WPFG	Acting Chief Executive to discuss further with WPFG and report to next Council meeting.	See Chief Executive's Report for update (SNI/12/111).
Action 9	7.7 - Cliftonville Football Club	Acting Chief Executive to contact CFC to advise them of the decision to seek a new	See Chief Executive's Report for update (SNI/12/111).

		valuation and obtain a more recent set of Management Accounts.	
Action 10	7.8 - Risk Register	Director of Sports Management Services to review Risk Management Framework and report to the next Council Meeting.	Done – See Paper SNI/12/100
Action 11	8.4 - Youth Sport Omagh	Youth Sport Omagh to be a standing item at Council Meetings. (Director of Participation and Places)	See Chief Executive's Report for update (SNI/12/111).
Action 12	8.6 - Provision of Assurance	Director of Sports Management Services to consider further revision to QAS at the next Council Meeting.	See Paper SNI/12/100.
Action 13	9.2 - Olympic Athletes	Director of Sports Management Services to set up relevant social media accounts as a means of informing Members.	Done – Twitter/Facebook set up.
Action 14	12.1 - Any Other Business	Acting Chief Executive to check situation and report to the next Council Meeting.	This will be considered in the new research strategy and it is hoped to carry out this work in 2013/14.
Action 15	12.2 - Any Other Business	Performance Director to follow up with governing bodies of Olympic sports funded by SNI how many officers are attending the Games in a technical capacity.	Director of Performance will provide a verbal update at the Council Meeting.
Action 16	12.3 - Any Other Business	Acting Chief Executive to draft letter for the Chairman's signature.	Done – letter issued to Royal Portrush Golf Club.

Action 17	12.6 - Any Other Business	Staff briefing to be organised. (Chairman and Director of Sport Management Services)	Not done due to time pressures, the holiday period and the Olympics. It is hoped to do this on 15 August.
Action 18	12.7 - Any Other Business	Acting Chief Executive to consider options.	To be considered in the future.

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL

1.0 Purpose

The attached paper provides a summary of the key corporate risks, their ratings, agreed mitigation activities and progress against these activities.

2.0 Introduction

- 2.1. The current risk register records 6 key corporate risks, 2 are considered high, 2 medium and 2 low.
- 2.2 Members should note the risk highlighted at no: 1 within the register which is 'Lack of Governance Structures.' This comes on the back of the DCAL review of Sport Northern Ireland and the subsequent initiation of a governance review.
- 2.3 Also identified by DCAL within this review was the need to enhance the risk management framework within Sport Northern Ireland. This area will be encompassed within the governance assignment and will likely result in a change to the manner in which risks are recorded and reported whilst ensuring an approach which is consistent with that utilised by the Department.
- 2.4 Members will be apprised on progress in relation to the governance review.

3.0 Recommendation

- 3.1 It is recommended that Members:
 - Consider the attached risk register, satisfy themselves as to the arrangements in place for managing identified risks and recommend the register for approval by the Board;
 - Note that the risk register format is likely to be the subject of a review.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V19
AUTHOR:	A Sloan
DATE:	22/06/12
DATE OF REVIEW BY AUDIT COMMITTEE	04/07/12
DATE OF REVIEW BY COUNCIL	04/07/12
NEXT REVIEW DATE	04/07/15

Version	Ref	Risk	Summary of Changes
19	1	Lack of Appropriate Governance Structures	New Risk This comes on the back of DCAL (ALB) review of Sport Northern Ireland the subsequent CAL Committee Presentation which has resulted in Sport Northern Ireland having to undertake governance review.
	2	Delay to Delivery of Major Project	<ul style="list-style-type: none"> Updated to reflect required financial healthcheck.
	3	50m Pool	<ul style="list-style-type: none"> Updated to reflected shortages in staff resources. Risk likelihood also increased from 2-3.
	4	Non Achievement of Objectives	<ul style="list-style-type: none"> Updated to reflected Sport Northern Irelands designation as a 'producer of Statistics.
	5	Lack of Appropriate Information System Security	<ul style="list-style-type: none"> Updated in respect to the Cliff and Youth Sport Omagh.
	6	Non-Significant Risks - Areas Requiring Special Attention	<ul style="list-style-type: none"> Risk removed - budgets cuts have been factored into Sport Northern Ireland's plan of activities through its Savings Delivery Plan.
		Potential Threats to Budgets	

Table 1: Risk Scoring Matrix

Likelihood	High	Medium-High	Medium	Low-Medium	Low	Impact
High	5	4	3	2	1	High
Medium-High	4	3	2	1	0	Medium-High
Medium	3	2	1	0	0	Medium
Low-Medium	2	1	0	0	0	Low-Medium
Low	1	0	0	0	0	Low

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives; or £100's lost; or Minor non-compliance issues; or No injuries.
Low - Medium	£1000's lost; or Some localised press coverage; or Isolated errors; or First aid treatment required.
Medium	£10,000's lost; or Localised media attention; or Repeated errors; or NIAO criticism; or Some business interruption; or Impact materialises over a long period of time; or Medical treatment required.
Medium - High	Failure of key support services; or £100,000's lost; or Local media attention; or Failure to meet national standards; or Extensive injuries.
High	Resulting in failure of key objective(s); or £1,000,000's lost; or Significant impact on external customers and stakeholders (Ministers etc); Significant public embarrassment / National media coverage; or Attention from Assembly/PAC; or Death.

Risk Profile Summary

Risk	Current Residual level	Further Actions	Corp Objectives Impacted
1. Lack of Appropriate Governance Structures	High	✓	<ul style="list-style-type: none"> • All
2. Delay in Delivery of Major Project – 50m Pool	High	✓	<ul style="list-style-type: none"> • Quality Facilities
3. Fraud Minor	Medium - Low	✓	<ul style="list-style-type: none"> • All
4. Non Achievement of Objectives >10%	Medium	✓	<ul style="list-style-type: none"> • All
5. Lack of Appropriate Information System Security	Low	✓	<ul style="list-style-type: none"> • Strong Sport Northern Ireland
6. Contingency / Business Disasters (Minor Level)	Low	✓	<ul style="list-style-type: none"> • Strong Sport Northern Ireland • Strong Partners

SPORT NORTHERN IRELAND – RISK REGISTER

No	Hazard	Risk Description	Inherent Risk		Current Controls		Residual Risk		Agreed Actions	Date	Officer	Residual Risk	
			1	2	1	2	1	2				1	2
1	Lack of Appropriate Governance Structures	<p>Context: The Department has currently completed its ALB review of Sport Northern Ireland.</p> <p>The review has highlighted a number of areas for improvement resulting in the requirement for a governance audit to be completed by December 2012.</p> <p>Impact:</p> <ul style="list-style-type: none"> • Departmental sanctions • Reputational Damage • Imposition of further control requirements 	5	5	<p>Preventative Controls</p> <ul style="list-style-type: none"> • Board / Sub Committee Meetings • DCAL Quarterly Meeting • Training / Induction 'on-board' • Delegated Authority • Communications with stakeholders <p>Directive Controls</p> <ul style="list-style-type: none"> • Vision, Strategy, Objectives • Policies and procedures • Internal Controls • Board and Sub Committees • Executive Team • Terms of Reference <p>Detective Controls</p> <ul style="list-style-type: none"> • Internal and External Audit • Board and Sub Committees • Executive Team • Terms of Reference • Reporting – KPIs, Annual Rpt, SIC 	5	2	<p>1. Agree TOR The review is being led by the ARMC Chair who will be agreeing the proposed TOR for this review with the Permanent Secretary.</p> <p>1. Governance Review</p>	July 2012	ARMC	5	1	
									September 2012	ARMC			

No	Heading	Risk Descrip	Priority Risk	Current Controls	Residual Risk	Agreed Actions	Date	Officer	Treated Risk	
2	Successful Delivery of Major Project 50m Pool	<p>In December 2011, Sport Northern Ireland was advised by NDBC that the delivery of the primary structure of the 50m pool hall had been badly affected by severe storm damage during sea transit from Rotterdam to Belfast.</p> <p>As a result, £2.25m has been eased from the 11/12 budget. This will create pressures during 12/13.</p> <p>Subsequent to this, Sport Northern Ireland received a claim from NIPSA that NDBC may experience solvency issues as a result of this project. Sport Northern Ireland has commissioned a full financial health check on North Down Borough Council, to further review the proposed financial projections as detailed within the Outline Business Case, review of NDBC's key financial ratios and develop a financial monitoring system which will facilitate Sport NI to collect key financial ratios from NDBC's monthly management accounts going forward.</p> <p>Impact:</p> <ul style="list-style-type: none"> Potential Delay in Completion - although SNI believes that the target date of early March 2013 remains achievable. NDBC to fund the eased budget if the internal bid is not successful Increased costs Reputational impacts Non-achievement of project objectives Project viability and sustainability jeopardised. <p>Control:</p> <p>Fraud is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p>Impact:</p> <p>A zero tolerance level across central government will require a full investigation by SNI irrespective of the level of fraud. Depending on the nature of fraud and any perceived control weaknesses there may be sanctions / punitive action / criticism / reputational damage to SNI.</p>	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Project management protocols with supplier and contractor SNI's Internal Control framework such as business planning, project mgt, budgeting and forecasting. Additional Borrowing by NDBC - subject to loan sanctions. Non SNI control. <p>Preventative Controls</p> <ul style="list-style-type: none"> Project management argis Ongoing oversight by SNI's Technical Team and Finance Manager (both attend project board meetings) In-Year Bid Submitted 	4	<ol style="list-style-type: none"> Ongoing Sustainability Communications (Formal and Informal) Between SNI and NDBC on impact on programme. Ongoing Project Monitoring, Feedback and Reporting In Year Slippage, Re-directing any in-year slippage towards 50m Pool project. Financial Health Check This was due on 15 June 2012 but the assessment for the tender briefs for the management contract for the new leisure Complex will only be concluded in mid-July 	NH	Ongoing		3
3	Fraud	<p>Impact:</p> <p>Fraud is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system.</p> <p>Impact:</p> <p>A zero tolerance level across central government will require a full investigation by SNI irrespective of the level of fraud. Depending on the nature of fraud and any perceived control weaknesses there may be sanctions / punitive action / criticism / reputational damage to SNI.</p>	100's Lost	<p>Directive Controls</p> <ul style="list-style-type: none"> Fraud / Whistleblowing Policy Internal Controls Staff Training incl Bribery Act <p>Preventative Controls</p> <ul style="list-style-type: none"> CPD Contracts Government Funding Database Fraud Training <p>Detective Controls</p> <ul style="list-style-type: none"> Validation of Data Validation of a sample of data input on GFD undertaken by internal Audit 	100's Lost	<ul style="list-style-type: none"> Training Ongoing fraud training to staff Treated risk unchanged - no new actions. 	Ongoing	LB	<p>100's Lost</p> <p>2 2</p> <p>1'000's Lost</p> <p>3 1</p> <p>1m's Lost</p> <p>5 1</p>	

No	Hazard	Risk Descriptn	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Target Risk	
			I	L		I	L				I	L
4	Non Achievement of objectives >10%	<p>Context: SNI has agreed to deliver against a number of objectives and KPI's. Its ability to do so is dependent on a number of factors:</p> <ul style="list-style-type: none"> Performance by its partners for example applicants and governing bodies; Government priorities; Level of goal congruence; Appropriate budgets; Appropriate staff; Engagement with key functions internally and externally. <p>Currently SNI is 14.5 FTE short of its full staff complement. LT sickness and secondment within the Performance Directorate has resulted in a significant staff shortage within this business area. With regards to the Performance Directorate, KPI's have been revised to reflect current staff resources, however further revisions may have to be made to KPI's in order to balance input resources with outputs achievable.</p> <p>Permission to recruit a number of vacant posts is still to be secured from the Dept. If approved, the necessary lead time required may delay the achievement of a number of KPI's.</p> <p>The loss of the experienced members of the Capital Team will also incur some additional tasks to remaining staff in terms of monitoring and managing legacy projects. Also loss of corporate knowledge.</p> <p>Impact: Failure to achieve objectives will impact on stakeholder perception, the performance of sport on the ground and may also impact future budgets.</p>	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Business Plan / Budgets Business Appraisal Processes Delegated Authority Policy Board and Sub Committees OAS & review process with Dept Review by Senior Mgt / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk Management Framework OAS & review process with Dept Review by Senior Mgt / Board Governance Audits Pre-Appt Checks Contractors Finance / Compliance Checks Capacity Building Implementation of Best Practice Liaison with key stakeholders Approval Processes NI Coaching Delivery Plan Funding Reallocation - Coaching Ite Legal Assistance Section 75 Screening In-House Specialists Revised Governance Framework - IPS Programme <p>Detective Controls</p> <ul style="list-style-type: none"> Third Party Reviews 	3	3	<p>1. SMO recruitment Exercise</p> <p>2. Interim review of KPI's Assurances that KPI's reflect input resources.</p>	July 2012	TO	3	2

No	Hazard	Risk Descrip	Introsct Risk	Current Controls	Residual Risk	Agreed Actions	Date	Officer	Treated Area
5	Contingency / Business Disasters (Minor Level)	<p>Cause: Unforeseen and unplanned events may arise within and external to SNI.</p> <p>Impact: Such events will adversely impact on the achievement of the corporate strategy, affecting resource allocation, management priorities and business continuity.</p>	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Business Continuity Plan <p>Preventative / Detective Controls</p> <ul style="list-style-type: none"> Periodic and phased BCP testing <p>Corrective Controls</p> <ul style="list-style-type: none"> Data back - Ups Insurance 	4	<p>1. Ongoing BCP Testing Testing of SNI BCP.</p> <p>Treated risk unchanged - no new actions.</p>	Ongoing	MS	4
6	Lack of Appropriate Information System Security	<p>Cause: Refers to ability of electronic systems to meet requirements imposed under the DPA 1998. Risk recognises the volume of data held electronically and ease with which this can be transferred. Continual changes and advances in technology also render some system safeguards redundant within a short period of time.</p> <p>With regards to statistics, SNI is now named in legislation (Official Statistics Order for NI) as a 'Producer of Statistics'. Failing in the execution of this legislative role may incur legal sanctions.</p> <p>Impact:</p> <ul style="list-style-type: none"> Loss/theft of data - Distress to data subjects Legal Sanctions Cybercrime 	4	<p>Directive Controls</p> <ul style="list-style-type: none"> IS Policy and Strategy Fraud / Whistleblowing Policy Internal IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy - recommended for approval by Audit Committee - Feb 2012 Staff Training (DPA) / HR Department <p>Preventative Controls</p> <ul style="list-style-type: none"> Document Retention and Disposal Policy and Procedures Dedicated GIFTS Officers (Oversight Role) <p>Detective Controls</p> <ul style="list-style-type: none"> Skilled IS Staff Password Controls Hard Disk Encryption Prevention of extraction of data using portable storage devices - new laptops only. <p>Corrective Controls</p> <ul style="list-style-type: none"> Review & Monitoring / IS Review Data / GIFTS Audits 	4	<p>1. Ongoing BCP Testing Testing of SNI BCP.</p> <p>Treated risk unchanged - no new actions.</p> <p>A recent review of data management raised a number of concerns primarily due to the absence of a data audit and information retention and disposal policy. Appropriate action has been taken and identified weaknesses addressed.</p> <p>1. Ongoing Monitoring of Controls on GIFTS</p> <p>Treated risk unchanged - no new actions.</p> <p>Note: A recent review of data management raised a number of concerns primarily due to the absence of a data audit and information retention and disposal policy. Appropriate action has been taken and identified weaknesses addressed.</p>	Ongoing	MS	4

APPENDIX 1

CONTROLLED RISKS

The following areas are considered key risks to Sport Northern Ireland. They are currently stable and in a state of control with no further action planned in relation to their management. Management will continue to monitor these risks and any changes will be considered and the risk (where appropriate) escalated onto the corporate register.

Risk	Description	Residual Risk	
		I	L
1. Sub Standard Work by Third Parties	<p>SNi engages with a number of third party suppliers to assist it in the delivery of its strategy.</p> <p>Any failings or under performance on there part will adversely impact the quality of outputs and the return on investment.</p>	4	2
2. Failure to retain and Secure Appropriately Trained Staff	<p>Impact on achievement of objectives due to loss/inability to attain required staff resources. E.g. the finance team. Fully resourced, team should consist of 3.5 FTE. While additional staff have been sourced internally, there exists a temporary skills and experience gap. This is coupled with increased requirements, for example 9 month accounts.</p>	4	2
3. Insufficient Financial Resources Due to Overspend/ Underspend >10%	<p>Failure to manage activities with agreed budgets incurs the risk that projects and plans may have to be abandoned, adversely impacting objectives and public confidence. Reputational risk also.</p>	4	1
4. (Minor) Non Compliance with SNi's Policy and Procedures	<p>Failure by staff and management to comply with governing policies and procedures.</p>	4	1
5. Minor Non Compliance with Health and Safety Regulations / Legislative Requirements	<p>Refers to impacts of minor breaches or deviations from legislative requirements for example under H&S legislation and legislation pertaining to working with children and vulnerable adults. With regards to working with Children and Vulnerable adults there covers interaction by governing bodies with whom SNI are engaged with and fund.</p>	4	1

Non-Significant Risks – Areas Requiring Special Attention

This section of the register details risks which management are aware of and are addressing but are not significant to warrant specific attention on the corporate risk register. The purpose of their inclusion in this document is to make key stakeholders aware of them and to demonstrate that they are being actively addressed by management and are in a state of control.

Note: Non significant risk areas are reported by Directors in their Quarterly Assurance Statements.

Risks / Hazards	Management Response
<p>Youth Sport Omagh</p>	<p>Sport Northern Ireland had previously reported concerns regarding the governing arrangements in place within Youth Sport Omagh. By way of update, Sport Northern Ireland met with the Chair of Youth Sport Omagh in June to advise of the funders preferred option to claw back the grant.</p> <p>Subsequent to this, Youth Sport Omagh engaged solicitors who have challenged this approach.</p> <p>Sport Northern Ireland's solicitors then issued correspondence in late December notifying the applicant of their breach of award conditions relating to the supply of financial information and imposing a deadline for disclosure. This information was supplied on 9 January 2012, within the deadline set.</p> <p>Having reviewed the available information, management are satisfied that the organisation appears to be in a sufficiently improved financial position to allow the applicant to continue to operate under a monitoring regime which will consider governance, financial position and sport development outcomes.</p> <p>Sport Northern Ireland continues to manage this project with due care and diligence acting at all times under the advice of its solicitors. A meeting was convened with other funders in late January. Funders were advised of Sport Northern Ireland's intentions and accepted this approach. In addition, a solicitor's letter was issued on 9 March 2012 requesting the group's business plan and the basis for their financial assumptions.</p> <p>Progress since Last Update On Friday 25 May 2012, SNI officers met with representatives of Omagh District Council. At that meeting, Sport Northern Ireland confirmed to ODC that it would not be nominating a representative to sit on the Board of Youth Sport Omagh. In light of Sport Northern Ireland's monitoring role in that regard, Omagh District Council raised a number of points which Sport Northern Ireland undertook to raise with Youth Sport Omagh. At future monitoring meetings. The points raised by Omagh District Council have been followed through with Youth Sport Omagh. Sport Northern Ireland noted to Omagh District Council that part of the Sport Northern Ireland' monitoring role with Youth Sport Omagh. would include the review of actual financial outputs against projected with significant variances reported to the Funder's Forum on a regular basis.</p>

On Tuesday 29 May, Sport Northern Ireland officers attended an EGM of Youth Sport Omagh. The outgoing Board of Youth Sport Omagh. was represented as were the new nominations from Youth Sport Omagh. for the Board. The meeting was conducted in a professional and competent manner; the conduct of an election process to appoint a new Board was chaired by an independent (Mr Joe Byrne, MLA). As a result of that meeting, Youth Sport Omagh. have elected their four nominees to the Board of YSO. No nominations to the Board of Youth Sport Omagh. were received from Omagh District Council or the other public funders. Following the EGM, Sport Northern Ireland expects the Board of Youth Sport Omagh. to meet before the end of June 2012 at which point they will consider the consequences of the EGM outcome in terms of the current Terms and Conditions of their award. It is Sport Northern Ireland's understanding that the Youth Sport Omagh. will write to Sport Northern Ireland shortly thereafter with their proposals in this regard.

On 6th June, Sport Northern Ireland's Participation Manager met a representative of Youth Sport Omagh for the first in a series of monthly monitoring meetings. The meeting was conducted in a positive atmosphere and was a further critical step in rebuilding a constructive working relationship between Sport Northern Ireland and Youth Sport Omagh. The date of the next monitoring meeting is Wednesday 4th July 2012.

Sport Northern Ireland's Acting Chief Executive Officer wrote to the Permanent Secretary on 18 June advising of these updates and proposing a future monthly reporting structure between DCAL & Sport Northern Ireland in respect of Youth Sport Omagh.

In terms of current and future risk exposure, Sport Northern Ireland is content that with conditions of award and other related agreements, controls are in place that enables the transfer of the facility to Omagh District Council in the event of the project failing, thereby preserving project deliverables.

The Cliff

Governance

Sport Northern Ireland was not able to facilitate agreement between the three main stakeholders to a shared governance review. However, recognising the need for such a review, Sport Northern Ireland has commissioned a governance review around the legal ownership of the site and future governance arrangements. It is Sport Northern Ireland's intention to share the results of this review with the three main stakeholders once completed. Sport Northern Ireland has also undertaken to revisit a previous financial health-check on The Cliff which will be completed during May 2012.

This matter has attracted local press attention and attention from local Councillors and MLA's.

Revenue Award

Monitoring of KPI's demonstrates performance likely to significantly exceed annual targets in particular in relation to participation by females and people with a disability.

On 22 March 2012, Sport Northern Ireland received information from The Cliff that they have written to Larne BC (via their solicitors) giving the grounds on which they will request judicial review should LBC fail to transfer the lease to The Cliff (Ltd).

Progress Since Last Update (April 2012)

A further Financial Health Check was carried out in May 2012 on this applicant and the assurance level remains at limited. A number of recommendations have been made and Sport Northern Ireland is currently waiting the management responses from The Cliff, however, initial indications show that they are fully agreeable to these recommendations. At present, the key failing/limitation of the centre is the fact that the Board has now been reduced from 15 to 4 members, due to resignations. Sport Northern Ireland has recommended that the current Board is expanded in order to fully complement the required skills and competencies to deliver on both the governance and key priorities of the Cliff.

Sport Northern Ireland's solicitors are also reviewing a number of aspects of the applicant governance arrangements and have raised a number of queries for which they will require responses before finalising their advice.

St Marys GAC

On 7 March 2012, Sport Northern Ireland brought to the attention of the Department an issue regarding St Mary's GAC to whom a grant of £225,000 was paid for construction of a second sand mattress GAA pitch with floodlighting.

Sport Northern Ireland's monitoring procedures have identified that 95.1% of VAT paid on this project has been recovered by the applicant. Sport Northern Ireland has calculated that with this change in VAT status, the eligible amount payable to the grantee is £197,090.23, a difference of £27,909.77.

The applicant has advised that registration took place after the application process and through their own error, they neglected to understand the reference in the letter of offer to VAT as eligible expenditure. Sport Northern Ireland has engaged with the applicant seeking recovery of this amount.

Woodvale Cricket Club

Sport Northern Ireland is seeking repayment of an element of the grant paid to this applicant. This amount equates to £16,159 and relates to equipment purchase. This will not impact the achievement of objectives envisaged through the remainder of the Sport Northern Ireland investment.

This Club was awarded £186,800 under the Places for Sport 2009/10 programme, towards the construction of a new cricket table, installation of new artificial pitch and the installation of drainage plus purchase of equipment (i.e. sight screens and pitch cover).

With the permission of Sport Northern Ireland, the applicant secured items for the project via the execution of a Vesting Order. Prior to receipt of the goods, the supplier went into liquidation and the appointed administrator awarded the goods to a third party. Sport Northern Ireland is working with the applicant to recover this amount of this element of the grant.

APPENDIX 2

Weighting Rationale:

Risk	Inherent	Residual	Treated
Sustainability – Review of ALBs			<p>Non achievement of KPI's</p> <p>Impact on external customers and stakeholders</p> <p>Public embarrassment / National media coverage</p> <p>NIAO criticism if poorly managed</p> <p>Business disruption</p> <p>Material Impact on performance and business deliverables</p>
Delay in Delivery of Major Project			<p>Non achievement of KPI's</p> <p>Impact on external customers and stakeholders</p> <p>Public embarrassment / National media coverage</p> <p>NIAO criticism if poorly managed</p>
50m Pool			
Non Achievement of Objectives by >10%		Material impact on performance.	Material impact on performance.
Fraud			
Loss Appropriate Information System Security.			
Contingencies / Business Disasters.			

SPORT NORTHERN IRELAND

MINUTES

Minutes of Meeting held on 15 August 2012 in the House of Sport, Malone Road, Belfast BT9 5LA.

PRESENT

In the Chair: D Walsh

Members: G Campbell
M Cowan (by conference call)
P Cummings
J D'Arcy
B Delaney
B Macaulay
R Mallon
J O'Neill
P Turnbull

Acting Chief Executive: N Harkness

Staff in Attendance: S Ogle
A Sloan
A Campbell
T Smyth
C McCartan
E Bailey

In Attendance as Observer C Watson, DCAL

1 DECLARATION OF INTERESTS

The Chairman asked everyone present if they had an interest to declare. R Mallon declared an interest in Paper SNI/12/109 - Section 75 Update.

2 APOLOGIES

Apologies were received from Mr S McCullough and Mr D O'Connor.

3 CHAIRMAN'S BUSINESS

- 3.1 Chairman referred to two agenda items – Staffing Committee and Audit and Risk Management Committee – and informed Members that verbal reports would be made to them without staff being present.
- 3.2 The Chairman informed Members that Hilary McGrady had resigned her membership of Council owing to her new working role and her inability to be in Belfast for Council meetings. The Chairman recorded thanks to Mrs McGrady for her commitment and contribution to SNI during her membership.
- 3.3 The Chairman thanked Mr Marc Scott for his helpful athlete updates during the Olympics.

3.4 The Chairman reported on his experience at the Olympic Games. He complimented LOCOG on the organisation which had been superb. The reception the general public received on entering Olympic Park venues had been extremely professional and warm and had created a very favourable impression of London throughout the world.

The Chairman had been present at medal ceremonies for Northern Ireland and Team Ireland athletes. He commended Team GB and the Olympic Council of Ireland for their excellent hosting of events surrounding the Games. He and the Acting Chief Executive had spent time with officials from both teams. He did mention the only negative aspect which had been the empty seats that could not be used by the public.

Members asked for a formal report to be made to Council which should include lessons for Sport Northern Ireland (SNI) in generating future Olympic Medals. They also referred to the hope that the name of Team GB could in future include Northern Ireland (NI) and the Chairman thought that this could possibly change to Team UK in the due course but would require political agreement.

Members noted the massive learning opportunity for the athletes of NI from the high performance system within Team GB which is now recognised as being world-class.

Members also asked that a review be carried out on the legacy for NI for consideration at a future Council meeting. It was agreed that a workshop be arranged within the next four to six weeks where this and other matters could be discussed. Members also noted that UK Sport would be shortly doing a review of performance at the Olympic Games.

Action 1: Performance Director to organise a workshop for Members within four to six weeks and prepare a Paper to define legacy and how legacy from 2012 Olympic and Paralympic Games will be realised.

3.5 The Chairman referred to a letter from the Permanent Secretary of the Department of Culture Arts and Leisure (DCAL) raising concern that DCAL had not been provided with the draft Annual Report and Accounts for 2011/12 prior to them being signed off by the Northern Ireland Audit Office. The Acting Chief Executive responded to say that SNI had provided DCAL with the draft Annual Report and Accounts. The Permanent Secretary subsequently acknowledged this in a letter which noted that SNI had not recorded in correspondence that they were for review.

3.6 The Chairman informed Members that Mr Turlough Gorman, Human Resources Manager, had tendered his resignation from Sport Northern Ireland.

4 **MINUTES**

The Minutes of the Meetings held on 4 July and 31 July 2012, having been previously circulated, were approved and signed.

The Minutes of the Meeting held on 18 May 2012, having been previously circulated, were approved and signed subject to the following amendments:

G Campbell being shown as an apology and R Carr being shown as in attendance.

Members agreed that Item 3 should be changed to read "the process would be led by the Staffing Committee supported by the Head of Human Resources".

5 **MATTERS ARISING**

Members noted the action points attached to the Minutes and progress made. The Director of Performance reported on action 15 that a total of 39 governing body technical officers had attended the Games.

6 **CORRESPONDENCE**

6.1 Members noted with regret a letter dated 14 July 2012 from Hilary McGrady tendering her resignation from SNI owing to work pressures.

6.2 Members noted letter dated 31 July 2012 from the Captain of Royal Portrush Golf Club thanking the Chairman for his complimentary letter following the Irish Open.

6.3 Members noted letter dated 1 August 2012 from Athletics Northern Ireland thanking SNI for helping to fund the recent Athletics pre-Olympic Training Camp and the associated Antrim International Athletics Meeting.

7 **ACTING CHIEF EXECUTIVE'S REPORT**

Members noted Paper SNI/12/111 which had been provided to provide a composite paper with the aim of reducing the number of Information Papers to Council. The Acting Chief Executive referred to sections of the paper.

World Police and Fire Games (WPFG) – Members noted the planned return of a SNI Capital Manager to SNI to work on the Boxing programme and his replacement with a marketing officer. A SNI secondee to WPFG had requested that his secondment end within three weeks under the terms of the secondment agreement. He will be allocated to a priority area of work in SNI on his return. A third secondee had requested a career break. The Acting Chief Executive would be meeting with the Chief Executive of World Police and Fire Games to discuss how SNI can continue to support the delivery of the games.

50-M Pool - Members sought confirmation that SNI's level of involvement with North Down Borough Council and the 50-M Pool will remain through to completion of the project. The Acting Chief Executive confirmed that it would.

Cliftonville Football Club – SNI has not yet heard back from Cliftonville Football Club in response to its request for addition information dated 31 July 2012. C Watson confirmed that the Minister had received correspondence from the Chair of Cliftonville Football Club.

Human Resources Update – Members heard that DCAL had been written to concerning the staff vacancies. They noted that actions were being taken to fill the post of Acting Director of Participation and Facilities.

Pre-Games Training Camps – Members noted the great success of the Pre-Games Training Camps and Events and were advised that Post Project Evaluations would be carried out on each of the Camps and Events.

Issues Log - The Acting Chief Executive asked Members if they would be prepared to act on a small working group to test the Issues Log and further refine the information provided in it. P Cummings, J D'Arcy and P Turnbull agreed to act in that capacity.

Action 2: The Director of Sports Management Services to arrange a meeting of the Issues Log Working Group.

8

SPORTS MATTERS IMPLEMENTATION

Members considered Paper SNI/12/93 and noted the work undertaken by SNI over the period May-July 2012 relating to the implementation of Sport Matters: The Northern Ireland Strategy for Sport and Physical Recreation 2009-19.

Members queried dates for SMIG meetings. And it was agreed that Chairs of Committees would be consulted on dates and time of planned meetings. Notification of arrangements would be issued to Members. The Acting Chief Executive undertook to circulate an existing detailed paper on progress against Sport Matters targets to Members.

Action 3: The Director of Sports Management Services to consult with chairs of SMIGs on dates and times of meetings and arrange for notification of arrangements to members.

Action 4: Policy Planning and Research Officer to circulate an existing detailed paper on sport matters targets to Members.

9

CORPORATE PLANNING AND BUDGET PRIORITISATION 2012-2015

Members considered Paper SNI/12/94 which sought approval of the Draft SNI Corporate Plan 2012-15; the Draft SNI Business Plan 2012/13; and the proposed Business Planning process for 2013-15.

Members discussed and questioned at length aspects of Olympic legacy. Colin Watson advised that DCAL is currently looking at the legacy of the Olympic Games and would be writing to SNI on this.

Members requested that the Olympic legacy issue be considered by Council at a workshop.

Members asked that any changes to the Corporate Plan and Business Plan be highlighted when they go on the SNI website with reasons for the change.

Members agreed that the foreword in the Corporate Plan should be signed by the Chairman and that the Business Plan foreword should be signed by the Chief Executive.

The Director of Sports Management Services explained that the Business Plan is based on a full complement of staff and as this is not the current situation there will be an element of underachievement of targets and underspend of resources.

Members raised a number of points regarding physical literacy, targets and figures with reference to coaches and participation numbers.

Members discussed the proposed business planning process for 2013/14 and noted that the timeline was dependant on DCAL approving the business case for the review into the future funding of the SINI project

Members approved the Corporate and Business Plans and the proposed business planning process for 2013/14 and 2014/15.

Action 5: The Director of Sports Management Services to ensure that changes to the Corporate Plan and Business Plan should be highlighted when they go on the SNI website together with the reason for the changes.

10

AUDIT AND RISK MANAGEMENT COMMITTEE

At this point the Chairman asked staff and C Watson to leave the room.

The Council then met in a private session to receive an update from the Chair of the Audit and Risk Management Committee on the current progress of the Governance Review. This provided an opportunity for the Council to satisfy itself that the Audit and Risk Management Committee was pursuing the mandated plan of action. The appointment of CIPFA as the agents for the task was acknowledged as having had a very positive impact thus far. The exercise is targeted to complete by the end of September.

11

STAFFING COMMITTEE

The Council met in a private session to receive an update from the Chair of the Staffing Committee. He welcomed the inclusion of this report on the agenda and updated Members on a range of matters on which the Staffing Committee is working with the HR Manager. This included matters around the management of the Chief Executive's absence; staffing numbers and responses to issues raised by DCAL. The Chair of Staffing Committee assured the Council Chairman that any governance-related matters arising from the review of issues raised by DCAL would be referred to the on-going Governance Review being undertaken by CIPFA. Members discussed and approved the content of a business case relating to a staffing matter.

Staff and C Watson returned to the room.

12

BUSINESS PLAN 2012/13 QUARTER 1 REVIEW

Members considered Paper SNI/12/95 and noted SNI's Business Plan Quarterly Review which highlighted SNI's progress against 57 key performance indicators for the first quarter (April-June) of 2012/13.

Members discussed the Business Plan and raised a number of questions regarding staff shortages, targets and risks and noted that the Awards for Sport Programme is at risk due to staff shortages.

Members expressed concerns about staff shortages. They referred to the issue of staff shortages resulting in heavy workloads which could lead to errors, the potential for staff challenge to the organisation and the potential for reputational damage if areas of work are not delivered.

The Acting Chief Executive reported that SNI has a very motivated, capable and

knowledgeable staff but because of shortages there is a concern that some areas of work that cannot be fulfilled and some that will be delayed.

Members requested that the Risk Register should be reviewed in light of this.

Members also for an update regarding expenditure on the 50-M Pool.

Members asked why the expenditure recorded in the Quarter 1 Business Plan review in relation to the 50-M Pool Project is £2.192m while in Management Accounts to August 2012 it is recorded as £4.448m. The Director of Sport Management Services said that he would report back to Council on this.

Action 6: The Director of Sports Management Services to provide an update on expenditure on the 50-M Pool.

13

MANAGEMENT ACCOUNTS

Members considered Paper SNI/12/96 which sought approval for the SNI's Exchequer and Lottery Management Accounts to 31 July 2012.

Members noted that there was a projected £408k underspend which had arisen largely due to salaries under spend. It was therefore proposed to declare an easement of circa £400k to DCAL. Members agreed that this should be done as soon as possible in accordance with good governance.

Members approved the Management Accounts to 31 July 2012.

Action 7: The Director of Sports Management Services to declare an easement in the October monitoring period.

14

VALUE FOR MONEY REVIEW OF SPORT NORTHERN IRELAND

Members considered Paper SNI/12/97 which sought approval of the Business Case and Terms of Reference for a Value for Money Review of SNI

Members queried the proposed costs for the assignment at £10,000 and it was agreed that this should be amended to around £15k. Members also provided some further comments on the Terms of Reference and it was agreed to include these in the final document.

Subject to the above; Members approved the Business Case and Terms of Reference for Value for Money Review.

Action 8: The Director of Sports Management Services to ensure amendments made to Terms of Reference for the Value for Money Review of SNI

15

UPDATE OF BANK MANDATE

Members considered Paper SNI/12/98 which sought approval for an amendment to the bank mandate.

Members noted that this was not outwith the Management Statement and Financial Memorandum and approved the amendment to the bank mandate.

16

SPORT NORTHERN IRELAND – RISK REGISTER

Members considered Paper SNI/12/99 which sought approval of the Corporate Risk Register and planned actions by management to mitigate identified risks.

Members noted that Risk 1: Lack of appropriate governance structures, should be Amber rather than Red.

Members queried the inclusion of the risk; Legal action by staff, and noted that it was in relation to Stadium staff transferred to DCAL under TUPE. After discussion, Members agreed that this was not a significant risk and should be removed from the corporate risk register.

Members noted that the risk; Absence of the Chief Executive, should be combined with the risk arising from shortages of staff (discussed earlier). Members also agreed that youth Sport Omagh should remain on the risk register at this time.

Members referred to non-significant risk – areas requiring special attention. The Community Capital Manager reported that all capital projects are monitored and that those listed were considered to be sufficient risk for the Members to be aware of them.

Members noted the inclusion of NIAO priority one recommendations and asked that the completion dates for the actions be included.

After discussion Members approved the Corporate risk Register and the planned actions by management to mitigate identified risks.

Action 9: The Director of Sports Management Services to update the Risk Register.

17

REVISIONS TO RISK REGISTER

Members considered and approved Paper SNI/12/100 which provided an update on SNI's risk management framework and advised of the work undertaken to date to address the findings from the ALB Stage 1 Review in this regard.

Members noted that DCAL Officials had advised that the format of the risk register should not be changed at this stage.

18

QUARTERLY ASSURANCE STATEMENT

Members considered Paper SNI/12/101 and reviewed the Quality Assurance Statement (QAS).

Members referred to various sections of the QAS and made a number of suggestions which would strengthen the statement

Members suggested that in relation to the 50-M Pool Project and the insolvency of one of the contractors that this should have been reflected in the QAS but the Acting Chief Executive explained that the insolvency of the contractor had taken place post the submission of the QAS.

After discussion Members approved the QAS for the period April-June 2012.

Action 10: Acting Chief Executive to Incorporate Members suggestions in the next QAS.

Mr G Campbell left the meeting.

19

SNI STAKEHOLDER PERCEPTIONS SURVEY 2012/13

Members considered Paper SNI/12/102 which sought approval for the draft Terms of Reference for the commissioning of a Stakeholder Survey in 2012/13 and delegated responsibility to the Senior Management Team for project management of this research.

Members agreed to defer this survey until the Value for Money Review was completed.

Members asked when the last Public Attitudes Survey was carried out and the Director of Performance reported that this was done in 2007. The Acting Chief Executive agreed to have the Policy Planning and Research Manager update Members in this area.

Action 11: The Director of Sports Management Services to arrange for an update on the past surveys to be provided to Members.

20

DELEGATED DECISIONS – CONTRACTS

Members considered Paper SNI/12/103 and noted delegated decisions taken in respect of contracts for goods and services in accordance with Council's Delegated Decisions Policy.

21

DELEGATED DECISIONS – PARTICIPATION

Members considered Paper SNI/12/104 and noted delegated decisions taken in respect of Participation and Community Capital Programme in accordance with Council's Delegated Decisions Policy.

22

DELEGATED DECISIONS – PERFORMANCE

Members considered Paper SNI/12/105 and noted delegated decisions taken in respect of Performance in accordance with Council's Delegated Decisions Policy.

23

COMMUNITY CAPITAL YEAR 3 FUNDING: STATE OF READINESS

Members considered Paper SNI/12/106 which updated them about the outcome of the state of readiness assessments on capital projects, pertaining to the provisional allocation of Comprehensive Spending Review year three funding to the Sports Matters Community Capital Programme.

The Community Capital Manager presented the paper and Members were asked, as a result of the state of readiness submissions, to make decisions on one change of award request by Ballyholme Yacht Club; and also to approve three amendments to Project Assessment Reports as shown in paragraph 4 of the paper.

Members discussed this at length, in particular the request from Ballyholme Yacht Club to change their application. Members noted that SNI had some discretion to accept or reject the changes requested. But in doing so SNI must take into account relevant factors and apply each factor to the proposed change in a reasonable and proportionate manner.

Members noted that the Paper contained no recommendation because staff should not direct the Council's decision.

Members agreed that a re-scoring exercise would be required and that a competitive grant scheme could not be managed in this way. It would not be equitable to re-run a process for some and not allow others to do so. They noted that the applicant had started the project, which was a breach of condition. The rules state that a project must not be started until a letter of offer is received.

Members appreciated the difficulty of the situation but made the decision not to allow a change in the application.

Members approved the three amendments requested in the Paper.

24 **MOURNE HERITAGE TRUST**

Members considered Paper SNI/12/112 and considered an alternative security of tenure arrangement for Mourne Heritage Trust and their countryside access project.

Members noted the legal advice, considered the letter from NI Water and agreed that the legally binding letter was sufficient security of tenure for this project in the high Mourne area to progress to the next stage of the programme requirements.

25 **COMMUNITY USE OF SCHOOLS SPORTS ESTATES**

Members considered Paper SNI/12/107 which presented the latest draft of SNI's 'Community Use of School Sports Facilities – Advocacy Document' and sought approval for its publication.

Members approved the recommendation.

26 **TOLLYMORE NATIONAL OUTDOOR CENTRE PRICING STRUCTURE**

Members considered Paper SNI/1/108 which sought approval for changes to the Tollymore National Outdoor Centre (TNOC) pricing structure. The Paper was presented by the TNOC Manager who set out the background and current issues regarding the pricing policy.

After discussion Members agreed that while the Paper set out the principles of the pricing policy and contained useful ideas, they needed more financial information to facilitate their decision-making.

Accordingly it was agreed that a further Paper would be provided at a future Council Meeting for Members discussion.

Action 12: TNOC Manager to provide a further Paper with financial

27 **information for the next Council Meeting.**
SECTION 75 UPDATE

R Mallon left the room.

Members considered Paper SNI/12/109.

Members approved SNI's Section 75 Annual Report for the period 2011-12 for submission to the Equality Commission; the SNI's Equality Scheme and Corporate Plan Equality Impact Assessment 2012-15 which will subsequently go out for a two-month consultation period; and noted SNI's three month Section 75 Screening update.

R Mallon returned to the room.

28 **INVESTMENT IN CHILDREN'S SAFEGUARDING IN SPORT SERVICE 2012-2016**

Members considered Paper SNI/12/110 which sought approval for the contracting of child safeguarding services over the period 2013-16.

Members heard that this was a valuable service and that it was helpful in building capacity in clubs.

Members asked if an evaluation had been done of the previous work of the NSPCC and heard that that is completed and will be brought to a future Council Meeting. In addition they requested further detail to be added in relation to the type and scale of services to be provided under this contract and more detail regarding the specific options.

Members approved the recommendation.

Action 13: The Director of Sports Management Services is to provide more information to the Council Meeting on 10 September 2012.

29 **ANY OTHER BUSINESS**

Members requested that their training needs should be identified and a suitable training programme put in place.

Action 14: The Director of Sports Management Services and HR Manager to put in place a training programme for council members.

30 **DATE OF NEXT MEETING**

Monday 10 September 2012 at 5 pm. Members suggested SINI as a venue but this subsequently proved not to be suitable so the meeting will place in the House of Sport.

Signed: _____

Dated: _____

House of Sport
Upper Malone Road, Belfast



**SPORT NORTHERN IRELAND - REVISION TO RISK REGISTER
FORMAT**

FOR APPROVAL

1.0 Purpose

- 1.1 Members will be aware that the 'Emerging Findings' report from the stage 1 ALB review being conducted by DCAL has highlighted weaknesses with regards to Sport Northern Ireland's framework for managing risk.

- 1.2 The purpose of this paper is provide Members with some background into Sport Northern Ireland's risk management framework and to advise them of the work undertaken to date to address the findings from the stage 1 review.

2.0 Background

- 2.1 By way of background, the risk register of Sport Northern Ireland has been through a number of permutations. Initially, risk registers were completed using a template developed by Deloitte for Sport Northern Ireland. However, in line with the 'Orange Book', this format required updating to reflect inherent, residual and treated risk weightings.

- 2.2 An approach was introduced in 2009 in line with the Enterprise Wide Risk Management Approach which involved all sections within Sport Northern

Ireland completing Risk Registers which fed into and informed the corporate risk register.

- 2.3 The major difference in this format was that risks were sub divided to reflect different magnitude of event and a risk appetite was also provided. This approach was text book and in line with best practice. It however had a number of drawbacks; it was not consistent with the format used by the Department and it required significant resources to manage.
- 2.4 Subsequent to this, the Department requested that Sport Northern Ireland adopt their format and this is currently being used.
- 2.5 Members should be aware that the current format is informed by section risk registers and the recently introduced issues log which records important management issues; Issues which in some instances may require escalation onto the corporate risk register. The risk management framework is further supplemented with a risk management procedures manual which the Audit Committee of Sport Northern Ireland approved in October 2009.
- 2.6 On 30 July 2013, the Director of Corporate Services met with representatives from the Department to seek clarity on the reporting and formatting requirements for ALB risk registers. During this meeting the Department advised that the findings of the review team will likely impact all of DCALs ALB's with this necessitating in a review by the Department of the framework and format promoted by it for recording and reporting risk across all of its ALBs. The advice from the Department at this stage is to do nothing pending the outcome of their review.
- 2.7 Sport Northern Ireland is mindful that the current approach does not fulfil the information requirements of Members, in particular those within the Audit and Risk Management Committee. Cognisant of the requirements of both DCAL and Members, management in the interim will seek to initiate a consultation exercise with a view to determining Members information requirements.

2.8 Risk registers need to be information tools and it is imperative that key information does not become distorted by information overload or 'cluttered' as referred to by the NIAO in their publication on risk management. The purpose of the consultation exercise will therefore be to develop an approach which satisfies both Members and DCAL whilst limiting the potential for 'clutter' and duplication of effort.

2.9 The process will commence in September 2012 by which stage the Governance Review will be complete. Members will be contacted to participate in this exercise after which an approach will be proposed with a view for implementation in early November 2012.

3.0 Recommendations

3.1 Members are requested to approve the approach proposed above and to participate in the consultation process due to commence in September 2012.

SPORT NORTHERN IRELAND

MINUTES

THIRD MEETING

Minutes of Board Meeting held on Monday 23 June 2014 in the House of Sport, Upper Malone Road, Belfast, BT9 5LA

PRESENT:

In the Chair: Brian Henning

Members: Ian McAvoy
B Macaulay
P Cummings
J D'Arcy
B Delaney
R Mallon
R Bullick
E Lynch
A Bingham
D O'Connor
G Campbell
G Wilson

Chief Executive: A McKeown

Staff In Attendance: A Sloan
S Ogle
N Harkness
L Beattie
P Scott (for Agenda Item 6.1.2)

1. **APOLOGIES**

S McCullough
J O'Neill

2. **DECLARATIONS OF INTEREST**

There were no declarations of interest

3. **MINUTES**

The Minutes of the meeting held on 29 April 2014, having been previously circulated were approved and signed.

4. **MATTERS ARISING**

Members considered the Decision List from Meeting held on 29 April 2014 which had previously been circulated. Members noted that all decisions had been completed or where ongoing.

5. **CHAIRMAN'S BUSINESS**

The Chair thanked Members for their flexibility regarding change of date for the Meeting.

The Chair also advised Members that the Annual Report and Accounts for the year to 31 March 2014 had been added to the Agenda at a later date than other papers. Members advised they had, had time to review paper and were content with the addition to the Agenda.

Members also noted that the Overview of Options Appraisal Process for Future Revenue Investment in Participation Sport paper had been removed from the Agenda and will be brought to the Board at a later date.

5.1 **Review of Board Effectiveness**

The Chair advised Members on the appointment of David Nicholl, Management and Governance Consultant as a result of recent procurement exercise undertaken by the Chair, Vice Chair and P Cummings. Members noted that a further meeting with David Nicholl had taken place on 16 June 2014 to agree approach to be taken. The Chair advised Members that Frank Hewitt would also be involved in Board workshops.

Members noted that dates had been circulated with no date circulated suiting all Members. It was agreed that the Director of Sports Management Services would circulate a calendar for August and September to enable Board Members to advise of their availability.

5.2 **Special Olympics**

The Chair advised Members that he had attended the opening and several events at the recent Special Olympics.

5.3 New Appointment

Members noted that the Chair has accepted a position as Project Director within SIB. The Chair advised that he had informed the Minister and Permanent Secretary of his intention to take up the post.

The Permanent Secretary has confirmed to the Chair that DCAL was satisfied that there was no conflict of interest between the Chair and Project Director roles.

5.4 Appointment of Medical Advisor for NIMCCRCC

The Chair advised Members that the Medical Advisor for NIMCCRCC was stepping down from his position and that he had given approval for his replacement Dr D Greene who is an experienced Accident and Emergency Consultant.

6. **ORGANISATIONAL PERFORMANCE**

6.1 Executive Strategic Updates

Members received Paper SNI/14/27 the purpose of which was to update Members on issues that have arisen and / or being progressed since the last Board Meeting.

Members queried what the position was with regard to expanding sporting events taking place in Northern Ireland as they were aware that the Northern Ireland Tourist Board has responsibility for events. The Chief Executive advised that there is ongoing discussion with governing bodies to gauge the appetite among sports to have access to international events being hosted in Northern Ireland.

The Chief Executive advised that given the range of issues a paper on sporting events would be brought to the next Board meeting.

6.1.1 Executive management Update – Managing Changes

Members received Paper SNI/14/27A the purpose of which was to update Members on progress and direction of travel with the Managing Change in Sport Northern Ireland process.

Members noted that a staff attitude survey had been undertaken and information had been fed into the working group.

Members asked for an update with regard to SINI. The Chief Executive advised that the SINI Business Case is with the Minister. Members also noted that the Minister had an informal visit to SINI two weeks ago.

The Chief Executive also advised Members that Human Resources had met with staff members individually regarding change, and advised that SINI annual accounts had gone to the last Board meeting.

Members noted that the Chief Executive had met with Eamonn Mullen, University Secretary regarding due diligence.

It was agreed that the Director of Sports Management Services would obtain legal advice with regard to formally winding up the company.

Mr P Scott, Technical Manager joined the meeting

6.1.2 Presentation on Sport Northern Ireland input to the Stadium Programme

Members noted that Technical Manager had joined the meeting to provide them with a presentation and update them on Sport Northern Ireland's input to the three stadia projects.

The Technical Manager advised Members that Sport Northern Ireland continues to give advice on safety aspects on the three Belfast stadia which are at various stages of development. Members noted that Sport Northern Ireland Chair the Safety Technical Group in relation to the stadia.

The Technical Manager updated Members on each stadium advising on the stage of development and capacity of each stadia.

Members noted that there are some challenges on the design aspects of Casement which centred on emergency exiting. Board Members noted that DCAL have been made aware of the issues.

Following in-depth discussion on Casement it was agreed that:

- Members would be kept informed of developments on this issue (to be included in future strategic updates)
- The Board are supportive of Sport Northern Ireland advice in relation to Casement, as presented by staff
- Consideration of Casement issue as a corporate risk, taking into account the specific advice role of Sport Northern Ireland

6.2 Management Accounts for Two Months Ended 31 May 2014

Members received Paper SNI/14/28 the purpose of which was to ask Members to consider and approve Sport Northern Ireland's Exchequer and Lottery management accounts as at 31 May 2014.

The Director of Sports Management Services informed Members that in the Exchequer Management accounts the forecast identifies changes anticipated by year end as a result of anticipated additional funding from DCAL in June monitoring round. Members noted this relates to Departmental projects and Sport Northern Ireland has been issued with approval to proceed at risk.

The Director of Sport Management Services informed Members that the Lottery Management accounts are not expected to vary significantly from budget set at start of the year.

Members approved the Exchequer and Lottery Accounts as at 31 May 2014.

6.2.1 Annual Report and Accounts for the year to 31 March 2014

Members received Paper SNI/14/28A the purpose of which was for Members to consider and approve that Annual Report and Accounts for the year to 31 March 2014.

The Director of Sports Management Services gave a comprehensive overview of both Exchequer and Lottery Annual Report and Accounts for the year to 31 March 2014.

The Director of Sports Management Services confirmed that there was nothing contained in the report to the NIAO to concern those charged with governance or that would prevent the accounts being signed off by the Board.

Members noted that the NIAO had indicated that they would be issuing an unqualified Audit Report for both sets of accounts.

The Vice Chair of Audit and Risk Management confirmed that they were content with the accounts and recommended them to the Board for approval.

The Annual Report and Accounts for the year to 31 March 2014 were approved.

6.3 Value for Money Review

Members received Paper SNI/14/29 which provides Members with a summary of the Value for Money Review of Sport Northern Ireland

undertaken by McClure Watters and outlines Sport Northern Ireland's response to the recommendations.

The Director of Sports Management Services advised the Board that the Review was commissioned in 2012 to give the Board assurances that the organisation was providing value for money. Members noted that it has taken longer to complete the report than desirable as a result of a number of concerns around the accuracy of the content. While some concerns remain it had been decided to accept the report in the interests of expediency.

Following a lengthy discussion Members discussed various points in the report that they agreed and disagreed with. Members approved the report and the associated Sport Northern Ireland response as follows:

- Sport Northern Ireland to clarify context and timing of report and actions already taken to address key issues and recommendations highlighted
- Sport Northern Ireland to clarify issues it does not accept, with supporting evidence
- Sport Northern Ireland to provide DCAL with summary of action taken/ being taken

6.4 New Corporate Plan 2015 – 2019 Process and Timeline

Members received Paper SNI/14/30 the purpose of which was for Members to consider and approve the proposed process and timeline for the completion of the Corporate Plan, to note the indicative budget for the planning period and progress in relation to the implementation of the plan.

Members noted the current Corporate Plans runs out in 2015 with a draft of the new Corporate Plan due to be submitted to the Department at the end of November. The Director of Sports Management Services advised Members that there will be an EQIA on the Corporate Plan.

Members queried if Sport Northern Ireland should be looking at zero based budget for the Corporate Plan.

Members noted progress with implementation of the Corporate Plan, approved the proposed process, timeline and indicative budget for completion of the Corporate Plan.

7. GOVERNANCE & RISK

7.1 Risk Register

Members received and reviewed Paper SNI/14/31 the purpose of which was for Members to consider and approve the Risk Register. Members noted that there were no new risks added to the Risk Register.

The Risk Register was approved.

7.2 Quarterly Assurance Statement

Members received Paper SNI/14/32 the purpose of which was for Members to review and approve the Quarterly Assurance Statement for the period April – June 2014.

The Director of Sport Management Services advised the Board that there was one assurance area defined as partly in the report and one assurance area had not been met.

Members discussed their concerns regarding request that the Chair sign the QAS along with the Accounting Officer. It was felt that after clarifying Board and Executive roles this had the potential to cause confusion.

The Chief Executive advised that the Chair is considering an alternative form of words to satisfy DCAL's needs without compromising the role, responsibility of the Board.

Members endorsed the Chair's position on signing the current QAS with an alternative form of words to be given to DCAL for consideration.

The Quarterly Assurance Statement was approved.

7.3 Audit & Risk Management Committee – update

The Vice Chair of Audit & Risk Management provided Members with a short update on the work of the Committee.

7.4 Developing Sport Northern Ireland's Risk Appetite

Members received Paper SNI/14/33 the purpose of which was for Members to consider and approve the proposed approach for implementation by Sport Northern Ireland regarding its Risk Appetite and tolerance levels.

Members agreed that Risk Appetite should be aligned to new Corporate Plan and agreed that it would be useful to discuss further at Board workshops.

The approach for developing the risk appetite of Sport Northern Ireland aligned to the Corporate Plan was approved.

8. POLICY AND STRATEGY

8.1 Sport Northern Ireland Support for the Team Attending the 2014 Glasgow Commonwealth Games

Members received Paper SNI/14/34 the purpose of which was to provide an overview of the investment by Sport Northern Ireland in the Northern Ireland Commonwealth Games Council, sports and athletes in preparation for Glasgow 2014.

The Director of Performance Sport advised Members that Sport Northern Ireland is working positively with NI Commonwealth Games on the core business of supporting athletes, having overcome some challenges.

The Chair advised he had attended the NI Commonwealth Games Team weekend reception.

Report was noted.

8.2 Review of Public Administration (RPA) and its Potential Impact on Sport

Members received Paper SNI/14/36 the purpose of the paper was to update Members on the RPA process, identify issues for sport in Northern Ireland and to approve the Executive Team engaging with DoE with a view to Sport Northern Ireland becoming a statutory consultee in relation to community planning across the new 11 district councils.

Members noted progress and the potential impact of RPA on the delivery of sport at a local level and approved the Executive Team engaging with DoE with a view to Sport Northern Ireland becoming a statutory consultee in relation to community planning.

8.3 Hosting of Sainsbury's School Games in 2015

Members received Paper SNI/14/37 the purpose of which was to advise Members of the availability to host the 2015 School Games, identify costs required to host the Games, update Members on feasibility study regarding hosting of the Games. Seek approval from Members on the desire to host the Games and seek funding from DCAL.

Members noted that the Minister on behalf of Sport Northern Ireland has to declare interest in hosting the School Games by August 2014.

Following discussion Members raised concerns with regard to the timescale and also resource implications for Sport Northern Ireland but overall approved the desire to host the Games and approved the proposal on the basis that:

- Funding to be secured from DCAL/NI Executive
- Clear risk of insufficient lead-in time to be fully addressed
- Resources required from Sport Northern Ireland, Youth Sport Trust and other partners confirmed
- A further paper on Sainsbury's School Games to be brought to the next meeting

9. **DATE OF NEXT MEETING**

To be confirmed post first Board Session with David Nicholl

10. **ANY OTHER NOTIFIED BUSINESS**

The Chair wished Members a pleasant summer break.

Members noted that the Chair had meetings arranged regarding the appraisal of Members.

The Chair advised the Board that Sport Northern Ireland had a staff member terminally ill.

Signed:

Dated:

Sport Northern Ireland
House of Sport
Upper Malone Road
Belfast
BT9 5LA

SPORT NORTHERN IRELAND

SNI/14/31

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL

1.0 Introduction

- 1.1. Attached is the current Corporate Risk Register for Sport Northern Ireland. This outlines the strategic risks that may adversely impact the achievement of key organisational objectives, their relative priority, mitigating controls currently in place and additional actions to be taken to manage each risk to an acceptable level.
- 1.2. The current risk register records 8 key corporate risks, none of these are considered high, 4 are considered medium and 4 low. These are summarised below.

Risk	Current level	Level Previously
1. Non Achievement of Organisational Objectives >10%	8	8
2. Third Party Risks	8	8
3. Inadequate Health and Safety Arrangements (TNOC)	8	8
4. Non Approval of SINI Business Leading to Poor Athlete Performances	6	6
5. Ineffective Governance	4	4
6. Fraud	4	4
7. Inappropriate Disaster Recovery Procedures	4	4
8. Poor Information Management	4	4

- 1.3 All agreed actions are being progressed by management.

2.0 Purpose

- 2.1 The purpose of this paper is for Members to consider and approve the attached risk register.
- 2.2 No meeting of Audit and Risk Management Committee (ARMC) has been scheduled before the June Board meeting; this register has therefore not been subject to review by the ARMC.

3.0 Recommendation

- 3.1 It is recommended that Members consider and approve the attached risk register and the arrangements in place for managing identified risks.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V26
AUTHOR:	L Brown
DATE:	27 May 2014
DATE OF REVIEW BY EXECUTIVE TEAM	2 June 2014
DATE OF REVIEW BY AUDIT COMMITTEE	N/A
DATE OF REVIEW BY BOARD	23 June 2014
NEXT REVIEW DATE	August 2014

Risk Management Statement

The Risk Management Statement outlined below represents our approach to risk management. The purpose of this Statement is to highlight to external stakeholders our commitment to manage the risks that could impact on our ability to deliver our services.

Sport Northern Ireland recognises that effective risk management is an integral part of the organisation's activities to ensure the successful delivery of its services.

We believe that understanding and managing risk will have a direct correlation with the achievement of our vision of "a culture of lifelong enjoyment and success in sport which contributes to a peaceful, fair and prosperous society".

Sport Northern Ireland does not consider the avoidance of risk to be conducive to the effective, efficient and economic achievement of our objectives. Our risk management framework therefore serves to form a system that will assist our growth and ensure that our actions support our vision whilst ensuring compliance with our external stakeholders expectations.

Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. As such it will offer more than compliance; instead it will enable effective service delivery, improved operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk plays a key role in the delivery of our services.

We will involve and empower all our staff in the identification and management of risk with the framework of risk management being given proper visibility across Sport Northern Ireland activities. Risk Management will be a corporate matter and the Executive Team will receive regular reports on risk including recommendations for improvements to our system. Our system of risk management will be owned and driven by staff who will in turn provide the driving force to deliver our Vision.

Antoinette McKeown

Chief Executive

September 2013

Table 1: Risk Scoring Matrix

Likelihood	Impact	Low	Low-Medium	Medium	Medium-High	High
		1	2	3	4	5
High	5	5	10	15	20	25
Medium-High	4	4	8	12	16	20
Medium	3	3	6	9	12	15
Low-Medium	2	2	4	6	8	10
Low	1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives / £100's lost / Minor non-compliance issues / No injuries.
Low - Medium	£1000's lost / Some localised press coverage / Isolated errors / First aid treatment required.
Medium	£10,000's lost / Localised media attention / Repeated errors / NIAO criticism / Some business interruption / Impact materialises over a long period of time / Medical treatment required.
Medium - High	Failure of key support services / £100,000's lost / Local media attention / Failure to meet national standards / Extensive injuries.
High	Resulting in failure of key objective(s) / £1,000,000's lost / Significant impact on external customers and stakeholders (Ministers etc) / Significant public embarrassment / National media coverage / Attention from Assembly/PAC / Death.

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
STRATEGIC RISKS										
1. Non Achievement of Organisational Objectives >10%										
<p>Cause:</p> <p>SNI is committed to deliver on a number of objectives and KPIs as detailed within its Corporate and Business Plans.</p> <p>Its ability to do so is influenced by a number of factors:</p> <ul style="list-style-type: none"> Leadership and tone at top Performance of and relationships with key partners Ability to attract and retain requisite staff with necessary skills and competencies Necessary financial and non-financial resources Timely approvals by sponsor department Effective management of SINI merger Changes to Government priorities Use of private sector contracts Appropriate budgets Strong internal processes Insolvency of grant recipients or contractors <p>Impact:</p> <ul style="list-style-type: none"> Non delivery of SNI /DCAL objectives within the Strategy for Sport Non delivery of corporate and business plans Reputation damage Stagnation / decline in terms of participation and performance in sport 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Business Plan / budgets Business appraisal processes Suits of governance directives Board and Sub Committees QAS to Board for review & cmmt Review by Exec Team / Board <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework QAS to Board for review & cmmt Review by Exec Team / Board Governance audits Pre-Appt checks contractors Finance / compliance checks Capacity building Governing body KPIs Implementation of best practice Partip working and monitoring a g SMIG and other fore Approval processes Legal assistance Section 75 screening In-house specialists Where appropriate destist low priority work Training and development incl. technical updates Recruitment, selection and retention policies and procedures 	4	2	<p>Treat Risk</p> <p>1. SINI Merger Risk Analysis</p> <p>The migration of SINI to SNI will provide for enhanced flexibility and control over the contribution made by the Institute to the wider Government objectives in relation sporting performance.</p> <p>Central to making this happen will be effective management of the migration process and subsequent changes.</p> <p>The Director of Performance and Director of Sport Management Services will be undertaking an analysis of the risks to objectives that may occur as a result of this merger.</p> <p>2. Enhancement of Technical Skills</p> <p>Ongoing training of key technical staff.</p>	September 2014	Director of Performance and Director of Sport Management Services	3	2

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
2. Non Approval of SINI Business Case Leading to Poor Athlete Performance										
<p>Cause</p> <ul style="list-style-type: none"> Delays in time taken to approve business case Poorly management change process <p>Impact</p> <ul style="list-style-type: none"> Disruption to athlete programme impacting preparations for major games including the 2014 Commonwealth Games and Olympics in 2018 Key staff leave due to uncertainty Non achievement of some objectives 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Agreed approach for developing, reviewing and submitting Business Plans Regular reporting to SINI Board Legal advice Strategy for SINI merger <p>Preventative Controls</p> <ul style="list-style-type: none"> Consultation with staff and Board Dialogus between stakeholders Timetable established Internal working group reviewed business case Review of business case by UK Sport prior submission to DCAL 	3	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Change Management Process – plan developed to direct changes and management of the risks associated with the transition 	On-going	Director of Performance and Director of Sport Management Services	3	1
3. Ineffective Governance – (Reputation)										
<p>Cause:</p> <ul style="list-style-type: none"> Inadequate controls Poor culture / tone at the top Non-compliance / legislative breaches Poor management of risk Lack of strategic oversight by Board Contingencies <p>Impact:</p> <ul style="list-style-type: none"> Reduction in scope of business by SINI Reputational damage Sanctions by DCA 	3	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SINI Business Plan / budgets Revised MSFM Suite of governance directives Policies and procedures Managing public money guidance Business appraisal processes Board and Sub Committees QAS to Board for review & cmmt Procurement Strat / Contract Reg Lessons learned report Risk management framework 	2	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Value for Money Review – Address recommendations from review once report has been finalised and approved by Board. 	Jul 2014 (May 2014)	Executive Team	2	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
	<ul style="list-style-type: none"> Funding restrictions Closer monitoring by DCAL as a result of risk rating 				<ul style="list-style-type: none"> QAS to Board for review & cmmt 					
OPERATIONAL RISKS										
4. Third Party Risks - (Efficiency)										
<p>Cause:</p> <p>Underperformance by applicants and third parties service providers. Possible drivers include</p> <ul style="list-style-type: none"> Capacity Approval lead times Technical knowledge surpassed by market / field developments Site conditions / weather Project management capacity (external) Changes to partnership funding Failure to secure planning Non adherence with governing policies and procedures Poor project management throughout project life cycle Over reliance on other project parties Changes to external environment, i.e. variable influencing outcome subject to change Ineffective change controls VAT uncertainty / sanctions due to regulatory breaches by third parties 	4	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Contract / Funding T&Cs Project budgets Project Officer Project Monitoring Funding and management P&Ps Governance directives e.g. Scheme of Delegation Budgets Corporate Programme Mgr Project mgt structure Revised Anti-Fraud Policy Updated investment policies Memorandum of Understanding for large multi-funded projects Project execution plans for larger projects Service ToRs 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Enhancement of Technical Skills Ongoing training of key technical staff. Supplier Security Arrgs These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contract and how to close access once the contract is terminated 	Ongoing	HR Manager	4	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
Impact: <ul style="list-style-type: none"> • Risk to strategic deliverables • Closure of project • Financial pressures in next accounting period • Loss of resources • Reputational damage • PAC hearing • Punitive action 			Preventative Controls <ul style="list-style-type: none"> • Budget / project monitoring • Potential to use Lottery funding • Project mgt structure • Formal sign off by project funders for projects over £0.5m • Business case addendums • PRINCE2 accredited staff • Lessons learned training • Training and development (technical updates) • Recruitment, selection and retention policies and procedures Detective Controls <ul style="list-style-type: none"> • Technical inspections • Project budgets • Budget monitoring • Strict application of PMRs • Project monitoring/ PPE • Internal audit • Lessons learned Corrective Controls <ul style="list-style-type: none"> • Waiting list of projects – can be accelerated to utilise budget • Funding terms and conditions • Interventions / sanctions 							

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
5. Fraud Risk - (Financial)										
<p>Cause: This is an inherent risk to any system. The control mix within SNI requires a balance between all control types without recourse to a fully preventative control system. There is some likely the fraud may occur and if so this would likely fall within the £1,000s range</p> <p>Impact:</p> <ul style="list-style-type: none"> Loss of Resources Reputational Damage Punitive action / Sanctions 	5	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Fraud / whistleblowing policy Internal controls Staff training Fraud risk assessments Lessons learned report <p>Preventative Controls</p> <ul style="list-style-type: none"> CPD contracts Government Funding Database Fraud training Grant mgt team procedures <p>Detective Controls</p> <ul style="list-style-type: none"> Internal / External Audit Whistleblowing procedures DARD CIS /GFD 	3	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Training - On-going fraud training to staff. Treated risk unchanged (sustain control) - no new actions 	Ongoing	Director of Sport Management Services	3	1
6. Business Contingency - (Efficiency)										
<p>Cause: Business contingency. Unforeseen and /or unplanned event(s) may arise within and external to SNI</p>	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Business Continuity Plan / testing TNOC - 'warm site' Training to TNOC Staff Procedures updated <p>Detective Controls</p> <ul style="list-style-type: none"> Alarms and maintenance checks 	4	1	<p>Treat Risk</p> <ul style="list-style-type: none"> Update BCP to be revised to accommodate SNI. Testing On-going testing of SNI Business Continuity Plan. 	Sep 2014 (Jan 2014) On-going	IS Manager IS Manager	4	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
Impact: <ul style="list-style-type: none"> Denial of access to systems/building Potential H&S risk to staff / others Business downtime Business restoration costs Loss of assets (no insurance) Loss of data (insufficient physical safeguards) 			Preventative Controls <ul style="list-style-type: none"> Periodic and phased BCP testing Fire / H&S risk assessments Corrective Controls <ul style="list-style-type: none"> Data back - ups 							

COMPLIANCE

7. Health and Safety (TNOC – Activity Based)

<p>Cause:</p> <ul style="list-style-type: none"> Poor H&S procedures Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies Staff Absence Non communication of key policies and procedures by staff Activities <p>Impact:</p> <ul style="list-style-type: none"> Injury / Fatality Reputational damage Temporary cessation of activities due to investigations Litigation Loss of resources – staff absence Staff Absence 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> H&S P&Ps/ risk assessments Staff meetings Training (recently as March 2014) Adventure Mark (annual independent activity based inspections) Work programmes stipulate H&S responsibilities <p>Preventative Controls</p> <ul style="list-style-type: none"> H&S risk assessments Skilled, trained qualified staff Continued professional devt/pt Equipment standards Personal protective equipment <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / Premises Checks External assessment by local authority <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures e.g. Mountain Rescue 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedures – review and updating of, including clearer definition of roles and responsibilities between staff at HoS and TNOC Records Management – Transfer of all training records held at TNOC to HoS. Records to be subject to periodic review. <p><i>Note: actions relate to routine aspects of H&S at TNOC only. Current arrangements may create some ambiguity due to TNOC being a satellite site. Tightening of operational controls will limit the associated impact of such things as training certificates lapsing or poor control over the use of hazardous substances or poor food hygiene, all of which will impact centre users.</i></p>	<p>Jul 2014 (May 2014)</p>	<p>HR Manager</p>	4	1
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Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
COMPLIANCE										
B. Information Management (Statutory Compliance)										
<p>Cause:</p> <ul style="list-style-type: none"> Lack of Appropriate Information System Security Non adherence by staff and /or others with information protocols Poor management over migration of SINi Data and data systems <p>Impact:</p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects Sanctions by ICO Cybercrime 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> IS Policy and Strategy (updated) Fraud / Whistleblowing Policy IT Controls, e.g. Firewalls, antivirus Information Mgt and Security Policy Staff Training (DPA) Retention and Disposal Procedures IS Risk Assessment <p>Preventative Controls</p> <ul style="list-style-type: none"> Skilled IS staff Password controls Hard disk encryption Prevention of data extraction Portable device access controls <p>Detective Controls</p> <ul style="list-style-type: none"> Review & monitoring / is review Data audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Data Disposal – Formal disposal of identified redundant data SINi Data Information governance arrangements to be updated to encompass SINi records for which large quantities would fall under the Data Protection Act. 	<p>Sep 2014 (Jun 2014)</p> <p>Sep 2014 (May 2014)</p>	<p>IS Manager</p> <p>IS Manager</p>	3	1

Weighting Rationale

Risk	Inherent	Residual	Treated
Non Achievement of Objectives >10%	Material impact on performance and business deliverables	Material impact on performance and business deliverables	Material impact on performance and business deliverables
Third Party Risks	Potential impact on external customers and stakeholders (Ministers etc)	Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism	Potential impact on external customers and stakeholders Potential public embarrassment / National media coverage NIAO criticism
Inadequate Health and Safety Arrangements	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £10,000	Public embarrassment Litigation - £10,000
Non Approval of SINI Business	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Ineffective Governance	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Fraud	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Inappropriate Disaster Recovery Procedures	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism
Poor Information Management	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism	Failure of key objective(s) Potential impact on external customers and stakeholders NIAO criticism

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence of operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

SPORT NORTHERN IRELAND

MINUTES

FOURTH MEETING

Minutes of the Board Meeting held on Tuesday 30 September 2014 in the House of Sport, Upper Malone Road, Belfast, BT9 5LA

PRESENT:

In the Chair: B Henning

Members:
I McAvoy
A Bingham
R Bullick
P Cummings
B Delaney
E Lynch
B Macaulay
R Mallon
S McCullough
D O'Connor
J O'Neill
G Wilson
J D'Arcy
G Campbell

Chief Executive: A McKeown

Staff in Attendance:
A Sloan
N Harkness
S Ogle
E Bohill
L Beattie

1 APOLOGIES

Mr F Devitt, DCAL

2 DECLARATIONS OF INTEREST

There were no declarations of interest.

3 MINUTES

The Minutes of the meeting held on 23 June 2014, having been previously circulated were approved and signed.

4 **MATTERS ARISING**

4.1 Decision List

Members considered the Decision List from the Meeting held on 23 June 2014 which had previously been circulated. Members noted that all decisions had been completed or were ongoing.

4.2 Value for Money Review

The Chairman advised Members that the Value for Money Review has been sent to DCAL with the response revised to take account of the Board discussions at the June Board meeting.

4.3 Developing SNI's Risk Appetite

The Chair advised that there was work to be undertaken in this area and Members agreed that it would be useful to discuss as we develop Corporate Planning work.

4.4 Sporting Events

The Chief Executive provided Members with an update following discussions that had taken place at the June Board Meeting.

Members noted that Sport Northern Ireland was working in conjunction with Northern Ireland Tourist Board on development work for events but that neither the Events Development Group or the Events Bidding Group had met as yet. It was noted that the first Bidding Group meeting is to take place on 22 November 2014.

It was therefore agreed that a paper on Sporting events would be brought to the next Board meeting.

5 **CHAIRMAN'S BUSINESS**

5.1 Board Effectiveness Away Days

The Chair advised Members that he felt they had had a very successful and useful two days away. Members noted that D Nicholl was to provide a report on the Board Effectiveness Away Days and advised that this had been received on 29 September 2014.

Members noted that the Chair and Vice Chair had reviewed the report prior to the Board meeting and that they are content with it. The Chair advised that he would now have this circulated to Board Members to review and asked that they advise of any comments they have within a couple of days of receiving same.

The Chair advised that there would be a discussion at the end of the meeting regarding dates for Corporate Planning, another Board Effectiveness meeting and a Board meeting before Christmas.

Visit of UKS Chairman

- 5.2 The Chair advised Members that the Chair of UK Sport, Rod Carr had visited Northern Ireland to meet with him on UK Sport business. The Chair advised that it had been a visit at very short notice but was pleased to have secured a meeting with the Minister and DCAL, Permanent Secretary last Thursday morning with Chair of UK Sport.

Members noted that the Chair and Chair of UK Sport visited SINI and met with the Sport NI, Chief Executive and the Athlete Services Manager.

6 ORGANISATIONAL PERFORMANCE

6.1 Management Accounts for the 5 months to 31 August 2014

Members received papers SNI/14/39 the purpose of which is for Members to consider and approve Sport Northern Ireland's Exchequer and Lottery management accounts as at 21 August 2014.

The Director of Sports Management Services advised Members that there is significant variance from the start of the year due to the requirement for in year cuts of £408,000 from the June Monitoring Round.

Members noted that the Accounts have not been adjusted to reflect the outcome of June monitoring round.

The Chief Executive advised Members that bids have been submitted to DCAL as part of October monitoring round but that results of this may not be known until December / early Jan which would mean money would have to be spent quickly.

Members noted the summary within the Accounts on both Sports Institute for Northern Ireland (SINI) and Tollymore National Outdoor Centre (TNOC)

The Director of Sport Management Services advised Members that Sport Northern Ireland has additional 2 million in budget for Departmental Identified projects.

Following an in-depth discussion regarding Departmental Identified projects it was suggested that the Board may like to meet and have a session with the Minister regarding these projects. Members agreed that the meeting should not take place until the Board Effectiveness had finished.

Members approved the Exchequer and Lottery Accounts Management Accounts as at 31 August 2014.

6.2 Executive Strategic Update

The Chief Executive advised Members that it had been a fantastic summer for sport to include the best Commonwealth Games medals haul, and the following successes Tony McCoy, Rory McIlroy, Karl Frampton, Ryder Cup, Down Women All Ireland Cup, Sainsburys School Games. Also summer schemes in grassroots sport and sporting volunteers.

Review of Sport Matters

The Director of Sports Management Services advised that he and the Policy, Planning and Research Manager had met with Mr R Heyburn, DCAL who had received a lot of useful information.

Members noted that the review of Sport Matters will be light touch with no major changes with it continuing for next four years.

A few Members felt it would be useful for SMIG Chairs to meet with an appropriate officer within DCAL to discuss concerns it was agreed that this meeting should be arranged to take place before 5 November 2014.

Sporting Ambassadors

The Chief Executive advised that the launch of Sporting Ambassadors is taking place on 8 October 2014.

Members noted that Sport Northern Ireland attended the All Ireland Final with a number of Sporting Ambassadors on Sunday 21 September 2014. Sporting Ambassadors also attended the All Ireland Hurling Final on 28 September 2014.

CAL Committee

The Chief Executive advised Members that Sport NI had briefed CAL Committee on 25 September 2014 on Women in Sport & SPLISS and that they had been joined by Angela Platt, Executive Officer, Ulster Hockey Union. Members noted that feedback from the Committee was very positive.

Members noted that the CAL Committee have asked to hold a meeting in the HOS in the New Year.

Commonwealth Games – Report

Members noted that this will happen but will be undertaken in-house.

Mr J D'Arcy commended Sport Northern Ireland's contribution to Team NI at the Commonwealth Games and advised that the relationship

between the two organisations was much improved.

Casement Park

The Chief Executive advised that 30 September 2014 was to be the last day of the Judicial Review but that it could run on. Members noted that a further meeting is planned between Chief Executive, Director of Participation and GAA within the next few weeks.

Casement Capacity issues

The Director of Participation advised that Sport Northern Ireland is yet to receive emergency exiting plan for Casement so cannot provide advice until same is received. It was noted that this was not covered at Judicial review.

Members asked if Sport Northern Ireland had investigated the possibility of involving an independent facilitator with regard to emergency exiting. Members were advised that the football licencing authority had been considered and may be involved at later date.

Dissolution of SINI

The Director of Sports Management Services advised that SINI accounts are currently being prepared. Members noted that there will be a final Board meeting arranged of the Company.

It was also agreed that a meeting should be arranged with Board Members who are Directors of the Company to meet with the Director of Performance to clarify any queries they may have.

Tollymore National Outdoor Centre

The Director of Participation advised that a marketing expert had been employed to assist in the development of Marketing plan.

Members noted that there is to be discussion with the Irish Sports Council and Sport Northern Ireland regarding an Outdoor Centre on All Ireland basis. It was noted that Mountain Training a sub- committee of Sport Northern Ireland would be moving to an All-Ireland basis.

The Director of Participation advised that the Business Case would be sent to DCAL in the near future.

7 GOVERNANCE AND RISK

7.1 Risk Register

Members received and reviewed Paper SNI/14/40 the purpose of which is for Members to consider and approve the Risk Register.

The Director of Sports Management Services advised that the risks

associated with in-year cuts have been taken account of in the risk register.

Members advised that they felt an Audit and Risk Management Meeting should be scheduled in the near future.

The Risk Register was approved.

7.2 Revised Business Plan

Members received Paper SNI/14/41 the purpose of which is to ask Members to consider and approve the Business Plan areas where cuts will be made 2014-2015.

The Director of Sports Management Services advised Members that correspondence had been received from DCAL highlighting the need to manage a potential shortfall in 2014-2015 due to (1) overall financial pressures within the Executive and (2) over-commitment within DCAL.

The total cut is 4.4% which equates to £408,000 in year budget for 2014/2015.

Members noted that these figures are subject to further consideration by the Executive during October Monitoring Round Exercise. It was noted that there is possibility of further cuts in year.

Members noted that Facilities strategy £120,000 cut but noted that this will still happen albeit with a slight delay.

The Chair advised Members that there was a possibility of cuts being more next year 10% - 14%.

Members asked what process had been followed in relation to the proposed cuts. The Director of Sport Management Services advised that the initial starting point was to identify those items that Sport Northern Ireland were not legally committed to and then these were prioritised on the basis of least impact on the Corporate and Business Plan.

Following in-depth discussion on the situation Members approved the business areas where cuts will be applied in the 2014-15 financial year.

8 POLICY AND STRATEGY

8.1 Future Investment in Grassroots Sports Participation

Members received Paper SNI/14/42 the purpose of which is to make recommendations on future direction of SNI investment in grassroots sports participation for the period 2015/16.

The Director of Participation advised Members that staff have undertaken work to secure additional financial support from District Councils for next year. The District Councils have cited severe pressure

on their budgets as the reason for not being able to find the 30% contribution for next year but there is willingness to do so in the future.

It was noted that there may be other partners which Sport Northern Ireland works with which may be interested making a contribution to grassroots participation in the future.

As a result of the above and with severe financial pressures on Sport Northern Ireland the proposal is a twelve month extension to the Active Communities programme with a reduction of the management fee that Sport Northern Ireland currently provides. This action would allow us to safeguard the 117 active community coaches and allows time to consider a more co-ordinated oversight of the coaches in line with emerging Corporate Plan.

A couple of Members advised that they had been approached by Councils with regard to the funding situation and advised that they had felt the request had come out of the blue and they had found it difficult to factor into their processes.

The Director of Participation advised Members that Sport Northern Ireland are engaging with Councils in respect to Sport Northern Ireland having a role in the community planning process.

The Chief Executive advised Members that she is attending a meeting of the newly appointed Chief Executives along with the Director of Participation on 14 November 2014.

Members agreed that the Business Case addendum for Active Communities Investment in 2015/16 should be brought to the next Board meeting.

Approval was also given for a twelve month extension for the current Active Communities programme to 31 March 2016, and the 10% reduction which is a management fee currently paid to Councils in addition to salaries for Active Communities Coaches.

It was noted that a further paper would be brought to the Board as Corporate Planning progresses.

8.2 Sports Facilities Investment

Members received Paper SNI/14/43 the purpose of which is to ask Members to consider a refined delivery option for Sport Northern Ireland's £17.5m sports facility investment opportunity. Members are also asked to approve the addendum to the Programme Level Business Case.

The Director of Participation advised Members that they had considered and approved the Business Case – with a preferred option of a two strand programme at the June Board albeit with concerns that it was splitting the investment between grassroots sport and performance

sport facilities and that there may be scope to take a more integrated approach.

Members noted that staff have now achieved this approach and are proposing a more strategic approach to funding.

The Director of Participation advised that from a range of evidence, and information from the facilities strategy commissioned with local councils, it is felt that we should seek partners which would add to resources to enable a small number of high quality community sports facilities on the ground also facilitate high performance sporting needs.

Members felt that it was sensible to combine the two strands to incorporate both community and high performance in multi-sport facilities.

Members approved the addendum to the Programme Level Business Case and approved the adoption of the proposed one strand investment which integrates the facility needs of performance athletes and community participants (where practicable) within a multi-sport environment.

8.3 New Corporate Plan Progress Update

Members received Paper SNI/14/44 the purpose of which is to ask Members to note progress by all involved in corporate planning.

The Director of Sports Management Services advised Members that planning sessions have taken place with the Executive Team, Management Team and there has been an all staff planning session.

The Director of Corporate Services further advised that Business Consultancy Services (BCS) has been engaged to undertake independent consultation with 14 key stakeholders.

Members noted progress made in relation to the development of Sport NI's new Corporate Plan 2015-2020.

9 DATE OF NEXT MEETING

Date of Next Board Meeting: Wednesday 22 October 5.00 pm – Corporate Planning Session

Tuesday 18 November @ 5.00 pm – Corporate Planning

Tuesday 16 December @ 5.00 pm

Tuesday 30 December @ 5.00 pm (if required)

10 ANY OTHER NOTIFIED BUSINESS

There was no other notified business.

Signed:

Dated:

**Sport Northern Ireland
House of Sport
Upper Malone Road
Belfast
BT9 5LA**

SPORT NORTHERN IRELAND

SNI 14/40

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL

1.0 Introduction

- 1.1. Attached is the current Corporate Risk Register for Sport Northern Ireland. This outlines the strategic risks that may adversely impact the achievement of key organisational objectives, their relative priority, mitigating controls currently in place and additional actions to be taken to manage each risk to an acceptable level.
- 1.2. The current risk register records 8 key corporate risks, 1 is considered high, 2 are considered medium and 5 low. These are summarised below.

Risk	Risk level
1. Non Achievement of Objectives due to budget cuts	20
2. Reputational Damage	3
3. Third Party Risks	8
4. Fraud	3
5. Service Space (SINI)	9
6. Inappropriate Disaster Recovery Procedures	4
7. Poor Information Management	4
8. Inadequate Health and Safety Arrangements (TNOC)	4

- 1.3 All agreed actions are being progressed by management.

2.0 Purpose

- 2.1 The purpose of this paper is for Members to consider and approve the attached risk register.
- 2.2 No meeting of Audit and Risk Management Committee (ARMC) has been scheduled before the September Board meeting; this register has therefore not been subject to review by the ARMC.

3.0 Recommendation

- 3.1 It is recommended that Members consider and approve the attached risk register and the arrangements in place for managing identified risks.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V27
AUTHOR:	L Brown
DATE:	September 2014
NEXT REVIEW DATE	October 2014

Risk Management Statement

- 1.1 The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers our commitment to manage those events that could impact on service delivery.
- 1.2 While risk management in the main is about mitigating the impact of adverse events, Sport Northern Ireland recognises that effective risk management also encompasses opportunity or upside risk. That is harnessing the benefits of those things that if they materialised would be good for the organisation and its stakeholders.
- 1.3 Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Risk is an inherent part of Sport Northern Ireland's environment and our risk management framework functions to assist growth and ensure that our actions support our vision.
- 1.4 Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. It will serve to foster a more flexible environment that will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk and opportunity plays a key role in the delivery of our services.
- 1.5 We will involve and empower all our staff in the identification and management of both risk and opportunity with the system given proper visibility across Sport Northern Ireland activities. It is the Board that has ultimate responsibility for the effectiveness of Sport Northern Ireland's risk management system. Assisting the Board in the discharge of its responsibilities is the Executive Team who will receive regular reports on risk including recommendations for system improvements. Our system of risk management will be driven by all staff and Members who will in turn provide the driving force to deliver our Vision.
- 1.6 Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

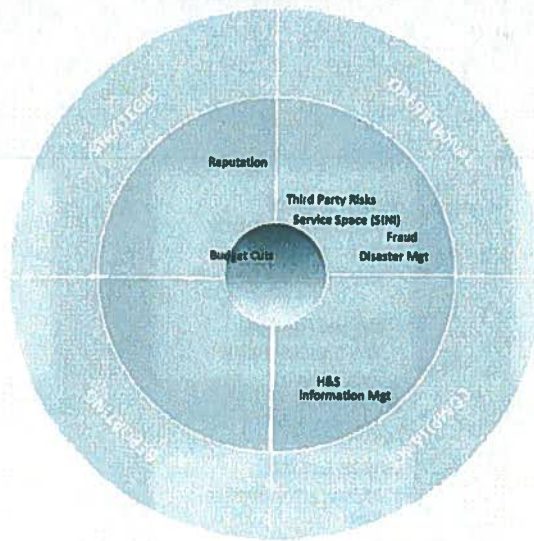
Antoinette McKeown
Chief Executive

July 2014

Setting the Context

- 2.1 Risk is 'The possibility of an event occurring that will have an impact on the achievement of objectives' (IIA UK). In short risk is uncertainty that matters.
- 2.2 Risk however is a fact of life. Any activity undertaken by Sport Northern Ireland, involves a degree of risk. In many cases these risks may be worth taking because of the benefits which arise. However, risk if not properly managed can have an adverse influence on the realisation of strategic priorities.
- 2.3 The realisation of objectives in an efficient, ethical and effective manner is dependent of sound systems of governance. Risk management is therefore the cornerstone of effective governance.
- 2.4 In applying this principle, it would be logical to attribute one main risk to each organisation, that being 'ineffective governance' as this would encompass the full remit of organisational activities and responsibilities.
- 2.5 Notwithstanding this, the purpose of a risk register is to prompt timely and targeted action in respect to specific threats within specific areas at specific times. This register acknowledges that all risk is linked to governance to a greater or lesser extent but recognises that governance is the aggregation of all activities and interventions across the breadth of Sport Northern Ireland.
- 2.6 Sport Northern Ireland's risk management framework in accordance with recognised risk models considers four broad levels of business activities, those being Strategic, Operational, Reporting and Compliance. These are denoted with the risk register. Mindful that risk evaluation and intervention must be specific and targeted; these levels are further subcategorised within the register.

Risk Heat Map



Strategic Risk	Focus is on the identification of and management of risk(s) relating to business critical systems, budgets, definition & pursuance of strategic objectives, decision making, performance monitoring, external forces etc.
Operational Risk	Focus is on the identification of and management of risk(s) relating to systems of internal control risk, financial systems and resources, asset management, project management etc.
Reporting Risk	Focus is on the identification of and management of risk(s) relating to all financial and non-financial reporting and disclosures; includes statutory and or statutory disclosures.
Compliance Risk	Focus is on the identification of and management of risk(s) associated with compliance with legislative and best practice requirements.

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
STRATEGIC RISKS										
1. Non Achievement of Objectives due to Budget Cuts (Financial resources insufficient to meet full remit of business plan)										
Cause: <ul style="list-style-type: none"> Reduced income due to Government spending cuts / efficiency drive Impact: <ul style="list-style-type: none"> Prioritisation / rationalisation of activities leading to non delivery against some SNI objectives Disengagement by key stakeholders adversely impacted by rationalisation 	5	5	Directive Controls <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Budgets – re-profiling (financial controls) Preventative Controls <ul style="list-style-type: none"> Risk management framework 	4	5	Treat Risk <ol style="list-style-type: none"> Re-profiling - Assess impact of envisaged costs and re-profiling of budgets accordingly Priority rationalisation - disengage from lower priority work and minimise admin costs. 	September 2014	Executive Team	3	5
2. Reputational Damage (Loss and reduction of confidence by key Stakeholders, limiting support, funding opportunities and capacity to take risk – linked also with risk 1 'Achieving Obj's')										
Cause: <ul style="list-style-type: none"> Inadequate controls to manage risks Poor culture leading to poor service delivery Adverse press coverage due to: <ul style="list-style-type: none"> Ineffective use of resources – Poor VFM Non-compliance with legislation leading to punitive action Impact: <ul style="list-style-type: none"> SNI engaged in narrower remit of activities Sanctions by DCAL / legislative authorities Limitations of risk taking by SNI Funding restrictions Closer monitoring by DCAL as a result of risk rating 	3	5	Directive Controls <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Governance directives Policies and procedures QAS to Board for review & cmmt Formal management frameworks, e.g risk management and project management frameworks. Preventative Controls <ul style="list-style-type: none"> Risk management framework QAS to Board for review & cmmt Review and oversight by Exec Team / Board Governance audits Pre-App't checks contractors 	3	1	Accept and Monitor Risk			3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk				
	I	L		I	L				I	L			
OPERATIONAL RISKS													
3. Third Party Risks													
<i>(Adverse service by third parties on which SNI is dependent will impact on quality of service delivery by SNI – linked also with risk 2, 'Reputation')</i>													
<p>Cause:</p> <ul style="list-style-type: none"> Third parties may not have the capacity needed to deliver services agreed Approval lead times may delay commencement and therefore delivery of service Over reliance on third parties due to technical knowledge of SNI staff being surpassed by market / field developments Failure to secure planning, threatening project delivery (Non-contracted third parties) Non adherence with governing policies and procedures by third parties adversely impacting project / service delivery Lack of due diligence by third party supplier throughout project life cycle Changes to external environment, i.e. variables influencing outcome subject to change Ineffective change controls VAT uncertainty at project commencement stage bringing cost uncertainty <p>Impact:</p> <ul style="list-style-type: none"> Failure to deliver on agreed outputs to time, cost, quality Closure / abandonment of a project (sunk costs) Delays in delivery leading to financial pressures in next accounting period to finance project completion Reputational damage due to non-delivery or poor VM Accountability by CEO, e.g. PAC hearing Sanctions imposed upon SNI 	4	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Funding T&Cs Project budgets Funding and management P&Ps Governance directives Budgets Project management framework Policies and procedures Collaborative working arrangements <p>Preventative Controls</p> <ul style="list-style-type: none"> Potential to use Lottery funding Skilled, experienced and accredited staff Training and development (technical updates), CPD Recruitment, selection and retention policies and procedures <p>Detective Controls</p> <ul style="list-style-type: none"> Technical inspections Budget controls Internal audit <p>Corrective Controls</p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding T&Cs 	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Enhancement of Technical Skills Ongoing training of key technical staff. Supplier Security Arrgs These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contract and how to close access once the contract is terminated. Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation 	Ongoing	HR Manager	Ongoing	Executive Team	Dec 2014	Corp Programme Mgr	4	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
4. Fraud Risk - (Financial)										
<i>(Fraud will result in a loss and the diversion of resources from core activities to fraud investigation work - linked also with risk 2, 'Reputation')</i>										
Cause: <ul style="list-style-type: none"> Opportunity - Weak controls subject to exploitation Motive (intent) - Cost effective controls cannot prevent all fraud. Impact: <ul style="list-style-type: none"> Loss of Resources - i.e. those misappropriated or those reallocated to undertake investigative work Reputational Damage - Perception that house is not in order Punitive action / sanctions if fraud the result of Internal control failures Over control in the future often leading to inefficient systems 	5	4	Directive Controls <ul style="list-style-type: none"> Policies and procedures Fraud risk assessments Preventative Controls <ul style="list-style-type: none"> Skilled, experienced, accredited staff Staff training, development and CPD Government Funding Database Fraud training Detective Controls <ul style="list-style-type: none"> Internal / External Audit / DARD CIS 	3	1	Treat Risk <ol style="list-style-type: none"> Training - On-going fraud training to staff. Treated risk unchanged (sustain control) - no new actions. 	Ongoing	Gov Mgr	3	1
5. Service Space (SINI)										
<i>(Athlete performance is attributable to the level and quality of service available to athletes at SINI - linked also with risk 1 'Achieving Objs')</i>										
Cause: <ul style="list-style-type: none"> Shared building with UUJ limiting access to facilities Expanding operations at SINI meaning more equipment and wider remit of Interventions Large equipment used on site Impact: <ul style="list-style-type: none"> Limited service flexibility - Timing and level of intervention with athletes limited Limited privacy and therefore comfort for athletes receiving services Minor safety implications - restricted places lead themselves to more slips, trips and falls 	4	3	Directive Controls <ul style="list-style-type: none"> Facilities Agreement with Uster Preventative Controls <ul style="list-style-type: none"> Regular meetings with Head of Sports Services at Uster to discuss facilities issues and to maintain the working relationship of the shared spaces. 	3	3	<ol style="list-style-type: none"> Facilities Review - Management to review the facilities agreement with UUJ. Additional physio space - SINI has identified a space that it would like to refurbish for physio use. 	December 2014	Director of Performance Sport	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
6. Disaster / Contingency Recovery- (Efficiency) (Ability to quickly respond to and recover from unplanned events (usually from external sources)- linked also with risk 1 'Achieving Obj's' & risk 7 Information Mgt)										
Cause: <ul style="list-style-type: none"> External event, e.g. weather, cyber attack Internal event, e.g. fire, damage to business critical equipment such as a server Impact: <ul style="list-style-type: none"> Denial of access to systems/building inhibiting work (business downtime) Potential H&S risk to staff / others if on site or entering site where there has been a critical incident such as fire Cost assoc with getting business operations back up Loss of assets - SNI is self insured Loss of data (Insufficient physical safeguards) 	4	5	Directive Controls <ul style="list-style-type: none"> Business Continuity Plan and testing of plan Detective Controls <ul style="list-style-type: none"> Alarms and maintenance checks Preventative Controls <ul style="list-style-type: none"> Legislative assessments Corrective Controls <ul style="list-style-type: none"> Data back - ups 	4	1	Treat Risk <ul style="list-style-type: none"> Update BCP to be revised to accommodate SNI Testing On-going testing of SNI Business Continuity Plan 	Nov2014	Director of Sport Management Services	3	1
COMPLIANCE										
7. Information Management (Statutory Compliance) (Ability to capture, retain and use information in accordance with legislative requirement, e.g. Data Protection and Freedom of Information Acts)										
Cause: <ul style="list-style-type: none"> Lack of appropriate information system security - data could be subject to unauthorised access Non adherence by staff and for others with information protocols Poor management over migration of SNI data and associated data systems to SNI Impact: <ul style="list-style-type: none"> Loss/theft of data - Distress to data subjects and sanctions on SNI, for e.g. by ICO SNI susceptible to attack by external sources- Cybercrime 	4	5	Directive Controls <ul style="list-style-type: none"> Information management framework encompassing, retention and disposal procedures and IS risk assessments Preventative Controls <ul style="list-style-type: none"> Skilled and dedicated IS resources Information management framework incl. preventative safeguards Detective Controls <ul style="list-style-type: none"> Data audits 	4	1	Treat Risk <ol style="list-style-type: none"> Data Disposal - Formal disposal of identified redundant data SNI Data governance information to be updated to encompass SNI records for which large quantities would fall under the Data Protection Act 	Sep 2014	IS Manager	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
8. Health and Safety (TNOC - Activity Based) (Ability to carry out activities whilst ensuring the health, safety and wellbeing of participants and other relevant parties in accordance with H&S regulations.)										
Cause: <ul style="list-style-type: none"> Procedures do not adequately address all activities Non Adherence with H&S procedures by staff and participants Adverse weather / conditions – increasing likelihood of slips, trips and falls Unforeseen / unplanned contingencies when out on an activity Staff absence – replacement staff may lack skills and or knowledge of area Non communication of key policies and procedures by staff to participants and other users Outdoor activities are inherently risky Impact: <ul style="list-style-type: none"> Injury / fatality Reputational damage in the event of an incident occurring Temporary cessation of activities due to investigations (loss of income) Litigation by injured party Loss of resources – damage to equipment Staff absence due to injuries received 	4	5	Directive Controls <ul style="list-style-type: none"> TNOC Safety management framework Policies and procedures Health and safety framework Weekly staff activity meetings Preventative Controls <ul style="list-style-type: none"> Legislative assessments Skilled, experienced and accredited staff Centralised H&S records at HoS Detective Controls <ul style="list-style-type: none"> Equipment / premises checks External assessment by local authority /Adventure Mark Corrective Controls <ul style="list-style-type: none"> Contingency procedures 	4	1	Accept and Monitor Risk			4	1

Table 1: Risk Scoring Matrix

		Impact				
		Low	Low-Medium	Medium	Medium-High	High
Likelihood	High	5	10	15	20	25
	Medium-High	4	8	12	16	20
	Medium	3	6	9	12	15
	Low-Medium	2	4	6	8	10
	Low	1	2	3	4	5
	Very Low	0	1	2	3	4

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives / £100's lost / Minor non-compliance issues / No injuries.
Low - Medium	£1000's lost / Some localised press coverage / Isolated errors / First aid treatment required.
Medium	£10,000's lost / Localised media attention / Repeated errors / NIAO criticism / Some business interruption / Impact materialises over a long period of time / Medical treatment required.
Medium - High	Failure of key support services / £100,000's lost / Local media attention / Failure to meet national standards / Extensive injuries.
High	Resulting in failure of key objective(s) / £1,000,000's lost / Significant impact on external customers and stakeholders (Ministers etc) / Significant public embarrassment / National media coverage / Attention from Assembly/PAC / Death.

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	Risk is the threat that a hazard, event or action will adversely affect the organisation's ability to achieve its objectives. Risk also includes the missing off or poorly exploiting business opportunities.
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

SPORT NORTHERN IRELAND

MINUTES

SEVENTH MEETING

Minutes of the Board Meeting held on Tuesday 16 December 2014 in the House of Sport, Upper Malone Road, Belfast, BT9 5LA

PRESENT:

In the Chair: B Henning

Members:
I McAvoy
D O'Connor
A Bingham
S McCullough
B Delaney
R Bullick
J O'Neill
G Wilson
R Mallon
P Cummings

Chief Executive: A McKeown

Staff in Attendance: S Ogle
A Sloan
E Bohill
L Beattie

1 APOLOGIES

E Lynch, J D'Arcy

2 DECLARATIONS OF INTEREST

There were no Declarations of Interest.

3 **MINUTES**

The Minutes of the meeting held on 18 November 2014, having been previously circulated were approved and signed.

4 **MATTERS ARISING**

There were no matters arising.

5 **CHAIRMAN'S BUSINESS**

5.1 **SMIG Update**

The Chairs of the three SMIG's provided the Board with a brief overview on respective meetings. Overall it was felt that the meetings had been very constructive with a number of points which have been taken on-board.

5.2 **Judicial Review on Casement Park**

The Chair advised Members of the position with regard to Judicial Review decision on Casement Park and advised that Sport Northern Ireland is following up with DCAL in relation to potential options.

6 **SPORT NI'S RESPONSE TO DCAL CONSULTATION ON BUDGETS**

Members received Paper SNI/14/50 the purpose of which is for Members to consider and approve Sport Northern Ireland's response to DCAL's consultation on 2015/16 Exchequer Budget cuts.

Members noted that the response is being supported by the Northern Ireland sports sector and that this is being led by NI Sports Forum. Members noted that individual clubs and organisations are writing to Executive and local MLA's asking for no further cuts to sport.

The Director of Sports Management Services advised Members that further correspondence had been received from DCAL asking for more detailed information on how 11.2% reduction would be delivered a paper was submitted to DCAL and there has been consultation with DCAL regarding its contents and some revisions were suggested, which have been considered by Sport Northern Ireland.

Members noted that there will be voluntary severance scheme and noted that Sport Northern Ireland have been advised that Sport NI staff will be eligible to apply. It was noted that this cost will be met centrally.

Following a lengthy discussion Members advised that they felt the response should focus on the impact of the cuts to the people of Northern Ireland, affinity to sport for lifetime, mental health, working with children, the undermining of years of work in sport and the long term implications.

Members advised that they had seen the articles in the press regarding cuts to sport, it was felt that these have been helpful as public may not be aware of the impact of the cuts to the budget.

Members agreed that the response should be slightly redrafted with the final response being circulated to Board Members by email for approval within twenty-four hours prior to closure of the consultation on 29 December 2014.

Action. Final response to be emailed to Members for approval before submission.

7

DRAFT CORPORATE PLAN 2015-2020

Members received Paper SNI/14/49 the purpose of which is for Members to consider and approve the Sport Northern Ireland draft Corporate Plan 2015-2020 for submission to DCAL.

The Chief Executive advised Members that there are thirteen actions within the Corporate Plan and queried with the Board if it was too many. Board Members were advised that there would be more information within the Business Plan and that this would be brought to the next meeting in January.

On reviewing the Corporate Plan Members made a range of comments including use of language, inclusion of success measures (internal and external), visible difference in next Corporate Plan, merging information on strategic context and resource priorities and inclusion of SINI in key functions and specialist services.

D O'Connor left the meeting

The Chief Executive advised that the document would have a separate Chief Executive and Chair Foreword.

S McCullough left the meeting

Members also noted that the Business Plan will be considered by the Board in January.

Members approved the Corporate Plan with amendments as discussed.

8 **DATE OF NEXT MEETING**

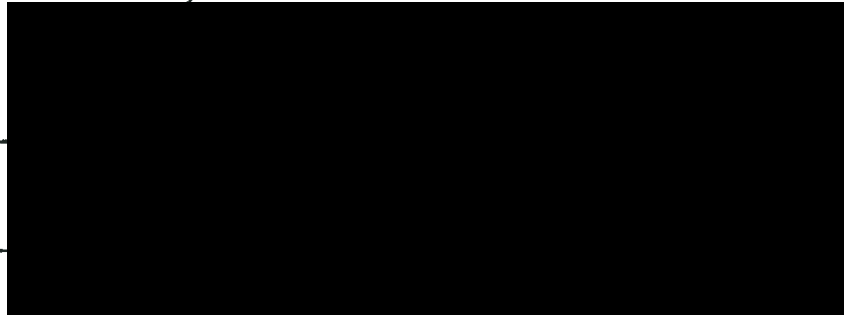
Tuesday 27 January 2014 @ 5.00 pm

9 **ANY OTHER NOTIFIED BUSINESS**

There was no other business

Signed _____

Dated _____



**Sport Northern Ireland
House of Sport
2A Upper Malone Road
Belfast
BT9 5LA**

SPORT NORTHERN IRELAND

MINUTES

FIRST MEETING

Minutes of the Board Meeting held on Tuesday 27 January 2015 in the House of Sport,
Upper Malone Road, Belfast, BT9 5LA

PRESENT:

In the Chair: B Henning

**Members: I McAvoy
 G Wilson
 J D'Arcy
 G Campbell
 P Cummings
 D O'Connor
 E Lynch
 R Bullick
 J O'Neill
 S McCullough
 R Mallon**

Chief Executive: A McKeown

**Staff in Attendance: N Harkness
 S Ogle
 A Sloan
 E Bohill
 L Beattie**

1 APOLOGIES

A Bingham
B Delaney

2 DECLARATIONS OF INTEREST

E Lynch advised that he felt he had a conflict of interest with regard to Paper SNI/15/7.

3 MINUTES

The Minutes of the meeting held on 16 December 2014, having been previously circulated were approved and signed.

4 MATTERS ARISING

4.1 Budget 2015/16

The Chief Executive advised that work is continuing with DCAL on budgets. It was noted that confirmation had been received that the final cut would be 11.2 %. The Chief Executive also advised that the voluntary severance scheme would open in March but that the criteria had not as yet been established.

4.2 Draft Corporate Plan

The Chief Executive advised Members that preparations are underway for consultation on the draft Corporate Plan and dates for consultation across the province have been shared with the Chair and Vice Chair.

Members noted that senior staff will be at consultation sessions and were advised that it would be useful if Board Members were available also to attend.

It was agreed that A Sloan would circulate the timetable of the sessions to Board Members on Wednesday 28 January and ask for a response by Thursday 29 January from Members advising if they were available to attend one of the consultation sessions.

ACTION: A Sloan to circulate consultation timetable to Board Members on Wednesday 28 January 2015.

5 CHAIRMAN'S BUSINESS

5.1 Board Meetings

The Chair advised that to date there has been no schedule of dates arranged for Board meetings but that this will be circulated as soon as possible.

6 ORGANISATIONAL PERFORMANCE

6.1 Executive Strategic Updates

Members received Paper SNI/15/1 the purpose of which is to update Members on a range of strategic issues that have arisen or are being

progressed since the last Board Meeting.

The Chief Executive advised Members that Sport Northern Ireland has agreed to become a lead partner in Sportswoman of Year Awards. Members noted that this will involve Sport Northern Ireland working with others on the categories of the awards and providing a staff member to sit on the judging panel. Members noted that the first Sportswoman of the Year Awards will take place in November 2015.

Members noted all the issues.

6.2 Transforming Sport Northern Ireland – Project Pitch Perfect

Members received Paper SNI/15/2 the purpose of which is to outline the workings of the Pitch Perfect strategy.

The Transformation Facilitator advised Members that the paper shows the direction of travel for the forthcoming period and also advises of the tools and other evidence being applied to inform change within the organisation.

Members queried whether there was a critical path for the strategy and noted that this is being completed at present and will be finalised at the end of Feb / March.

Members also queried how change will be communicated and noted that there will be a Communication Plan developed on how to disseminate information internally and also on how the change process will be communicated to stakeholders.

The Transformation Facilitator advised that there is a need for the Board to review the risk appetite of the organisation. Members noted that this was necessary.

The Board agreed it would be useful to have quarterly updates on this strategy where possible.

Members noted work undertaken to date.

ACTION. Quarterly updates to continue to be provided on strategy.

6.3 Management Accounts for 9 months to 31 December 2014

Members received Paper SNI/15/3 the purpose of which is to ask members to consider and approve Sport Northern Ireland's Exchequer and Lottery management accounts as at 31 December 2014.

The Director of Sports Management Services advised Members that the Exchequer budget is on track. Members noted that key variance relates to projects being delivered slower than anticipated but noted that the budget will be balanced at year-end.

The key variance in the Lottery programme is £6m negative. This had been

caused by re-engineering to get a better strategic impact for the investment. It was noted that this budget is not year-end sensitive. Members noted that a further prioritisation paper is on the agenda for approval at this meeting.

Members approved the Exchequer and Lottery accounts as at 31 December 2014.

6.4 Business Plan 2014-15 Quarter 3 Review

Members received Paper SNI/15/4, to consider and approve Sport Northern Ireland's Business Plan-Quarter 3 Review.

The Director of Sports Management Services updated Members on progress against the 13 key performance indicators (KPI's) advising that 11 KPI's are green on the traffic light system and on track to be achieved, with 1 being amber and likely to be achieved but with some uncertainty, while 1 KPI is red and therefore unlikely to be achieved.

Members noted that the red KPI is in relation to the Capital investment programme due to no monies having been invested, while the amber KPI relates to delay in implementing the Boxing investment strategy.

The Chair asked that the Boards thanks be relayed to staff working on the boxing programme as it appeared to be going well.

Members asked the Director of Sports Management Services to review the timeline for the Capital investment programme.

Members approved the Quarter 3 Business Plan Review.

7 GOVERNANCE & RISK

7.1 Risk Register

Members received Paper SNI/15/5, for Members to consider and approve the Risk Register.

The Director of Sports Management Services advised Members that there had been a new risk added to the risk register relating to the development of Casement Park, regarding potential damage to relationships.

Members discussed the risk and agreed it should be removed from the Risk Register.

Members also advised that they felt that Risk 4 on Page 6 of the document relating to Capital investment and again on Page 11 was not reflected in the same terms and needed to be reworded, or removed.

The Chair of the Audit and Risk Management Committee advised that the format of the risk register document should be reviewed and streamlined to show only corporate risks.

ACTION.

- **Reference to Casement Park to be removed from Corporate Risk Register**
- **Reference to Capital Programme to be removed from Risk Register**
- **The Risk Register to be reviewed and streamlined into a revised format to show only corporate risks**

7.2 Verbal Update from the Audit and Risk Management Committee

The Chair of the Audit & Risk Management Committee advised Members that the last meeting of the Audit and Risk Management Committee took place in October 2014.

Members noted that Deloitte have been appointed as internal auditors and internal audit should be completed by the end of March.

The Director of Sports Management Services advised that he would be circulating dates for agreement for the next Audit and Risk Management Meeting shortly.

POLICY AND STRATEGY

8.1 Draft Business Plan 2015-16

Members received Paper SNI/15/11 for Members to review and approve Sport Northern Ireland's draft Business Plan for the period 2015-16 for submission to DCAL.

The Director of Sports Management Services advised Members that the draft Business Plan is aligned with the Corporate Plan and takes account of the SPLISS Model flow. It sets a maximum of 17 actions with associated measures of success, both quantitative and qualitative.

It also highlights Sport Northern Ireland as the lead sports development body for NI, providing guidance, technical advice etc. Members noted that once the plan is approved a budget will be drawn up for each action and presented to Board for approval.

Members reviewed the business plan and advised that on P9 and P10 there were no figures or percentages or indication on how Business Plan would be monitored / evaluated and requested that this information be added.

Members queried which organisations were involved in the NI Major Events Bidding Panel and noted that the Panel is led by NITB as the statutory approved body for events. The members noted that Sport Northern Ireland, Arts Council, Belfast City Council and Derry City Council and Belfast Visitor Centre were members of the bidding panel.

P Cummings left the meeting

Members approved the draft Business Plan subject to it being brought back to the next meeting in February with a budget and more clarity on measures of success.

ACTION: Draft Business Plan to be brought to next Board meeting with budget and clarity on measures of success for approval before submission to DCAL

8.2 Active Clubs Addendum

Members received Paper SNI/15/6 the purpose of which is for Members to consider a Business case addendum reducing investment in the Active Clubs programme 2014-18, approve a preferred option based on the addendum and approve (reduced) budget to enable delivery of the programme in 2014-18.

The Director of Participation advised Members that the original Business case with a budget of £4m had previously been approved by the Board.

Members noted that the Executive Team had approved a reduction of the budget by £1.25m in light of external factors, which had superseded the decision by the Board to invest £4m. Members noted that in making a decision to reduce the budget the number of applicants that would receive funding would be reduced from 13 to 9. The Board agreed that the Executive Team should not have made the decision to reduce the amount of funding, as this was a Board decision.

Members noted that risks had been discussed and were advised that there had been no formal appeal made to the decision, however a letter had been received from RYANI querying the decision and requesting clarification.

The Chief Executive advised that the Board had two options, to either approve Paper SNI/15/6 on the lines of the reduced budgets as agreed by the Executive Team, or to revert back to the original Business Case and the original budget of £4m.

Members agreed that the initial approval of the Business Case should not be changed and confirmed the budget of £4m for the Active Clubs programme for the period of 2014-18.

ACTION. Original budget of £4m for Active Clubs programme 2014-18 approved, with relevant bodies to be advised of funding.

J D'Arcy left the meeting

S McCullough left the meeting

8.3 Application for Recognition – British Roller Sports Federation

E Lynch left meeting

Members received Paper SNI/15/7, to consider recognition of; the British

Roller Sports Federation (BRSF) as the governing body for Roller Sports and associated disciplines of Roller Sports in Northern Ireland.

The Director of Performance advised Member that following assessment of the application it is evident that BRSF meets all of the recognition criteria. Members noted that there is evidence that the organisation has amended documents to reflect it is the governing body for the sport of Roller Sports and associated disciplines in the entire United Kingdom.

Members approved the recognition of British Roller Sports Federation (BRSF).

E Lynch returned to the meeting

8.4 Revised UK Sports Councils Recognition Policy

Members received Paper SNI/15/8, to agree to proposed revisions to the Home Country Sports Councils and UK Sports Policy for the recognition of sporting activities and associated national governing bodies of sport.

The Director of Performance advised Members that the policy has been agreed by the Chief Executives of the four Home Nations Councils and UK Sport Board, and noted it had been through a robust review process.

Members approved the proposed revisions to the UK Sports Councils' Policy as above.

8.5 Update on Year One Operation of Performance Focus 2013-14

Members received Paper SNI/15/9, which provided an overview of progress in developing sporting systems for year one investment in Performance Focus, and which also provided a brief update of athlete performance against targets agreed, with twenty two sports involved in year one. Members noted that staff are meeting with each of the sports to exchange and discuss how things have gone in year one.

The Director of Performance advised Members there are five areas of system investment in Performance Focus and also advised of the outcome of these.

Members noted that the Sport's Institute strategy is being realigned with the key SPLISS factors.

Members noted the picture emerging from year one of the operation of Performance Focus.

8.6 Sports Investment Prioritisation

Members received Paper SNI/15/10, to consider and approve the prioritisation criteria in the application of the SPLISS model providing a pathway from participation to performance, including Sport Northern Ireland's approach to providing high quality sports facilities, the application

of the criteria to the prioritised list for capital investment, and the overview of the delivery mechanism.

The Director of Participation advised Members that this programme is the culmination of current thinking on the integration of high quality community facilities along with the opportunity for high performance athletes to have access to train locally.

Members noted that a strong evidence based approach has been used in conjunction with this new investment with information being made available from governing bodies through the Performance Focus programme. Members agreed that this was a new and innovative approach to Sport Northern Ireland's investments, while also noting that prioritisation was not a guarantee of investment.

Members noted that, as agreed at the October 2014 meeting with the Minister for DCAL and Sport Northern Ireland officials, work continued on a range of funding opportunities.

Members requested that future papers should indicate that where proposals are being brought forward they should align to strategic objectives.

Members approved the prioritisation process, including next steps and risk mitigation as set out.

ACTION. Future Papers to indicate where proposals align to strategic objectives

9 DATE OF NEXT MEETING

Thursday 19 February 2015 @ 5.00 pm

10 ANY OTHER NOTIFIED BUSINESS

Risk appetite

It was proposed by Chair of Audit & Risk Management Committee and agreed by Members that the Director of Sports Management Services should investigate the potential for Deloitte to facilitate a workshop for Board Members on Risk Appetite, at the next Board meeting.

Signed _____

Dated _____

**Sport Northern Ireland
House of Sport
2A Upper Malone Road
Belfast, BT9 5LA**

SPORT NORTHERN IRELAND

SPORT NORTHERN IRELAND – RISK REGISTER

FOR APPROVAL

SNI-15-5

1.0 Introduction

- 1.1. Attached is the current Corporate Risk Register for Sport Northern Ireland. This outlines the strategic risks that may adversely impact the achievement of key organisational objectives, their relative priority, mitigating controls currently in place and additional actions to be taken to manage each risk to an acceptable level.
- 1.2. The current risk register records 10 key corporate risks, 1 is considered high, 5 are considered medium and 4 low. These are summarised below.

Risk	Risk level
1. Stakeholder Relationships - Budget	16
2. Stakeholder Relationships - Stadia Project	6
3. Delivery of Strategic Priorities	6
4. New Programme Delivery Model	8
5. Third Party Risk	8
6. Business Continuity Risk	4
7. Fraud Risk	3
8. Poor Information Management	4
9. Inadequate Health and Safety Arrangements (TNOG)	4
10. Lone Working	8

2.0 Purpose

- 2.1 The purpose of this paper is for Members to consider and approve the attached risk register.

3.0 Recommendation

- 3.1 It is recommended that Members consider and approve the attached risk register and the arrangements in place for managing identified risks.

SPORT NORTHERN IRELAND

Risk Register

DOC. REF:	Risk Register – V29
AUTHOR:	L. Brown
DATE:	January 2015
NEXT REVIEW DATE	February 2015

Risk Management Statement

- 1.1 The Risk Management Statement outlined below represents Sport Northern Ireland's rationale towards risk management. The purpose of this Statement is to highlight to DCAL, stakeholders, partners and customers our commitment to manage those events that could impact on service delivery.
- 1.2 While risk management in the main is about mitigating the impact of adverse events, Sport Northern Ireland recognises that effective risk management also encompasses opportunity or upside risk. That is harnessing the benefits of those things that if they materialised would be good for the organisation and its stakeholders.
- 1.3 Sport Northern Ireland does not consider the avoidance of risk to be conducive with the effective and economic achievement of our objectives. Risk is an inherent part of Sport Northern Ireland's environment and our risk management framework functions to assist growth and ensure that our actions support our vision.
- 1.4 Our system of risk management will be fit for purpose, reflect our size and operations, and use our skills and capabilities to the full. It will serve to foster a more flexible environment that will enable effective service delivery, improve operational management and enhance our reputation. In implementing a system of risk management we will provide assurance to our stakeholders that the identification and management of risk and opportunity plays a key role in the delivery of our services.
- 1.5 We will involve and empower all our staff in the identification and management of both risk and opportunity with the system given proper visibility across Sport Northern Ireland activities. It is the Board that has ultimate responsibility for the effectiveness of Sport Northern Ireland's risk management system. Assisting the Board in the discharge of its responsibilities is the Executive Team who will receive regular reports on risk including recommendations for system improvements. Our system of risk management will be driven by all staff and Members who will in turn provide the driving force to deliver our Vision.
- 1.6 Sport Northern Ireland will seek to ensure that DCAL and other key stakeholders are informed in a timely manner of key risks and the success of agreed mitigation strategies.

Antoinette McKeown
Chief Executive

July 2014

Setting the Context

- 2.1 Risk is 'The possibility of an event occurring that will have an impact on the achievement of objectives' (IIA UK). In short risk is uncertainty that matters.
- 2.2 Risk however is a fact of life. Any activity undertaken by Sport Northern Ireland, involves a degree of risk. In many cases these risks may be worth taking because of the benefits which arise. However, risk if not properly managed can have an adverse influence on the realisation of strategic priorities.
- 2.3 The realisation of objectives in an efficient, ethical and effective manner is dependent of sound systems of governance. Risk management is therefore the cornerstone of effective governance.
- 2.4 In applying this principle, it would be logical to attribute one main risk to each organisation, that being 'ineffective governance' as this would encompass the full remit of organisational activities and responsibilities.
- 2.5 Notwithstanding this, the purpose of a risk register is to prompt timely and targeted action in respect to specific threats within specific areas at specific times. This register acknowledges that all risk is linked to governance to a greater or lesser extent but recognises that governance is the aggregation of all activities and interventions across the breadth of Sport Northern Ireland.
- 2.6 Sport Northern Ireland's risk management framework in accordance with recognised risk models considers four broad levels of business activities, those being Strategic, Operational, Reporting and Compliance. These are denoted with the risk register. Mindful that risk evaluation and intervention must be specific and targeted; these levels are further subcategorised within the register.

Risk Profile Summary – At a Glance

Key	Description
Risk	An uncertainty that could affect a project, programme, organisation staff and other stakeholders
Cause	Event, circumstances that are creating the uncertainty / Risk
Effect	What will happen if the risk materialises

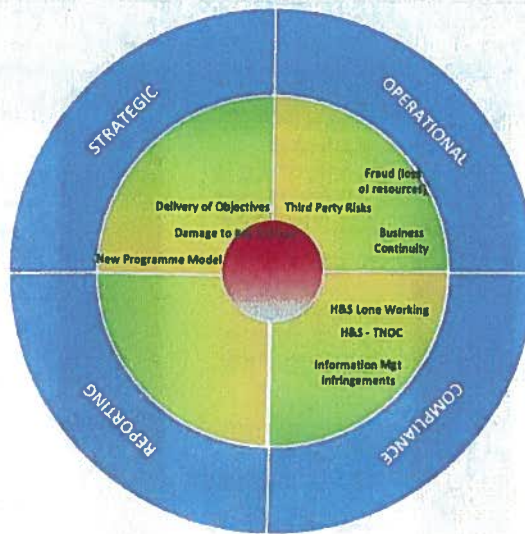
Risk	Cause	Effect	Actions	Date
<p>Risk 1 – Strategic Risk Damage to relationship with Key Stakeholders</p> <p>Current Risk Level -16</p>	<p>Due to budget cuts there will likely be changes to how SNI undertake certain activities and with whom it engages. Envisaged parties likely to be impacted include local authorities and other key partners.</p>	<p>This will necessitate prioritisation of objectives and some objectives will not be delivered on.</p> <p>Relationships between the bodies identified include significant financial support. These bodies are likely to have been impacted by austerity measures and further threats to their revenue streams will be detrimental. From SNI's perspective this may result in loss of goodwill and reduced capacity across stakeholders who may be of strategic relevance in future.</p> <p>Should funding drop below a critical level, it may threaten the existence of some partner organisations and limit future opportunities. In addition, these bodies may find partnership investments at risk if other investment falls to a critical level.</p>	<ul style="list-style-type: none"> • Priority Rationalisation • Articulation of Risk Appetite 	<p>March 2015</p> <p>February 2015</p>
<p>Risk 2 - Strategic Risk Damage to relationship with Key Stakeholders</p>	<p>The stadia projects are part of a DCAL capital programme in which SNI is involved in an advisory capacity. As a result of ongoing challenges with the</p>	<p>In seeking a resolution an impasse may ensue which may bring with it media attention adversely impacting the delivery of the project and incurring</p>	<p>Accept and Monitor</p>	

Risk	Cause	Effect	Actions	Date
Current Risk Level 6	Stadia project at <u>Cesament Park</u> , there is the potential for good relations between SNI, DCAL and the GAA to become damaged.	reputational damage to involved parties. There may be associated costs including sunk /opportunity costs and the planned rebuild of the facility may be adversely impacted.		
Risk 3 – Strategic Risk Delivery of Objectives Current Risk Level -6	Reduced government spending.	This will necessitate prioritisation of objectives and some objectives will not be delivered on.	See risk 1	
Risk 4 - Strategic Risk New Programme Delivery Model Current Risk Level 8	Management are proposing a change in the method of funding allocation under SNI's Capital Investment Programme.	This is a large investment and the manner in which it will be implemented represents a new way of engaging projects, SNI may misjudge the market or implement the process incorrectly. If this is realised, there will be underachievement in terms of programme objectives and poor VfM.	<ul style="list-style-type: none"> Facilities Strategy 	Ongoing – March 2015
Risk 5 – Operational Risk Poor VfM associated with service delivery by third parties Current Risk Level 8	<p>Sport Northern Ireland relies on a range of third parties to delivery on its objectives. These third parties include applicants, providers of goods and services and other organisations/ bodies.</p> <p>Failure on the part of any of these parties in particular around critical services/projects will impact the quality of service delivery and the pursuance of objectives.</p> <p>Specific causes that may result in poor quality delivery by a third-party include, lack of capacity, unrealistic delivery requirements, lack of due diligence, environmental changes and ineffective change management procedures.</p>	<p>The impact of this will be services/project/ programme will be delivered late, over budget or not to required quality.</p> <p>This will erode financial and non-financial resources and will incur a reputational impact for Sport Northern Ireland and possibly sanctions by DCAL.</p>	<ul style="list-style-type: none"> Enhancement of Technical Skills Supplier Security Arrangements Enhancement of Project Management framework – 	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>

Risk	Cause	Effect	Action	Date
<p><u>Risk 6 – Operational Risk</u> Business Continuity</p> <p>Current Risk Level -4</p>	<p>Sport Northern Ireland's business is dependent on a number of critical services and facilities, such as building and IT Infrastructure.</p> <p>Any significant event that would threaten the availability of these critical services would inhibit business operations.</p> <p>The ability to manage such an event will be dependent on adequate business contingency arrangements and their effective deployment.</p>	<p>Should a business contingency arise these will result in denial of access to Information and building.</p> <p>Depending on the nature of the incident, corporate and personal data may be permanently lost or damaged.</p> <p>Health and safety threats may also be present should a contingency involve damage to facility such as fire, flood.</p>	<ul style="list-style-type: none"> Update Business Continuity Plan BCP Testing 	<p>Feb 2015</p> <p>On-going</p>
<p><u>Risk 7 – Operational Risk</u> Loss of Resources Due to Fraud</p> <p>Current Risk Level -3</p>	<p>Fraud will often occur through opportunity. An opportunity may be created after being planned and contrived at great length, or it may arise from a chance taken in a passing moment.</p> <p>Nonetheless, opportunities which allow fraud to be committed more easily may be created by virtue of organisational characteristics, primarily weak internal controls.</p>	<p>Any instance of fraud perpetrated against Sport Northern Ireland will incur a loss of resources not only directly in terms of money lost but also in terms of investigation costs.</p> <p>Any incident of fraud may also incur reputational risk.</p>	<ul style="list-style-type: none"> Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	<p>Ongoing</p>
<p><u>Risk 8 – Compliance Risk</u> Associated with the management of SINI data.</p> <p>Current Risk Level -4</p>	<p>The level and nature of information processed by Sport Northern Ireland necessitates robust information management controls.</p> <p>Incidents of non-compliance are created by virtue of the fact that systems require human intervention which means that the system is limited to the level of understanding and compliance by staff with prescribed P&Ps.</p>	<p>Failure to ensure adequate arrangements for safeguarding personal data may give rise to litigation costs, reputational damage and punitive action by relevant authorities such as the Information Commissioners Office.</p>	<ul style="list-style-type: none"> Data Disposal Migration of SINI Data 	<p>March 2015</p> <p>March 2015</p>

Risk	Cause	Effect	Actions	Date
	The nature of threats is continually evolving, in particular cybercrime and it is difficult to fully mitigate such threats.			
<p><u>Risk 9 – Compliance Risk</u> Associated with Health and Safety Risk (TNOC).</p> <p>Current Risk Level -4</p>	<p>TNOC run a suite of activities which by their very nature are risky. Coupled with this is the environment in which many of the events are run. Running activities in the outdoors brings a variation each time and weather and terrain may be such that unforeseen incidents may occur.</p> <p>Staff are also required to engage with participants as part of TNOC activities, this incurs the risk to staff, especially where one-to-one instruction is required with vulnerable persons.</p>	<p>This incurs the risk of injury should appropriate H&S arrangements not be in place.</p> <p>This may in turn result in litigation costs, reputational damage and personal and corporate liability under legislation.</p>	<p>Accept and Monitor</p>	
<p><u>Risk 10 - Compliance Risk</u> Associated with Health and Safety Risk</p> <p>Current Risk Level -8</p>	<p>SNI staff are required to engage with the public on and off site on an individual basis.</p> <p>Note: TNOC only areas with lone working procedures in place.</p>	<p>This incurs the risk that staff may be injured should appropriate H&S arrangements not be in place. This may in turn result in litigation costs, reputational damage and personal and corporate liability under legislation.</p>	<ul style="list-style-type: none"> Lone working policy and procedures 	<p>February 2015</p>

Risk Heat Map



Strategic Risk	Focus is on the identification of and management of risk(s) relating to business critical systems, budgets, definition & pursuance of strategic objectives, decision making, performance monitoring, external forces etc.
Operational Risk	Focus is on the identification of and management of risk(s) relating to systems of internal control risk, financial systems and resources, asset management, project management etc.
Reporting Risk	Focus is on the identification of and management of risk(s) relating to all financial and non-financial reporting and disclosures; includes statutory and on statutory disclosures.
Compliance Risk	Focus is on the identification of and management of risk(s) associated with compliance with legislative and best practice requirements.

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
STRATEGIC RISKS										
1&2 Damage to relationship with Key Stakeholders (Loss and reduction of confidence by key Stakeholders, limiting support, funding opportunities and capacity to take risk – linked also with risk 1 Achieving Obj.)										
<p>Cause:</p> <ul style="list-style-type: none"> Reduced income due to Government spending cuts / efficiency drive <p>Impact:</p> <ul style="list-style-type: none"> Prioritisation / rationalisation of activities leading to non delivery against some SNI objectives Disengagement by key stakeholders adversely impacted 	5	5	<p>Directive Controls</p> <ul style="list-style-type: none"> SNI Strategy and Business Plan Board leadership and oversight Budgets – re-profiling (financial controls) New Corporate Plan (in development) <p>Preventative Controls</p> <ul style="list-style-type: none"> Risk management framework Budget re-profiling and priority rationalisation 	4	4	<p>Treat Risk</p> <ol style="list-style-type: none"> Priority rationalisation - disengage from lower priority work and minimise admin costs Risk Appetite – formal articulate and communicate risk appetite of Board 	<p>Mar 2016</p> <p>Feb 2016</p>	<p>Executive Team</p> <p>Executive Team</p>	3	3
<p>Cause:</p> <ul style="list-style-type: none"> Challenges in respect to Cessment Park project <p>Impact:</p> <ul style="list-style-type: none"> Adverse publicity for DCAL and SNI as result of media interest, delays etc Impasse and diversion of SNI resources to resolve the issue Sunk / Opportunity costs associated with projects during delay period 	4	3	<p>Directive Controls</p> <ul style="list-style-type: none"> Safety of Sports Grounds Order and supporting best practice guidance Skilled and experienced teams dedicated to area of work Safety Advisory Group – consists of PSNI, Ambulance and Fire Services <p>Preventative Controls</p> <ul style="list-style-type: none"> Bi-Annual reporting to DCAL Sound knowledge of SOSG Order. Team manager co-authored legislation Consultation with other key stakeholders and authorities <p>Detective Controls</p> <ul style="list-style-type: none"> Inspection of project technical documents by team 	3	2	<p>Accept and Monitor Risk</p> <p>Will monitor the outworking of the Judicial Review to determine next steps.</p>			3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
3. Non delivery on Key Strategic Objectives (Financial resources insufficient to meet full remit of business plan)										
Cause: <ul style="list-style-type: none"> Reducing Budgets Poor culture leading to poor service delivery Impact: <ul style="list-style-type: none"> SNI engaged in narrower remit of activities Sanctions by DCAL / legislative authorities Limitations of risk taking by SNI Closer monitoring by DCAL as a result of risk rating 	3	5	Directive Controls <ul style="list-style-type: none"> SNI Strategy and Business Plan Board Oversight / Leadership Governance directives Policies and procedures Assurance reporting - BIAS Formal management frameworks, e.g. risk management and project management frameworks. Preventative Controls <ul style="list-style-type: none"> Risk management framework Assurance reporting - BIAS Review and oversight by Exec Team / Board Governance audits Pre-Appr checks contractors 	3	2	Accept and Monitor Risk			3	2
4. Non delivery of objectives under the new Capital Investment Programme (New method of engagement)										
Cause: The achievement of objectives under the new Capital Facility Programme is predicated on the ability to identify gaps in current provision and to engage with the appropriate applicants/delivery partners to address the gaps identified	4	4	Directive Controls <ul style="list-style-type: none"> Solicitation of applications – permissible under Lottery Regulations and practiced by other national Sports Councils. This will increase control by SNI as investment will not be dictated by an application but rather a qualitative process Facilities strategies – currently in progress and will drive investment by SNI – due to be finalised by March 2015. Active engagement with all stakeholders (throughout the solicitation process) reducing risk of challenge 	4	2	1. Facilities Strategy - Close monitoring of this piece of work will be undertaken to ensure that it is completed by the deadline of March 2015	Ongoing <i>Finalisation Mar 2015</i>	Capital Manager	4	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<ul style="list-style-type: none"> Adverse publicity Sanctions and closer monitoring by DCAL Legal response by unsuccessful applicants 			<ul style="list-style-type: none"> Project management framework Funding T&Cs Funding and management P&Ps <p>Preventative Controls</p> <ul style="list-style-type: none"> Lottery funded – quality not driven by year-end spend requirements under Exchequer funding. 							
OPERATIONAL RISKS										
5. Poor Value for Money – Linked to delivery by third parties										
(Adverse service by third parties on which SNI is dependent will impact on quality of service delivery by SNI – linked also with risk 2: Reputation)										
<p>Cause:</p> <ul style="list-style-type: none"> Third parties may not have the capacity needed to deliver services agreed Approval lead times may delay commencement and therefore delivery of service Over reliance on third parties due to technical knowledge of SNI staff being surpassed by market / field developments Failure to secure planning, threatening project delivery (Non-contracted third parties) Non adherence with governing policies and procedures by third parties adversely impacting project / service delivery Lack of due diligence by third party supplier throughout project life cycle Changes to external environment, i.e. variables influencing outcome subject to change Ineffective change controls VAT uncertainty at project commencement stage bringing cost uncertainty <p>Impact:</p> <ul style="list-style-type: none"> Failure to deliver on agreed outputs to time, cost, quality Closure / abandonment of a project (sunk costs) 	4	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Funding T&Cs Project budgets Funding and management P&Ps Governance directives Budgets Project management framework Policies and procedures Collaborative working arrangements <p>Preventative Controls</p> <ul style="list-style-type: none"> Potential to use Lottery funding Skilled, experienced and accredited staff Training and development (technical updates), CPD Recruitment, selection and retention policies and procedures <p>Detective Controls</p> <ul style="list-style-type: none"> Technical inspections Budget controls 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Enhancement of Technical Skills Ongoing training of key technical staff. Ongoing Supplier Security Arrgs These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contract and how to close access once the contract is terminated. Ongoing Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation. Dec 2014 		HR Manager Executive Team Corp Programme Mgr	4	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<ul style="list-style-type: none"> Delays in delivery leading to financial pressures in next accounting period to finance project completion Reputational damage due to non-delivery or poor VM Accountability by CEO, e.g. PAC hearing Sanctions imposed upon SNI 			<ul style="list-style-type: none"> Internal audit <p>Corrective Controls</p> <ul style="list-style-type: none"> Waiting list of projects – can be accelerated to utilise budget Funding T&Cs 							
6. Business Continuity- (Efficiency) (Ability to quickly respond to and recover from unplanned events (usually from external sources) – linked also with risk 1 Achieving Obj's & risk 7 Information Mgt)										
<p>Cause:</p> <ul style="list-style-type: none"> External event, e.g. weather cyber attack Internal event, e.g. fire, damage to business critical equipment such as a server <p>Impact:</p> <ul style="list-style-type: none"> Denial of access to systems/building inhibiting work (business downtime) Potential H&S risk to staff / others if on site or entering site where there has been a critical incident such as fire Cost assoc with getting business operations back up Loss of assets – SNI is self insured Loss of data (insufficient physical safeguards) 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Business Continuity Plan and testing of plan <p>Detective Controls</p> <ul style="list-style-type: none"> Alarms and maintenance checks <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments <p>Corrective Controls</p> <ul style="list-style-type: none"> Data back – ups 	4	1	<p>Treat Risk</p> <ul style="list-style-type: none"> Update BCP BCP to be revised to accommodate SNI. Testing On-going testing of SNI Business Continuity Plan. 	February 2015 On-going	Director of Sport Management Services Director of Sport Management Services	3	1
7. Loss of Resources due to Fraud – (Financial) (Fraud will result in a loss and the diversion of resources from core activities to fraud investigation work – linked also with risk 2 Reputation)										
<p>Cause:</p> <ul style="list-style-type: none"> Opportunity – Weak controls subject to exploitation Motive (Intent) – Cost effective controls cannot prevent all fraud. <p>Impact:</p> <ul style="list-style-type: none"> Loss of Resources- i.e. those misappropriated or those reallocated to undertake investigative work 	5	4	<p>Directive Controls</p> <ul style="list-style-type: none"> Policies and procedures Fraud risk assessments <p>Preventative Controls</p> <ul style="list-style-type: none"> Skilled, experienced, accredited staff Staff training, development and CPD 	3	1	<p>Treat Risk</p> <ul style="list-style-type: none"> Training – On-going fraud training to staff. Treated risk unchanged (sustain control) – no new actions. 	Ongoing	Gov Mgr	3	1

Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<ul style="list-style-type: none"> Reputational Damage – Perception that house is not in order Punitive action / sanctions if fraud the result of internal control failures Over control in the future often leading to inefficient systems 			<ul style="list-style-type: none"> Government Funding Database Fraud training <p>Detective Controls</p> <ul style="list-style-type: none"> Internal / External Audit / DARD CIS 							
COMPLIANCE										
8. Information Management (Statutory Compliance)										
(Ability to capture, retain and use information in accordance with legislative requirements, e.g. Data Protection and Freedom of Information Acts)										
<p>Cause:</p> <ul style="list-style-type: none"> Lack of appropriate information system security – data could be subject to unauthorised access Non adherence by staff and for others with information protocols Poor management over migration of SINI data and associated data systems to SINI <p>Impact:</p> <ul style="list-style-type: none"> Loss/theft of data – Distress to data subjects and sanctions on SINI, for e.g. by ICO SINI susceptible to attack by external sources- Cybercrime 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Information management framework encompassing, retention and disposal procedures and IS risk assessments <p>Preventative Controls</p> <ul style="list-style-type: none"> Skilled and dedicated IS resources Information management framework incl. preventative safeguards <p>Detective Controls</p> <ul style="list-style-type: none"> Data audits 	4	1	<p>Treat Risk</p> <ol style="list-style-type: none"> Data Disposal – Formal disposal of identified redundant data. Mar 2015 IS Manager SINI Data Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. Mar 2015 IS Manager 			3	1
9. Health and Safety (TNOC – Activity Based)										
(Ability to carry out activities whilst ensuring the health, safety and welfare of participants and other relevant parties in accordance with H&S regulations.)										
<p>Cause:</p> <ul style="list-style-type: none"> Procedures do not adequately address all activities Non Adherence with H&S procedures by staff and participants Adverse weather / conditions Unforeseen / unplanned contingencies when out on an activity Staff absence – replacement staff may lack skills and/or 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> TNOC Safety management framework Policies and procedures Health and safety framework Weekly staff activity meetings <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments 	4	1	<p>Accept and Monitor Risk</p>			4	




Cause and Consequence Analysis	Inherent Risk		Current Controls	Residual Risk		Agreed Actions	Date	Officer	Treated Risk	
	I	L		I	L				I	L
<p>Knowledge of area</p> <ul style="list-style-type: none"> Non communication of key policies and procedures by staff to participants and other users Outdoor activities are inherently risky <p>Impact:</p> <ul style="list-style-type: none"> Injury / fatality Reputational damage in the event of an incident occurring Temporary cessation of activities (loss of income) Litigation by injured party Loss of resources – damage to equipment Staff absence due to injuries received 			<ul style="list-style-type: none"> Skilled, experienced and accredited staff Centralised H&S records at HoS <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / premises checks External assessment by local authority /Adventure Mark <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures 							
<p>10. Health and Safety (Ability to carry out activities whilst ensuring the health, safety and wellbeing of staff engage in activities in a lone capacity)</p>										
<p>Cause:</p> <ul style="list-style-type: none"> Procedures do not adequately address all activities Non Adherence with H&S procedures by staff Non communication of key policies and procedures to staff <p>Impact:</p> <ul style="list-style-type: none"> Injury / fatality Reputational damage in the event of an incident occurring Litigation by injured party Loss of resources – damage to equipment Staff absence due to injuries received 	4	5	<p>Directive Controls</p> <ul style="list-style-type: none"> Policies and procedures Health and safety framework Weekly staff activity meetings <p>Preventative Controls</p> <ul style="list-style-type: none"> Legislative assessments Skilled, experienced and accredited staff Centralised H&S records at HoS <p>Detective Controls</p> <ul style="list-style-type: none"> Equipment / premises checks <p>Corrective Controls</p> <ul style="list-style-type: none"> Contingency procedures 	4	2	<p>Treat Risk</p> <ol style="list-style-type: none"> Policies and Procedure - Lone working Policy and Procedures to be developed and implemented 	Feb 2015	HR Manager	4	1

MANAGEMENT ACTION PLAN

Risk No	Required Action	Responsibility and Key Dates	Treated Risk				
1	<p>Budget Re-profiling</p> <p>Assess impact of envisaged cuts and re-profiling of budgets accordingly.</p> <p>Update January 2015</p> <p>Subsequent to the budget reductions, Sport Northern Ireland has re-profiled its budgets and these have been agreed by the Board at its meeting in November 2015. The development of the new Corporate Plan will likely result in changes to how allocated financial resources will be allocated from the budget profile presented and agreed by the Board. The Board will be overseeing the Corporate Planning process.</p>	<p>Executive Team</p> <p>Jan 2015</p> <p>Actioned</p>	<table border="1"> <tr> <td>I</td> <td>L</td> </tr> <tr> <td>3</td> <td>3</td> </tr> </table>	I	L	3	3
	I	L					
	3	3					
<p>Priority rationalisation</p> <p>Actively evaluate scope of work and as part of the business planning process disengage from lower priority work thereby increasing speed of response whilst minimising admin costs.</p> <p>Update January 2015</p> <p><u>In progress</u> - The development of the new Corporate Plan will determine Sport Northern Ireland's future business priorities. Work has commenced in this area which will be overseen by the Board.</p>	<p>Executive Team</p> <p>Mar 2015</p>						
<p>Scenario Planning re Future Investment in Participation Programmes</p> <p>Prioritisation of business areas and active assessment of potential activity rationalisation and associated impacts. This will support timely response and manage the adverse impact of passive engagement with key stakeholders. More active engagement will foster improved relationships and potentially identify viable solutions and/or provide partners with ample time to manage the associated impacts of any change.</p> <p>Update January 2015</p> <p>Subsequent to the budget reductions, Sport Northern Ireland has re-profiled its budgets and the revised budgets were agreed by the Board at its meeting in November 2015. This has necessitated prioritisation of Sport Northern Ireland investment and management have actively engaged with affected stakeholders to assist them in managing the impacts of investment changes. Moving forward investment will be linked to the new Corporate Plan and will seek to target intervention at identified participation 'drop off' points.</p>	<p>Participation Manager</p> <p>Jan 2015</p> <p>Actioned</p>						

Risk No	Required Action	Responsibility and Key Dates	Treated Risk				
	<p>Intervention Evolution – Participation Programmes</p> <p>In response to budget restrictions and a desire to change the nature of SNI engagement and Intervention management are to actively assess and design alternative models for promoting participation across target demographics for example, investing specifically in outputs rather than inputs.</p> <p>Update January 2015 See above</p>	<p>Participation Manager Jan 2015</p> <p>Actioned</p>					
	<p>Articulation of Risk Appetite</p> <p>This exercise will be undertaken in the first instance by the Executive Team but will be subject to overview and concurrence by the Board. The outworkings of this will be clear direction on the type and nature of risk to be proactively pursued by Sport Northern Ireland and the provision of clear thresholds / parameters beyond which business activities must not stray.</p> <p>Update January 2015</p> <p>A workshop has been planned for 8 January for the Executive Team at consider and articulate the risk appetite of the organisation in the first instance. The latter stages of this process will include the Board who have ultimate responsibility for articulating the risk appetite of Sport Northern Ireland and ensuring that business activities are consistent with this.</p>	<p>Executive Team Feb 2015</p>					
2	<p>Multi agency Meeting</p> <p>SNI to attend a multiagency meeting to be convened by GAA.</p> <p>Update January 2015</p> <p>Sport Northern Ireland requested that the GAA as project owner convene a meeting with project partners. Despite repeated requests, the GAA did not convene a meeting. The Judicial Review into the Casement Park redevelopment is likely to impact future meeting with project stakeholders.</p> <p>The Judicial Review in December 2014 ruled that the decision to grant planning permission for the £77m Casement Park redevelopment was flawed. This decision from the judicial review has not resulted in abandonment of the project.</p> <p>DCAL and SNI have begun a process to review the communications structures regarding this and other possible future stadia projects with a view to maximizing the potential for positive outcomes.</p>	<p>Director of Participation Dec 2014</p>	<table border="1"> <tr> <td>I</td> <td>L</td> </tr> <tr> <td>3</td> <td>1</td> </tr> </table>	I	L	3	1
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4	<p>Facilities Strategy – Capital Investment Programme</p> <p>Given its importance to the new Capital Investment Programme, management will undertake close monitoring</p>	<p>Community Capital Team Manager</p>	<table border="1"> <tr> <td>I</td> <td>L</td> </tr> </table>	I	L		
I	L						

Risk No	Required Action	Responsibility and Key Dates	Treated Risk				
	<p>of the development of the Facilities Strategy to ensure that it is completed by the deadline of March 2015.</p> <p>Update January 2015 Work remains ongoing in this area.</p>	<p>Ongoing – to be completed by March 2015</p>	<table border="1"> <tr> <td>4</td> <td>1</td> </tr> </table>	4	1		
4	1						
5	<p>Enhancement of Technical Skills – Ongoing training of key technical staff.</p> <p>Update January 2015 Work remains ongoing in this area.</p>	<p>Director of Participation Ongoing</p>	<table border="1"> <tr> <td>1</td> <td>L</td> </tr> <tr> <td>4</td> <td>1</td> </tr> </table>	1	L	4	1
	1	L					
	4	1					
<p>Supplier Security Arrgs – These will address how contractors are screened, how risk assessment of suppliers are undertaken, what security clauses to insert into contracts, how to supervise the fulfilment of contractual clauses, how to change the contract and how to close access once the contract is terminated.</p> <p>Update January 2015 Work remains ongoing in this area.</p>	<p>Director of Corporate Services Ongoing</p>						
	<p>Enhancement of Project Management framework – work underway that will encompass a singular approach that will include benefits realisation.</p> <p>Update January 2015 Work remains ongoing in this area. Regular project Boards have been established and a formal project management methodology is currently being developed.</p>	<p>Corporate Project Manager Dec 2014</p>					
6	<p>Update BCP – BCP to be revised to accommodate SINI.</p> <p>Update January 2015 Work remains ongoing in this area.</p>	<p>Compliance Officer Feb 2015</p>	<table border="1"> <tr> <td>1</td> <td>L</td> </tr> <tr> <td>3</td> <td>1</td> </tr> </table>	1	L	3	1
	1	L					
3	1						
	<p>BCP Testing – On-going testing of SINI Business Continuity Plan.</p>	<p>Director of Corporate Services Ongoing</p>					

Risk No	Required Action	Responsibility and Key Dates	Treated Risk
	Update January 2015 Work remains ongoing in this area.		
7	Fraud Training – On-going fraud training to staff. Treated risk unchanged (sustain control). Update January 2015 Work remains ongoing in this area.	Governance Manager Ongoing	
8	Data Disposal – Formal disposal of identified redundant data. Update January 2015 Work remains ongoing in this area.	IS Manager Mar 2016	
	SINI Data - Information governance arrangements to be updated to encompass SINI records for which large quantities would fall under the Data Protection Act. Update January 2015 Work remains ongoing in this area.	IS Manager Mar 2015	
10	Lone Working policy and procedures - development and roll out of Lone working policy and procedures. Update January 2015 Policy and procedures developed. To be rolled out in February.	HR Manager Feb 2015	

RISK SCORING METHODOLOGY

Table 1: Risk Scoring Matrix

		Impact				
		Low 1	Low-Medium 2	Medium 3	Medium-High 4	High 5
Likelihood	High 5	5	10	15	20	25
	Medium-High 4	4	8	12	16	20
	Medium 3	3	6	9	12	15
	Low-Medium 2	2	4	6	8	10
	Low 1	1	2	3	4	5

Table 2: Risk Descriptor

Descriptor	Detailed Description
Low	No impact on achievement of objectives / £100's lost / Minor non-compliance issues / No injuries.
Low - Medium	£1000's lost / Some localised press coverage / Isolated errors / First aid treatment required.
Medium	£10,000's lost / Localised media attention / Repeated errors / NIAO criticism / Some business interruption / Impact materialises over a long period of time / Medical treatment required.
Medium - High	Failure of key support services / £100,000's lost / Local media attention / Failure to meet national standards / Extensive injuries.
High	Resulting in failure of key objective(s) / £1,000,000's lost / Significant impact on external customers and stakeholders (Ministers etc) / Significant public embarrassment / National media coverage / Attention from Assembly/PAC / Death.

SUMMARY OF CHANGES

Version	Ref	Risk	Summary of Changes
29	1	Damage to relationship with key stakeholders due to reduced government spending	<p><u>Residual Risk</u></p> <p>Impact has been reduced due to engagement by Sport Northern Ireland with affected parties to assist them in managing the impact of investment changes.</p> <p><u>Agreed Action</u></p> <ul style="list-style-type: none"> • Re-Profiling – this work has been undertaken and the in-year cuts managed. • Priority rationalisation - this was to be agreed in January 2015. With higher than anticipated cuts a more comprehensive assessment of business activities is required. Agreement as to the range of business activities to be engaged by Sport Northern Ireland over the period of its next corporate plan will be finalised by March 2015. • Scenario Planning – New action – escalated from Participation Risk Register • Intervention Evolution - New action – escalated from Participation Risk Register • Risk Appetite – New action
	2	New Programme Delivery Model	New risk escalated from Participation Risk Register.
	3	Poor Service quality at SINI	Risk removed - not considered significant in terms of corporate level risk. Will continue to be managed as part of risk management processes at SINI,
	4	Information Management	<p>Agreed Actions</p> <p>Data Disposal – Formal disposal of redundant data and amalgamation of SINI Information within SNI's information management control framework. These tasks were to have been completed by September 2014. Work priorities have resulted in further delays in the completion of these tasks. Envisaged implementation date March 2015.</p>
	5	Business Continuity	<p>Agreed Actions</p> <p>Update BCP – This tasks was to have been completed by September 2014. Work priorities have resulted in further delays in the completion of these tasks. Envisaged implementation date February 2015 upon retrun of SNI's Compliance Officer.</p>

GLOSSARY OF TERMS

Term	Definition
Current Controls	The controls / actions currently in place to manage the risk identified.
Hazard	A situation that could occur during the lifetime of a project, product or system that has the potential for human injury, damage to property, damage to the environment or economic loss.
Inherent Risk	The risk to the system by nature of its existence or operating environment. i.e. the risk in the absence of any controls.
Impact	How the risk is materialised will affect the organisation.
Likelihood	The possibility of an event occurring.
Residual Risk	The risk exposure post implementation/consideration of controls.
Risk	An uncertainty that could affect a project, programme, organisation staff and other stakeholders
Significant Control Deficiencies	Any weakness within the system which if not addressed will adversely affect Sport Northern Ireland and the achievement of its objectives.

**Minutes of the Programme Sponsor Board held
on Thursday 1 December 2011, 2.30pm at Causeway Exchange**

Present

Members:

DCAL: Rosalie Flanagan (Chair)

UBIRFU: Sir Nigel Hamilton (SNH)

GAA: Michael Hasson (MH)

IFA: Jim Shaw (JS)

Sport NI Dominic Walsh (DW)

In attendance: Eamonn McCartan (E McC)
Nick Harkness (NH)
Cynthia Smith (CS)
Mick Cory (MC)
Kay Wilshin (KW)

1.0 Introduction and welcome.

1.1 Rosalie Flanagan (RF) welcomed members to the first meeting of the Programme Sponsor Board and invited introductions. RF stated that the meeting would take the form of a briefing session and would provide an opportunity for an update on the Stadium Programme as a whole.

2.0 Stadium Programme

2.1 RF detailed the background to Stadium Programme and the following points were noted:

- (i) The Executive approved the Outline Business Case and Budget of up to £110m in 2011/12 – 2014/15 in March this year.
- (ii) The draft Programme for Government published in November 2011 includes a commitment “to develop the sports stadiums as agreed with the IFA, GAA and Ulster Rugby”. Under Priority 4, “Building a Strong and Shared Community”.

(iii) The Executive's strategy for sport and physical recreation, Sport Matters, includes the Vision "a culture of lifelong engagement and success in sport".

2.2 RF reiterated the Minister's objective that the funding made available by the Executive must be expended within the current CSR period i.e. by March 2015.

2.3 RF tabled a paper which outlined the five key milestones for each Project and stated that it was essential that the milestones were met if the programme was to be delivered on time and budget. The milestones are:

- Appointment of Integrated Consultancy Team
- Completion of design
- Award of Construction Contract
- Commencement of Construction
- Completion of Construction.

3.0 Role of Programme Sponsor Board

3.1 The Gateway Review, which assessed the delivery confidence of the Stadium Programme as Red/Amber, recommended new governance arrangements, primarily -

- the creation of a Sponsor Board;
- the constitution of a Programme Board within Sport NI which is the delivery agent for the programme; and
- the appointment of a suitably experienced Programme Director.

3.2 **Revised Terms of Reference (TOR)** for the Sponsor Board were tabled. The following points were noted:

- (i) The role of the Sponsor Board is advisory to the DCAL Accounting Officer.

- (ii) The key decisions reserved to the Department are detailed at paragraph 5 of the revised TOR.
- (iii) The Chair of the Sponsor Board will take account of the views of the Sponsor Board members in reaching decisions.
- (iv) The SRO will ensure that relevant documents are endorsed by the Programme Board before submitting to the Department for decision.
- (v) The Sponsor Board will provide the Governing Bodies (GBs) with an opportunity to contribute to decisions that the Department will take on the Programme and the Sponsor Board will provide the GBs with a level of assurance on delivery of the Stadium Programme.

3.3 It was noted that representatives from other Departments may be invited to attend the Sponsor Board as and when necessary.

3.4 The Terms of Reference for the Programme Assurance Team (PAT) were previously circulated. RF invited BH to provide comment.

3.5 BH confirmed that the role of the PAT is to provide the Department's Accounting Officer with independent assurance. The composition of the PAT will be determined by the Department and may vary over time depending on the need for specialist skills and knowledge.

3.6 It was noted that the Sponsor Board does not have a role in appointing the PAT and SNI paper 4.2 should be amended to reflect this.

3.7 RF confirmed that a revised mandate for the SRO position will be issued to E McC which will clarify some issues raised by Sport NI.

4.0 Programme Governance Structures

4.1 RF advised that the papers previously circulated relating to agenda items 4 – 10 were provided by Sport NI. RF invited E McC to provide a briefing, including an update on 4 key areas:

- (i) Appointment of Programme Director
- (ii) Planning Approval issues
- (iii) IFA/Linfield contract

- (iv) Assessment of where the Programme sits as compared to the red/amber Gateway Assessment.
- 4.2 E McC stated that he was delighted to take on the responsibilities of the SRO for the Programme and that with the assistance of SIB and CPD would deliver the Programme on time, within budget and in line with best public procurement practice. He asked that the minutes should record Sport NI's appreciation of the assistance provided by CPD and SIB.
- 4.3 He referred members to paper 4.1 detailing the proposed governance structures. It was acknowledged that the papers relating to governance structures are in draft and that changes to the structures and financial framework will need to be reflected in revised Memorandums of Understanding for each of the Projects and any other relevant documents.

Planning Approvals

- 4.4 E McC identified Planning Approvals as a major area of concern that may impact on the delivery of the Projects. Planning issues include the need for clarification on the requirement to obtain planning permission for demolition. E McC stated that the recent experiences of Rugby highlight how critical timely planning approvals are to the achievement of this Programme. This is an inter-departmental issue and Sport NI would greatly welcome the help of DCAL in easing the way in this regard.
- 4.5 NH commented that Ulster Rugby had agreed to share 'lessons learned' from their experience in obtaining planning permission including the need for Community Engagement. It was noted that the IFA and GAA have taken positive steps to facilitate the planning approval process with the appointment of key personnel to take forward.

Programme Director

- 4.6 E McC stated that the Programme Mobilisation Plan sets out how Sport NI propose to address the resource gaps at Programme level which was identified in the Gateway Report. With the assistance of SIB an external recruitment exercise will be undertaken to appoint a Programme Director. In the interim E McC stated that he considers that given the knowledge and expertise within Sport NI and the support provided by the GBs he proposes to appoint Nick Harkness as the interim Programme Director.

- 4.7 RF commented that there is an urgent need to recruit a Programme Director and invited BH to comment.
- 4.8 BH confirmed that the appointment of the Programme Director is key to driving the Programme forward. While there are a number of options he stressed that it would be best to fill the interim position from an external rather than an internal appointment.
- 4.9 E McC stated that Sport NI would continue to work with SIB on this issue and that it was a matter for the SRO to decide on the interim appointment.
- 4.10 RF reiterated the need to get a Programme Director in post as soon as possible and asked for clarification of the proposed arrangements the following week.

Assessment on the Programme's progress to date

- 4.11 E McC provided a summary of progress on the Programme as a whole. The following points were noted:

(i) The governing bodies have established:

- Project Boards as the key drivers of the three Projects;
- Steering groups that meet on a weekly basis to action and report on progress;
- Internal structures to get key decisions made on time;
- Appointed key personnel with appropriate knowledge and skills; and
- Agreed timelines for the projects and are delivering against these.

BH inquired from Sport NI whether the timelines within the Gantt charts are achievable. NH confirmed that they were if there are no legal challenges etc. He added that the Risk Management process will aim to identify critical issues and to address potential serious risks. It was agreed that SIB and Sport NI would engage on the detailed Plans which underlay the Gantt charts.

(ii) Letter of Offer

The UBIRFU is ahead of the other two sports and is to some extent 'testing the water'. A Development Cost Letter of Offer will be issued

immediately after a Sport NI council meeting on 6th December. This will allow the employment of a Project Sponsor and the awarding of the contract for the Integrated Consultant (design) Team.

4.12 E McC said that delivering these projects within budget and within the CSR period is a huge challenge but remains possible within the key dependencies of:

- Planning approvals
- Straightforward procurement exercises
- No legal impediments
- Favourable site and construction conditions

He highlighted, a number of key issues of concern, namely;

(i) Inflation

With the time lapse since the Business Case was completed, there is a significant risk to the programme budgets and there is the possibility that the Optimism Bias is not sufficient to cover the increased costs arising from construction inflation. BH noted that this was not necessarily the case.

(ii) Mis-match between Project Expenditure Profiles and Available Budgets

Paper 6.2.2 refers. In order to achieve full expenditure of government investment by 31 March 2015, public funding has been front loaded within the expenditure profiles. This issue needs to be resolved with DFP if the projects are to have the necessary financial resources at the right time. There was also some discussion around the certainty of the budget profile presented, and the need for end- year flexibility to adapt to changing circumstances. This is a risk that will need to be carefully monitored.

RF advised that Sport NI needed to finalise the profiles within a month to enable DCAL to discuss with DFP.

(iii) GAA Business Plan approval from DCAL

This approval is critical to the project moving forward and the issuing of a development cost letter of offer. The Business Plan has been submitted to the Department and is being considered for approval.

(iv) Financial Control Framework

The agreement of the Financial Control Framework will allow the finalisation of various Terms of Reference and MOUs. This will set out clearly the Roles and Responsibilities, clarify delegations and allow all parties to plan for the appropriate decisions at the appropriate time.

5.0 Programme Delivery Plan

- 5.1 RF invited the GB's to comment on the individual Gantt charts for their Project and whether the timelines were achievable.
- 5.2 Sir Nigel Hamilton (SNH) indicated that he was content with the timelines and Stadium Build process.
- 5.3 Jim Shaw (JS) indicated that he was content with the Gantt charts although he voiced concern with the in year profiles and stated that there was need for in year flexibility. He also commented that the IFA/Linfield contract was not yet resolved although good progress has been made, particularly at the most recent, meeting held on 30th November.
- 5.4 Michael Hasson indicated he was content although planning issues were of concern, overall he was confident that the timelines within the Gantt charts for the GAA were achievable.
- 5.5 SNH added that RF might wish to write to the DOE Minister and put on record the working assumptions associated with the timelines and implications for Planning Service. RF indicated that she was content to do this but would require fuller advice from Sport NI in advance.
- 5.6 RF requested Sport NI to provide, in addition to the 3 Gantt charts, a more detailed Programme Delivery Plan for the next Sponsor Board.

6.0 Communication and Media Handling Plan

- 6.1 Paper 7.2 refers. Sport NI confirmed that there is a draft Communications Plan/ Media protocol which has been shared with the Department. It was noted that this needs to have regard to the Departmental media protocol which is currently being finalised. SNH asked how a question by the media would be handled following granting of planning permission. In discussing this it was recognised that there were concerns around Communications and Media Handling. It was agreed that clarity is required especially having regard to such media events/announcements but in the interim any potential media issues should be discussed between Sport NI and the Department.

7.0 Risk Strategy and Risk Registers

- 7.1 Paper 8.1 details the Risk Strategy for the Programme. Sport NI have recently assumed responsibility for the Programme Risk Register and this document (8.2) needs to be populated as a matter of urgency. NH advised that the Risk Register and associated issues log will be updated at workshops held on a quarterly basis.

8.0 IFA/Linfield contract

- 8.1 E McC stated that the IFA/Linfield contract issue remains a heightened risk to the IFA Project until the issue is resolved. Full agreement was not reached at the meeting held on 30th November and all parties are now working to a deadline of 22 December.
- 8.2 RF asked JS whether agreement would be reached by the deadline and JS indicated that he felt it would be and that the IFA recognise that this is a crucial issue.
- 8.3 NH stated that Sport NI need confirmation of what level of assurance/scrutiny the Department requires before the new contract is considered acceptable, in terms of the release of public funds.
- 8.4 RF thanked E McCartan and NH for the briefing and papers provided. She advised Sponsor Board members that papers for future meetings would be less detailed and would set out clearly the issues to be discussed by the Board.

9.0 Further actions

- 9.1 RF confirmed that she will write to E McC on matters arising from the Sponsor Board meeting and in response to his letter of 18th November seeking clarification on a number of points.

- 9.2 She asked that Sport NI and SIB meet as a matter of urgency to discuss the appointment of a Programme Director and asked E McC to forward a paper to the Department by 7/8 December with details of the job description and person specification for the Programme Director appointment and confirmation of his plans to appoint an interim Programme Director with the requisite skills and experience to support him in delivering the Programme.
- 9.3 Sport NI agreed to provide briefing to SIB and the GBs regarding the level of detail behind the Gantt charts.

10.0 Date of Next meeting

To be arranged in February 2012.

UPDATE ON PROGRAMME & PROJECT PROGRESS

21 November 2011

- **Executive Summary**

- **Significant events that have been achieved since approval of the OBC on 1 April 2011 include:**

1. Agreement on Governance Structures for the Programme (now subject to review following creation of the Sponsor Board);
2. Terms of Reference for all 3 Project Boards are in place;
3. Development of Memorandum of Understanding for each of the three projects for approval by the Project Boards;
4. Rugby Project Board has met 6 times, Soccer Project Board has met 3 times and the GAA Project Board has met twice;
5. SRO and Project Sponsors in place for GAA and Soccer. Rugby has agreed the appointment of a Project Sponsor (the Project Sponsor will take up the post on 2 February 2012);
6. A full restructuring of SNI's Capital programme management staff including relocation of staff and revised duties for all staff;
7. Delivery of nine separate training workshops to the Governing Bodies;
8. Establishment of project schedules which were presented to the Stadium Boards for approval and adoption;
9. Establishment of risk registers for each of the three projects;
10. Undertaken a due diligence exercise on the technical design work undertaken to date across the three projects;
11. Legal advisors in place for Soccer and Rugby. GAA currently finalising documents for procuring legal advisors.

- **Significant events in the near future include:**

1. IFA have informed SNI of a revised target date of 30 November 2011 for concluding the legal agreement with Linfield. SNI does not believe that this target date is achievable. SNI intends to convey meetings with the IFA and Linfield in the next few weeks to reinforce the importance of the critical paths dates on the IFA Programme Timeline, and the threat that failure to reach agreement with Linfield has on this timeline.

- **Progress against the Master Programme and Project schedules**

1. Progress against the Master Programme and Project schedules is likely to remain on target apart from the risk identified above in relation to the IFA Programme Timeline.

- **Financial status of the Project:**

1. SNI expect to fully expend current revenue budgets and the £200,000 capital budget for 2011/12.
2. A very significant risk currently exists in relation to the 'fit' between current expenditure profiles and the CSR capital budgets profile. Details of the variances are set out in section 3.2.2 of the Programme Delivery Strategy documentation.

****END OF EXECUTIVE SUMMARY****

- **Financial Summary**

- Revenue Budget for 2011/12 - it is anticipated that this budget will be fully expended. In addition SNI have submitted a bid for £43,000 for additional salaries up to 31 March 2012.
- SNI currently has a capital budget of £200,000 for 2011/12 - it is anticipated that this budget will be fully expended. In addition SNI have submitted a bid for £182,000 for development costs funding for GAA and Rugby.
- The 'fit' between current expenditure profiles and the CSR capital budgets profile demonstrates significant variances across the 4 year CSR period. Details of these variances are set out in section 3.2.2 of the Programme Delivery Strategy documentation.

- **Time**

- **IRFU UB** - Currently 2 weeks ahead of programme, delivery expected within the 4 year CSR.
- **IFA** - Currently 3 weeks ahead of programme. Full commitment of the Public Sector Contribution expected within the 4 year CSR.
- **GAA** - Currently on programme. Full commitment of the Public Sector Contribution expected within the 4 year CSR subject to a number of key assumptions including early demolition at Casement Park.

- **Costs**

- A comparison between total predicted costs for the 3 projects versus approved OBC cost schedules was carried out by CPD's Grants Cost Management Unit (GCMU) in July 2011. The results of this exercise concluded that the current cost schedules for the three projects do not provide for inflationary allowances, and therefore SNI informed DCAL that there is a significant risk of cost inflation. DCAL subsequently included the risk of cost inflation within the Programme Risk Register.

- **Look Ahead Report**
 - **IFA** – Key milestones and activities arising in the next 3 months include:
 - Scoring of PQQ tender returns for appointment of the ICT;
 - Release of ITT tender documents to OJEU;
 - Appointment of Planning Consultants.
 - **IRFU UB** - Key milestones and activities arising in the next 3 months include:
 - Project Sponsor takes up post;
 - Appoint the ICT;
 - Planning Approval received.
 - **GAA** - Key milestones and activities arising in the next 3 months include:
 - The Short Term ITA to prepare project brief for input to the PQQ documentation for the appointment of the ICT;
 - Appoint Full Time ITA;
 - Procure and appoint legal advisors.
 - **Programme Level** - Key milestones and activities arising in the next 3 months include:
 - New Governance Structures implemented;
 - Programme Director appointed and other resources secured to reflect SNI resource plan;
 - Request submitted to NI Gateway Team for repeat of Gateway 0 Review.

- **Assurance**
 - First Programme Assurance workshop to take place within the next 3 months.

- **Approvals Required**
 - Approvals required from DCAL over the next 3 months will include:
 - Programme Delivery Strategy (including approval of the Financial Control Framework);
 - Budget for additional revenue resources required by SNI and approval to recruit all vacant posts;
 - Business Plan approval for GAA, and potentially IFA
 - Any Contract approvals required in line with the agreed Financial Control Framework.

- **Quality**
 - Integrated Consultant Teams have not yet been appointed to any of the projects, and therefore activities undertaken in relation to managing quality are currently restricted. However SNI has undertaken a 'Due Diligence Review' of all technical information submitted to date to establish the quality of this information. The results of this review will inform the ICT procurement exercise.

- **Changes**
 - The only key change to the projects to date is the request from IRFU Ulster Branch to change the project scope to an 18,000 capacity stadium (up from 15,000 capacity at time of OBC approval).
 - The proposed change by IRFU Ulster Branch has the potential to impact on cost, and rugby have committed to undertake value engineering exercises or reduce the capacity back to 15,000, in the event that project costs escalate beyond the approved budget.

- **Risks and Issues**
 - **IRFU UB** – As stated above, a key risk for rugby is the request to move to 18,000 capacity and the potential impact this may have on cost. In addition the impact of inflation on cost represents another key risk.
 - **IFA** – The IFA/Linfield lease agreement remains unresolved. Appointment of the ICT is scheduled for April 2012. Failure to resolve the lease agreement well in advance of April 2012 would potentially delay the appointment of the ICT, and therefore the current programme (timeline) would be obsolete. Failure to meet the current programme would result in public funding being required into the next CSR. In addition the impact of inflation on cost is another key risk.
 - **GAA** – Due to the scale of the project, delivery of the programme timeline within the CSR remains the critical risk to the project. The potential impact of recent EU case law on planning approval for early demolition at Casement Park represents a risk to the project timeline. In addition the impact of inflation on cost is another key risk.

- **PR and Media**
 - No media announcements planned within the next 3 months.

**Minutes of the Stadium Programme Sponsor Board held
on Thursday 16 February 2012, 3.00pm at Parliament Buildings.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL: Rosalie Flanagan (RF)

UBIRFU: Sir Nigel Hamilton (SNH)

GAA: Michael Hasson (MH)

IFA: Jim Shaw (JS)

Sport NI Dominic Walsh (DW)

In attendance:

SIB: Brett Hannam (BH)

UBIRFU: Shane Logan (SL)

GAA: Tom Daly (TD)

IFA: Patrick Nelson (PN) (for items 1-6 only)

**Sport NI: Eamonn McCartan (E McC)
Nick Harkness (NH)**

**DCAL: Mick Cory (MC)
Deborah Brown (DB)
Kay Wilshin (minutes)**

1.0 Welcome and apologies.

1.1 The Minister welcomed attendees to the second meeting of the Stadium Programme Sponsor Board (Sponsor Board) and stated that the meeting would address the concerns raised by the governing bodies in their letter of 24th January 2012.

1.2 Apologies were recorded from Danny Murphy and Cecil Watson.

2.0 Minutes

2.1 The minutes of 1 December 2011 were agreed as a correct record.

3.0 Matters Arising

3.1 RF detailed the matters arising and it was noted that any outstanding matters would be discussed at the meeting under the appropriate agenda item.

4.0 Issues raised by the governing bodies in their letter to the Minister of 24th January 2012.

4.1 Shane Logan stated that the letter of the 24th January was not intended to criticise the Department or Sport NI. The main concerns were linked to issues outside the control of the Department and Sport NI.

4.2 The Minister thanked SL for providing background to the letter but stated that the issues specified in the governing bodies' letter were in fact within the control of the Department or Sport NI and that she hoped today's meeting would help clarify roles and responsibilities.

4.3 Each of the five points raised by the governing bodies were addressed:

5.0 (1) "the decision making is too cumbersome and too many decisions are duplicated".

5.1 The concerns of the governing bodies were noted as follows:

- (i) There is no longer a DCAL representative on the Project Boards and that this has the potential to slow up decision making.
- (ii) The additional tier of the Sponsor Board was making the decision making process too bureaucratic with too many decision making layers.
- (iii) The governing bodies representatives on the Sponsor Board were not involved in the day to day running of the individual Projects and were not always best placed to advise on the latest position.

5.2 BH and RF made the following points:

- (i) Having established Sport NI as the Delivery Agent, key Programme decisions are to be made by Sport NI and E McC as SRO. Therefore there is no requirement to have a DCAL representative at Project Board level.
- (ii) The Gateway 0 Review indicated that there was a lack of clarity in relation to roles and responsibilities. A key recommendation was to establish the Programme Board within Sport NI and therefore the relationship between the Project Boards and the Programme Board would be closer, this should speed up decision making.
- (iii) The Sponsor Board is not a decision making forum and is primarily to provide advice to RF as Accounting Officer on a small number of key strategic issues.
- (iv) In terms of the governing bodies membership on the Sponsor Board, it is important that the Sponsor Board receives news from the respective organisations independent of the Project management structure. However, if the governing bodies consider that there should be different membership this could be considered. RF confirmed she would meet with the governing bodies to discuss further.

Action: RF to meet GBs.

6.0 (2) “£1.2m has been removed from the stadia to pay for SIB support”

6.1 RF asked BH to comment on this concern. BH stated that he was surprised that the governing bodies thought that £1.2m was being removed from the Stadium to pay SIB costs and confirmed the following points:

- (i) SIB does not charge fees to the Department or Sport NI.

- (ii) Far from taking money out, SIB is investing in the Programme by meeting the costs of an Adviser placed in Sport NI, meeting the advertising costs for the Programme Director post and paying for the additional salary costs required (the amount above the normal civil service rate) for this appointment.

6.2 The governing bodies expressed surprise that this was the case (having received an indication from Sport NI to the contrary) and indicated that they were now reassured on this matter.

6.3 RF asked E McC to explain what the £1.2m covers and why he decided to use this source of funding for this purpose and why the governing bodies were under the impression that SIB costs had to be met.

6.4 E McC responded that he was not sure how the governing bodies came to their conclusion as he did not have advance sight of the letter dated 24 January to the Minister. He advised that there will be a budget cost for the delivery of the programme and that Sport NI will meet these costs from one of the two options identified in the Department's letter of 6 December 2011.

6.5 He further advised that this matter had now been largely resolved and that he will organise a bi-lateral meeting with the governing bodies to clarify further. He was grateful for BH's clarification as he had thought a percentage charge was being made but he was now clear that there will be no costs from SIB.

6.6 RF asked E McC if he was withdrawing his letter regarding the funding of the anticipated costs. E McC advised that he was not at this stage but that he would need time to review and consider how Sport NI costs would be met.

- 6.7 The Minister reiterated that SIB costs will not come out of the Stadium Programme funds but emphasised to the governing bodies that if the funding allocated for Professional Fees is not used for this purpose it will not be automatically reallocated to construction costs.
- 6.8 The Minister added that although some clarity had been brought to this issue further clarity was required.

Action: Sport NI to hold bi- lateral meeting with GBs to further discuss.

7.0 (3) “ That money cannot be carried from one year to the next”

- 7.1 The Minister asked RF to explain the normal budgetary processes around movement of funding between years. RF advised that a new profile will need to be advised to DFP and ultimately taken to the Executive for approval. The Department had received profiles from Sport NI in mid January, however these were subject to 14 assumptions and caveats. This is unsatisfactory as the Department must be able to have confidence in the profiles provided by Sport NI.
- 7.2 The Minister made clear that she will not go back to the Executive while the financial profiles have caveats and asked that Sport NI urgently prepared realistic delivery plans and financial profiles.
- 7.3 TD expressed concern with the timeframe and profiling within the CSR period taking into account risks associated with planning. It was agreed that planning and the financial profiles were two key issues that need action. The Minister stated that she had not seen a plan or timetable from Sport NI for mitigating these risks.

Action: Sport NI to provide realistic delivery plans and financial profiles.

8.0 (4) That key stages (such as Letters of Offer) are taking too long to be issued

8.1 The Minister stated that Sport NI were responsible for the issue of the Letters of Offer once the Business Plans were approved by the Department. The Minister enquired whether the Business Plans were being submitted on time.

8.2 TD acknowledged that some of the delays incurred with submitting the Business Plans were due to delays by the GAA i.e in relation to the sinking fund. SL similarly agreed that there were delays on the side of UBIRFU concerning legal issues.

8.3 NH confirmed that Sport NI were now issuing multi year Letters of Offer.

8.4 The Minister stated that the issue of Letters of Offer appeared to have been clarified.

9.0 (5) That planning permissions may not be granted within target times.

9.1 The Minister acknowledged that planning is a key issue and asked E McC to detail what actions he had taken in relation to planning. E McC stated that he felt he knew the concerns but asked the governing bodies to confirm the key issues. The following points were noted:

- (i) TD was concerned that despite assurances from DOE Strategic Planning Division (SPD) that the GAA Project would be fast tracked within six months, this may not be realised. SL confirmed that SPD had made a similar fast track commitment to UBIRFU but it took 18mths rather than 6 mths to obtain planning permission.

- (ii) The GAA and IFA acknowledged that work needs to be taken forward on community engagement and consultation with Belfast City Council.

9.2 E McC commented that:

- (i) The IFA and GAA have taken positive steps to facilitate the planning approval process with the appointment of key personnel to take forward.
- (ii) There have been several constructive meetings with Planning Service and that SPD have already written to the GAA and IFA on what is required from them particularly in relation to documentation.

9.3 E McC further advised that Sport NI will coordinate a monthly monitoring group between the governing bodies and SPD.

Action: Sport NI to establish a monthly monitoring group in relation to planning.

9.4 The Minister asked whether a lack of progress on planning was impacting on the timeline. BH stated that planning is the key strategic issue in terms of high level risk and confirmed that better programme management from the beginning of the Programme would have meant more progress could have been made.

9.5 RF asked E McC whether he had analysed the lessons learned from UBIRFU. E McC stated that one issue central to planning was the design of the Stadiums and the Projects were not yet at design stage. In relation to lessons learned and best practice UBIRFU are willing to share lessons learned.

- 9.6 SNH suggested that the planning process should be mapped out against timelines to provide a critical path and progress monitored by Sport NI. The Minister may wish to consider contacting the DOE Minister if the critical path is not being met due to delays by Planning Service.
- 9.7 The Minister stated that it is for E McC as the SRO to take the lead and work with the governing bodies. The Minister undertook to take planning issues forward to the DOE Minister when provided with the appropriate information.
- 9.8 The Minister stated that Sport NI need to provide a 'plan for the planning' and requested that this document should be forwarded to the Department by the end of the following week.

Action: Sport NI to provide a paper detailing the new approach to planning.

10.0 SRO further update on 9 February report

- 10.1 The Minister stated that members had already had an opportunity to read the SRO reports dated 25 January and 9 February and asked E McC if he had anything to add.
- 10.2 E McC in referring to the report added that the IFA/Linfield contract issue and its acceptability to the wider football family should be resolved shortly.
- 10.3 MC stated that the Department did receive the IFA Business Plan from Sport NI however it cannot be approved until this issue is resolved.

11.0 Programme Assurance Team Assessment

- 11.1 SIB were asked by the Department to provide a report on the Sport NI Programme Plan and an assessment of Sport NI delivery. BH detailed his report and commented:

- (i) The SRO report indicated that the IFA Project was medium risk i.e there was a 50% chance that it would not be delivered against the current Plan while the GAA Project was deemed to be medium/high risk ie there was a 75 – 80% chance the Project would not be delivered against the current plan.
- (ii) SIB and Sport NI have a different view on what constitutes a 'Programme', this has led SIB to have a number of concerns. For example, while there are clear benefits to be derived from taking a coordinated approach to planning applications there is no indication in the plan as to how Sport NI intend to drive this issue forward.
- (ii) There needs to be a recognition by Sport NI of their role and associated responsibilities in relation to the 'Programme' and key planning documents need to reflect a coordinated approach.
- (iii) The OBC sets out 10 real benefits. Sport NI's Benefits Realisation Plan is set at a very high level and will not, in its present form, enable effective benefits management. For example, no provision is made in the plan for the collection and documentation of baseline data against which the impact of any improvements can be made therefore there is a danger that these could be sidelined.
- (iv) There is a need at Programme Level for well qualified and informed staff that can provide a challenge function to CPD.

11.2 This had led him to provide a limited assurance assessment. Since the report was written Sport NI and the SIB Advisor had provided some additional information, that had led him to reassess the position however even with the appointment of a new Programme Director SIB was still of the view that because there is only a 20% likelihood of delivering the GAA Project on time, and a 50 % likelihood of delivering the IFA on time, he could not advise the Minister to approve the plans.

11.3 RF asked BH what actions need to be taken. BH responded that Sport NI now needs to produce a Programme Plan that it is confident can be delivered. This Plan will form the basis for financial re profiling.

11.4 RF stated that Sport NI must accept responsibility in relation to:

- Planning and mitigating risks
- Accurate Financial Profiles

- A Benefits Realisation Plan

11.5 RF added that the SIB Assessment has serious implications for the Executive's budget and that it will be necessary to provide accurate financial profiles to DFP.

11.6 The Minister stated that the current PfG states that the Stadiums will be delivered by 2015 and it is evident that this is not the case. The Minister stated that she was disappointed that Sport NI had not informed the Department earlier.

11.7 The Minister summarised the key action points for Sport NI as follows:

- (i) Produce a realistic Programme/Delivery Plan and associated financial profiles that can be realised.
- (ii) Provide a ' Plan for Planning'
- (iii) A revised Benefits Realisation Plan
- (iv) A revised Risk Register brought into line with the new Delivery Plan.
- (v) Acceptance by Sport NI as the Delivery Agent that the stadium Projects is a Programme and not 3 separate Projects.

11.8 The Minister emphasised that if she did not see substantial progress she may need to explore other delivery options. The Minister added that there may be reputational damage to the Department and she would require an assurance that the necessary steps will be taken. TD asked the Minister if the reprofiling could take the spend beyond the CSR period. The Minister agreed that this may be necessary however she was not in a position to guarantee any funding into the next CSR period.

11.9 RF undertook to write to Sport NI the following week to record what actions need to be taken forward.

Action: RF to write to Sport NI on actions required.

12.0 Any Other Business

12.1 The Minister emphasised the importance of confidentiality in relation to the discussions that had taken place and that as there will always be a degree of media interest in stadium issues she asked all present to

adhere to the media lines approved by the Department. These were circulated at the meeting (copy attached).

12.2 Both TD and JS explained that they had significant meetings in the coming days that would require them to issue Press Releases on decisions taken by their respective Associations. It was agreed that they could issue press releases provided they did not contradict anything in the agreed press lines provided (NB: although not stated at the meeting this does not mean that future press releases should not be cleared through Sport NI / Department as previously agreed).

13.0 Date of next meeting

13.1 Thursday 22 March 2012 at 2.30pm

Media lines approved by the Department:

- The Executive endorsed a funding package at its meeting on 10th March 2011 of up to £110m for regional stadiums for the three main ball sports, football, rugby and Gaelic games.
- The construction of the three stadiums is a major priority of the Executive in the current CSR period;
- Sport supporters across the North of Ireland are as eager as I am to see the stadium programme progressed and DCAL, the GAA, IFA, UBIRFU and Sport NI will do all they can to ensure these stadiums are constructed in accordance with the current timetables.

PROGRAMME SRO REPORT
UPDATE ON PROGRAMME & PROJECT PROGRESS

9 February 2012

1.0 SIGNIFICANT EVENTS ACHIEVED SINCE THE DATE OF THE LAST SRO REPORT TO THE SPONSOR BOARD ON 21 NOVEMBER 2011

A number of significant programme and project milestones have been achieved in the past two months.

1.1 Business Plan Approvals

- The UBIRFU Business Plan has been approved by DCAL.
- The UCGAA Business Plan has been approved by DCAL.
- The IFA Business Plan has been finalised. The SNI Programme Board had approved the Business Plan and recommended the Business Plan to DCAL for approval. However IFA have recently informed SNI of an issue relating to salary caps that may impact on the support of the wider football family for the IFA/Linfield Agreement. SNI has therefore written to IFA to seek urgent clarification on the impact of this issue on the IFA/Linfield Agreement and the business plan approval.

1.2 Development Costs Letters of Offers

- The Development Cost Letter of Offer has been issued by SNI and accepted by UBIRFU.
- The Development Costs Letter of Offer has been issued to UCGAA.
- The draft Development Costs Letter of Offer has been issued to IFA, and their solicitors have confirmed that they have accepted that the draft Letter of Offer will be the basis of which IFA will receive the public sector contribution. The final Letter of Offer will be released following approval of the business plan by DCAL.

1.3 Planning Milestones

- UBIRFU has received formal confirmation of Planning Approval for Ravenhill project.
- The IFA have completed the procurement process for appointment of Planning Consultants. The consultants will be appointed following release of the Development Cost Letter of Offer by SNI, and will lead the early engagement with the local community and the Strategic Planning Division.

- GAA have appointed an Independent Technical Advisor (ITA) who will lead the early engagement with the local community and the Strategic Planning Division.

1.4 Procurement Milestones

IFA

- The IFA PQQ process is now completed for the appointment of the ICT.
- The ITT process for the appointment of the ICT has now commenced and will be completed by 18 April 2012.

UBIRFU

- ICT has been appointed.

UCGAA

- UCGAA PQQ has been released to OJEU for the appointment of the ICT.

1.5 Appointment of Staff/Consultants

- UBIRFU Project Sponsor is now in post. All key staffing appointments are now in place for the three sports.
- UBIRFU have appointed the Integrated Consultant Team (design team), and is now commencing on furthering the project design.
- A part-time SIB Interim Advisor is now in place.
- A new Programme Director is currently being recruited by SIB.

1.6 Legal Approvals

- Legal advisors now in place for all three sports.
- SNI has received confirmation from SIB that they are content for SNI to secure the awards against the assets created even if the potential realisation value is less than the value of the award. The rationale being that the purpose of the programme is to build stadia for the three sports. Once the money has been spent and the stadia built, that purpose will have been substantially achieved. SNI Council have approved this approach subject to any final advice from DCAL on this issue.

1.7 Governance

- New Governance Structures for the Programme are now in place following the creation of the Sponsor Board, including Terms of Reference for the Sponsor Board and SNI Programme Board.

- Development of new Terms of Reference for all three Project Boards (to reflect the new governance structures).
- Development of new Memorandum of Understanding (to reflect the new governance structures) for each of the three projects.
- A Programme Execution Plan (PEP) has been completed and is currently being reviewed by the SIB Interim Advisor.
- Meeting with NI Gateway Team took place to discuss the re-run of the Gateway 0 Review, and to plan the project Gateway Reviews.
- Updated Project Risk Registers have been approved by the three Project Boards.
- DCAL Programme Risk Register has been substantially revised and updated, and approved by the SNI Programme Board.

1.8 Media Announcements

- In consultation with DCAL, UBIRFU and SNI communications teams a press release has been issued and a photo call held to announce formal receipt of planning approval for the UBIRFU project.

1.9 Progress against the Stadium Programme and Project Schedules

- Updated project schedules and activity schedules, with associated qualifications and assumptions, have been approved by the three Project Boards.
- The Stadia Programme Schedule reflects the necessary tasks and activities required at a Programme Level to allow delivery of the three projects.

1.10 Financial Status of the Programme

- SNI expect to fully expend current revenue budgets and the £380,000 capital budget for 2011/12.
- SNI has submitted Expenditure Profiles to DCAL with associated qualifications and assumptions. The expenditure profiles currently show delivery of the public expenditure within the CSR period. However, SNI has written to DCAL on 23 January to again highlight the fact that the current profiles and timelines do not provide any time allowances for planning delays, procurement challenges, unexpected ground conditions etc. In particular the GAA project has been deemed medium/high risk by the Project Board.

2.0 RISK MANAGEMENT REPORT

2.1 Time

- UBIRFU – Next critical path milestone is the ICT Develops Design to ITT tender stage and prepares documents to commence procurement of IST. Currently on track to achieve this milestone as confirmed by UBIRFU Project Board on 19 January 2012.
- IFA – Next critical path milestone is the appointment of the ICT planned for 18 April. Currently on track to achieve this milestone as confirmed by IFA Project Board on 19 January 2012.
- UCGAA – Next critical path milestone is the appointment of the ICT by 4 July 2012. Currently on track to achieve this milestone as confirmed by UCGAA Steering Group on 8 February 2012.

A very significant risk to the programme remains in the form of the deliverability of the public sector funding contribution for the GAA and IFA projects. The GAA project is currently deemed medium/high risk and the IFA project medium risk with regards to deliverability. The SIB Interim Advisor is presently reviewing the timelines for the GAA and IFA projects to provide an independent assessment of the deliverability of the current timelines presented by the two sports.

2.2 Costs

- A comparison between total predicted costs for the 3 projects versus approved OBC cost schedules was carried out by CPD's Grants Cost Management Unit (GCMU) in July 2011. The results of this exercise concluded that the current cost schedules for the three projects do not provide for inflationary allowances, and therefore SNI informed DCAL that there is a significant risk of cost inflation. Subsequently the risk of cost increases has been included within the Programme Risk Register, and this has been retained as a high risk in the Programme Risk Register.
- The SIB Interim Advisor is currently leading discussions with SNI/GAA/IFA with regards to the potential to procure single cost consultants across the IFA/GAA projects to allow for effective and robust control of costs on the projects.

2.3 Quality & Design Reviews

- Integrated Consultant Teams have not yet been appointed for the IFA and GAA projects, and therefore activities undertaken in relation to managing quality are currently restricted. However SNI has undertaken a 'Due Diligence Review' of all technical information submitted to date to establish the quality of this information. The results of this review will inform the ICT procurement exercise.

- SNI has engaged with the MAG team, and members of the MAG team will present to the SNI Programme Board on 9 February 2012.

2.4 Change Control

- The only key change to the projects to date is the request from UBIRFU to change the project scope to an 18,000 capacity stadium (up from 15,000 capacity at time of OBC approval).
- The proposed change by UBIRFU has the potential to impact on cost, and rugby have committed to undertake value engineering exercises or reduce the capacity back to 15,000, in the event that project costs escalate beyond the approved budget.
- The UBIRFU Business Plan has been approved on this basis by DCAL.

2.5 Legal

- The IFA/Linfield agreement has been received by SNI, and I am of the view that, taken together, the documentation would indirectly grant the IFA, through the Company, appropriate security of tenure over the Windsor Park stadium site if all of the Conditions Precedent are satisfied prior to 1st November 2013. I am also of the view that the IFA could itself directly obtain security of tenure over the Windsor Park stadium site of its own volition, under the documentation we have seen, should this be required or necessary. However IFA have recently informed SNI of an issue relating to salary caps that may impact on the support of the wider football family for the IFA/Linfield Agreement. SNI has therefore written to IFA to seek urgent clarification on the impact of this issue on the IFA/Linfield Agreement and the business plan approval.
- IFA have provided SNI with evidence that the IFA Board (15 December) and IFA Council (19 December) have approved the terms of agreement and empowered the Board to sign the agreement in due course. The structure and remit of the IFA Board and IFA Council is representative of the members of the IFA.

2.6 Financials

- Revenue Budget for 2011/12 - it is anticipated that this budget will be fully expended.
- SNI currently has a capital budget of £380,000 for 2011/12 - it is anticipated that this budget will be fully expended.
- The three sports intend to challenge SNI's proposed reduction of their Professional Fee Capital Allocation. SNI has written the three sports to advise them that professional fees will be reduced to cover additional programme costs associated with employment of new staff.

- Current budget profiles are not consistent with indicative spend profiles. SNI has provided updated profiles to DCAL. The expenditure profiles currently show delivery of the public expenditure within the CSR period. However, SNI has written to DCAL on 23 January to again highlight the fact that the current profiles and timelines do not provide any time allowances for planning delays, procurement challenges, unexpected ground conditions etc.

2.7 Planning Approvals

A key risk for both the IFA and UCGAA projects is potential failure to secure planning approval with the programmed time allowance. A Planning Strategy has been developed and further progress made in relation to the planning process for the projects is included (see Planning Strategy)

3.0 CURRENT ISSUES

3.1 Time Parameters Imposed on the Programme

- The time parameters imposed on the programme are at odds with the construction timelines for the GAA project and other timelines included for the remaining sporting bodies in the approved Outline Business Case (OBC). It should be noted that the OBC did not specify the time required for the pre-construction phases relating to the various procurement exercises, design, planning etc. The need for a suitable time period for these aspects of the projects combined with the CSR end date has resulted in the very challenging timelines for the IFA and GAA projects. SNI in its role as the delivery agent for the programme deemed it prudent to document these Qualifications and Assumptions and bring this matter of the shortened time periods to the attention of the Department.
- Following consultations with CPD and the three Governing Bodies, risk ratings for the delivery of the public expenditure element with the CSR period were agreed as follows:
 - UBIRFU - Low Risk
 - IFA - Medium Risk
 - UCGAA - Medium to High Risk

These risk ratings may be attributed to the requirement for full public expenditure within the CSR period and the current early stages of delivery and extent of unknowns including key appointment not yet made (i.e. ICT, IST), lack of firm technical site information, lack of information on planning conditions etc.

3.2 OB Allocation

- The OB allocation of £8.7m stated in the Programme Budgets provided by DCAL/DFP to SNI does not match the £10m requirement of OB set

out in the OBC. This creates the potential that each of the three sports may have to share a reduced OB allocation for their projects. This in turn creates a risk that if unknown/unforeseen risks arise on the projects (e.g. extremely abnormal ground conditions) then the OB allowance set aside for the projects may not be sufficient. The impact could then be that a project/s may stop on site, costs may escalate and/or timelines may slip.

- In addition, a known risk relating to construction inflation alone has the potential to outstrip the optimism bias allowed for in the programme budgets by £4.8M (i.e. potential cost inflation impact of £13.5M versus OB allowance of £8.7M equal to £4.8M potential shortfall).

3.3 Financial Control Framework

SNI has provided a Financial Control Framework to DCAL for consideration. There is an urgent need for the Financial Control Framework to be approved by DCAL to allow decision making to be expedited on the programme.

3.4 Recovery of historic costs by rugby

SNI has provided the Single Tender Action form (Direct Award Contract (DAC)) to DCAL for sign off. Sign off is required in the very near future to allow rugby to spend their budget for 2011/12.

4.0 SIGNIFICANT EVENTS ANTICIPATED IN THE NEXT THREE MONTHS

4.1 IFA

- Anticipated approval of the IFA Business Plan.
- Release of IFA Development Cost Letter of Offer.
- IFA to appoint a Planning Consultant subject to release of Development Costs Letter of Offer.
- Further meetings scheduled between IFA & SPD regarding the planning process.
- IFA to appoint the ICT by 18 April 2012.

4.2 UBIRFU

- Preparation of documents by ICT to allow commencement of the IST procurement.

4.3 GAA

- Further meetings scheduled between GAA & SPD regarding the planning process.
- PQQ stage for the appointment of the ICT to be completed and ITT stage to be commenced.

4.4 Programme Level

- Programme Director to be appointed and other resources to be secured to reflect SNI mobilisation plan.

- Potential re-profiling of Expenditure Profiles and updated timelines to reflect key programme and project qualifications and assumptions (subject to DCAL direction).
- Further programme risk workshop to be held to provide update on management of key programme risks.

5.0 ASSURANCE

- 5.1 Programme Assurance currently a function of the Sponsor Board.
- 5.2 Project Assurance provided at all other levels – Steering Group, Project Board and Programme Board.
- 5.3 Programme and Project Gateway Reviews will be applied in consultation with the NI Gateway team.

6.0 FORTHCOMING APPROVALS REQUIRED FROM DCAL

- 6.1 Approvals required from DCAL over the next 3 months will include:
 - Programme Execution Plan (PEP) including approval of:
 - Financial Control Framework
 - Programme Mobilisation Plan
 - IFA Business Plan approval
 - Any Contract approvals required in line with the agreed Financial Control Framework.
 - Approval of Re-profiled budgets.

7.0 CURRENT LEVEL OF CONFIDENCE IN THE OVERALL PROGRAMME

A number of very significant programme and project milestones have been achieved in the past two months which provide a sound basis for continuing successful delivery of the stadium programme. Project structures and teams are working very effectively and the three projects are currently on target with regards to the master programme timelines. However, a very significant risk to the programme remains in the form of the fit of the UCGAA & IFA projects within the CSR timeframes. It is my assessment that the GAA project remains medium/high risk with regard to deliverability within the CSR timeframe, and the IFA project medium risk. UBIRFU remains a low risk.

The Programme Risk Register currently highlights these risks in relation to programme delivery timeframes. Many of the high risks (red) within the programme risk register could be mitigated by considering an expenditure profile that reflects the potential risks including planning delays, procurement challenges and unexpected ground conditions.

PROGRAMME SRO REPORT

UPDATE ON PROGRAMME & PROJECT PROGRESS

25 January 2012

1.0 SIGNIFICANT EVENTS ACHIEVED SINCE THE DATE OF THE LAST SRO REPORT (21 NOVEMBER 2011)

A number of significant programme and project milestones have been achieved in the past two months.

1.1 Business Plan Approvals

- The UBIRFU Business Plan has been finalised on the basis of an 18,000 capacity, and has been approved by DCAL. The Development Cost Letter of Offer has been issued by SNI and accepted by UBIRFU.
- The UCGAA Business Plan has been approved by DCAL. The draft Development Costs Letter of Offer is currently under development and will be issued within days.
- The IFA Business Plan has been finalised. The SNI Programme Board has approved the Business Plan and recommended the Business Plan to DCAL for approval. The draft Development Costs Letter of Offer is currently at final draft stage in preparation for approval of the business plan by DCAL.

1.2 Planning Approval

- UBIRFU received formal confirmation of Planning Approval for Ravenhill project.
- The IFA have completed the procurement process for appointment of Planning Consultants. The consultants will be appointed following release of the Development Cost Letter of Offer by SNI.

1.3 Risk Management

- DCAL Programme Risk Register has been substantially updated and approved by the SNI Programme Board.
- Updated project schedules and activity schedules, with associated qualifications and assumptions, have been approved by the three Project Boards.
- Updated Project Risk Registers have been approved by the three Project Boards.

1.4 Appointment of Staff/Consultants

- Rugby Project Sponsor is now in post. All key staffing appointments are now in place for the three sports.
- UBIRFU have appointed the Integrated Consultant Team (design team), and is now commencing on furthering the project design.
- A part-time SIB advisor is currently being recruited by SIB.
- A new Programme Director is currently being recruited by SIB.

1.5 Legal Approvals

- Legal advisors in place for UBIRFU and IFA. Appointment for GAA legal advisor is imminent.
- The IFA/Linfield agreement documents have been received by SNI. I am therefore of the view that, taken together, the documentation would indirectly grant the IFA, through the Company, appropriate security of tenure over the Windsor Park stadium site if all of the Conditions Precedent are satisfied prior to 1st November 2013. I now believe that the IFA/Linfield agreement is at a suitably advanced stage that a SNI Development Cost Letter of Offer may be issued after Business Plan approval by DCAL.
- UBIRFU have accepted their Development Cost Letter of Offer.
- SNI has received confirmation from SIB that they are content for SNI to secure the awards against the assets created even if the potential realisation value is less than the value of the award. The rationale being that the purpose of the programme is to build stadia for the three sports. Once the money has been spent and the stadia built, that purpose will have been substantially achieved.

1.6 Governance

- New Governance Structures for the Programme are now in place following the creation of the Sponsor Board, including Terms of Reference for the Sponsor Board and SNI Programme Board.
- Development of new Terms of Reference for all three Project Boards (to reflect the new governance structures) for approval by the Project Boards.
- Development of new Memorandum of Understanding (to reflect the new governance structures) for each of the three projects for approval by the Project Boards.
- A Programme Execution Plan (PEP) has been completed.

1.7 Media Announcements

- In consultation with DCAL, UBIRFU and SNI communications teams a press release has been issued and a photo call held to announce formal receipt of planning approval for the UBIRFU project.

1.8 Progress Against the Stadium Programme Schedule

- The Stadia Programme Schedule reflects the necessary tasks and activities required at a Programme Level to allow delivery of the three projects.
- Activities completed at a programme level include approval of programme governance structures, programme risk register by Programme Board, Programme Execution Plan documentation approved by the Programme Board and forwarded to the Sponsor Board for approval, meeting with NI Gateway team to discuss re-run of Gate O review and scheduling of project gates, and Programme Planning Strategy developed.

1.9 Financial Status of the Programme

- SNI expect to fully expend current revenue budgets and the £380,000 capital budget for 2011/12.
- SNI has submitted Expenditure Profiles to DCAL with associated qualifications and assumptions. The expenditure profiles currently show delivery of the public expenditure within the CSR period. However, SNI has written to DCAL on 23 January to again highlight the fact that the current profiles and timelines do not provide any time allowances for planning delays, procurement challenges, unexpected ground conditions etc. In particular the GAA project has been deemed medium/high risk by the Project Board.

2.0 RISK MANAGEMENT REPORT

2.1 Time

- UBIRFU – Next critical path milestone is the ICT Develops Design to ITT tender stage and prepares documents to commence procurement of IST. Currently on track to achieve this milestone as confirmed by UBIRFU Project Board on 19 January.
- IFA – Next critical path milestone is the appointment of the ICT planned for 18 April. Currently on track to achieve this milestone as confirmed by IFA Project Board on 19 January. The small number of days lost in relation to release of ICT documents will be recovered by condensing the scoring of the ITT returns.

- UCGAA – Next critical path milestone is the appointment of the ICT. Currently on track to achieve this milestone as confirmed by UCGAA Project Board on 23 January.

2.2 Costs

- A comparison between total predicted costs for the 3 projects versus approved OBC cost schedules was carried out by CPD's Grants Cost Management Unit (GCMU) in July 2011. The results of this exercise concluded that the current cost schedules for the three projects do not provide for inflationary allowances, and therefore SNI informed DCAL that there is a significant risk of cost inflation. Subsequently the risk of cost increases has been included within the Programme Risk Register, and this has been retained as a high risk in the Programme Risk Register.

2.3 Quality & Design Reviews

- Integrated Consultant Teams have not yet been appointed for the IFA and GAA projects, and therefore activities undertaken in relation to managing quality are currently restricted. However SNI has undertaken a 'Due Diligence Review' of all technical information submitted to date to establish the quality of this information. The results of this review will inform the ICT procurement exercise. Technical information for the GAA site is minimal.
- SNI has engaged with the MAG team, and members of the MAG team will present to the SNI Programme Board on 9 February.

2.4 Change Control

- The only key change to the projects to date is the request from UBIRFU to change the project scope to an 18,000 capacity stadium (up from 15,000 capacity at time of OBC approval).
- The proposed change by UBIRFU has the potential to impact on cost, and rugby have committed to undertake value engineering exercises or reduce the capacity back to 15,000, in the event that project costs escalate beyond the approved budget.
- The UBIRFU Business Plan has been approved on this basis by DCAL.

2.5 Legals

- The IFA/Linfield agreement final draft documents have been received by SNI.
- SNI's legal advisors have provided assurance on their review of the documentation provided, which states that:

"We are therefore of the view that, taken together, the documentation would indirectly grant the IFA, through the Company, appropriate security of tenure

over the Windsor Park stadium site if all of the Conditions Precedent are satisfied prior to 1st November 2013. That would appear to be an appropriate time (i.e. just before construction work starts on site but well in advance of the asset being created). We are also of the view that the IFA could itself directly obtain security of tenure over the Windsor Park stadium site of its own volition, under the documentation we have seen, should this be required or necessary.'

- SNI may now take the view that the IFA/Linfield agreement is at a suitably advanced stage that a SNI Development Cost Letter of Offer may be issued after Business Plan approval by DCAL. It will be a condition of award that the IFA/Linfield agreement and all associated matters are completed fully before any payment may be made. The Development Cost Letter of Offer terms will be redrafted to reflect terms within the IFA/Linfield agreement that are material for SNI funding.
- IFA have provided SNI with evidence that the IFA Board (15 December) and IFA Council (19 December) have approved the terms of agreement and empowered the Board to sign the agreement in due course. The structure and remit of the IFA Board and IFA Council is representative of the members of the IFA and SNI is satisfied that the IFA have secured an agreement that is acceptable to the wider football family.

2.6 Financials

- Revenue Budget for 2011/12 - it is anticipated that this budget will be fully expended.
- SNI currently has a capital budget of £380,000 for 2011/12 - it is anticipated that this budget will be fully expended.
- Development Cost Cash Flow projections have been prepared for each project.
- The three sports intend to challenge SNI's reduction of their Professional Fee Capital Allocation in order to cover additional salary costs.
- Current budget profiles are not consistent with indicative spend profiles. SNI has provided updated profiles to DCAL. The expenditure profiles currently show delivery of the public expenditure within the CSR period. However, SNI has written to DCAL on 23 January to again highlight the fact that the current profiles and timelines do not provide any time allowances for planning delays, procurement challenges, unexpected ground conditions etc.

2.7 Planning Approvals

- A key risk for both the IFA and UCGAA projects is failure to secure planning approval with the programmed time allowance. A

Planning Strategy has been developed and further progress made in relation to the planning process for the projects is included (see Planning Strategy)

3.0 CURRENT ISSUES

3.1 Time Parameters Imposed on the Programme

- The time parameters imposed on the programme is at odds with the construction timelines for the GAA project and other timelines included for the remaining sporting bodies in the approved Outline Business Case (OBC). It should be noted that the OBC did not specify the time required for the pre-construction phases relating to the various procurement exercises, design, planning etc. It is this need for a suitable time period for these aspects of the projects, combined with the CSR end date that has resulted in the compressed construction periods. SNI in its role as the delivery body for this programme deemed it prudent to document these Qualifications and Assumptions and bring this matter of the shortened time periods to the attention of the Department.
- Following consultations with CPD and the three Governing Bodies, risk ratings for the delivery of the public expenditure element with the CSR period were agreed as follows:
 - UBIRFU - Low Risk
 - IFA - Medium Risk
 - UCGAA - Medium to High Risk

These risk ratings may be attributed to the requirement for full public expenditure within the CSR period and the current early stages of delivery and extent of unknowns including key appointment not yet made (i.e. ICT, IST), lack of firm technical site information, lack of information on planning conditions etc.

3.2 OB Allocation

- The OB allocation of £8.7m stated in the Programme Budgets provided by DCAL/DFP to SNI does not match the £10m requirement of OB set out in the OBC. This creates the potential that each of the three sports may have to share a reduced OB allocation for their projects. This in turn creates a risk that if unknown/unforeseen risks arise on the projects (e.g. extremely abnormal ground conditions) then the OB allowance set aside for the projects may not be sufficient. The impact could then be that a project/s may stop on site, costs may escalate and/or timelines may slip.
- In addition, a known risk relating to construction inflation alone has the potential to outstrip the OBC, OB by circa £3.5 million (£4.8 million in total).

4.0 Significant Events Anticipated in the Next Three Months

4.1 IFA

- The IFA PQQ process is now completed for the appointment of the ICT.
- The ITT process has now commenced.
- Anticipated approval of the IFA Business Plan.
- Release of IFA Development Cost Letter of Offer.
- IFA to appoint a Planning Consultant subject to release of Development Costs Letter of Offer.
- Further meetings scheduled between IFA & SPD regarding the planning process.
- IFA/Linfield Agreement being completed.

4.2 UBIRFU

- Appoint the ICT.

4.3 GAA

- Release of GAA PQQ for ICT by mid February 2012.
- Release of GAA Development Cost Letter of Offer.
- Further meetings scheduled between GAA & SPD regarding the planning process.

4.4 Programme Level

- Programme Director to be appointed and other resources to be secured to reflect SNI mobilisation plan.
- Meeting with NI Gateway Team to discuss the re-run of the Gateway 0 Review.
- Potential re-profiling of Expenditure Profiles and updated timelines to reflect key programme and project qualifications and assumptions (subject to DCAL direction).
- Programme Risk Workshop to be held on 1 February to explore all current key programme risks, identify any new programme risks and agree mitigation.

5.0 ASSURANCE

5.1 Programme Assurance currently a function of the Sponsor Board.

5.2 Project Assurance provided at all other levels – Steering Group, Project Board and Programme Board.

5.3 Programme and Project Gateway Reviews will be applied in consultation with the Gateway Centre of Excellence.

6.0 FORTHCOMING APPROVALS REQUIRED FROM DCAL

6.1 Approvals required from DCAL over the next 3 months will include:

- Project Execution Plan (PEP) including approval of:
 - Financial Control Framework
 - Programme Mobilisation Plan
- IFA Business Plan approval
- Any Contract approvals required in line with the agreed Financial Control Framework.
- Approval of Re-profiled budgets.

7.0 CURRENT LEVEL OF CONFIDENCE IN THE OVERALL PROGRAMME

A number of very significant programme and project milestones have been achieved in the past two months which provide a sound basis for continuing successful delivery of the stadium programme. However, a very significant risk to the programme remains in the form of the fit of the UCGAA & IFA projects within the CSR timeframes. It is my assessment that the GAA project remains medium/high risk with regard to deliverability within the CSR timeframe, and the IFA project medium risk. UBIRFU remains a low risk.

The Programme Risk Register currently highlights these risks in relation to programme delivery timeframes. Many of the high risks (red) within the programme risk register could be mitigated by considering an expenditure profile that reflects the potential risks including planning delays, procurement challenges and unexpected ground conditions.

**Minutes of the Stadium Programme Sponsor Board held
on Thursday 22 March 2012, 2.30 pm at Causeway Exchange.**

Present

Members:

Chair: Rosalie Flanagan (RF)

UBIRFU: Sir Nigel Hamilton (SNH)

GAA: Michael Hasson (MH)

IFA: Les Caul (LC)

Sport NI Dominic Walsh (DW)

In attendance:

SIB: Brett Hannam (BH)

Sport NI: Eamonn McCartan (E McC)
Nick Harkness (NH)
Ciaran McGurk (C McG)

DCAL: Cynthia Smith (CS)
Colin Watson (CW)
Deborah Brown (DB)
Kay Wilshin (minutes)

1.0 Apologies.

1.1 Apologies were received from Jim Shaw and it was noted that Les Caul, Chair of the IFA Executive Board, was representing the IFA.

2.0 Minutes of 16 February 2012

2.1 The minutes of 16 February 2012 were agreed as a correct record.

3.0 Matters Arising

3.1 RF detailed the matters arising and the following points were noted:

- (i) RF and BH had met with the Governing bodies to discuss the membership of the Sponsor Board. It is accepted that the purpose of the Sponsor Board is to address high level

strategic issues. RF agreed to keep membership under review.

- (ii) Sport NI have held meetings with the GBs and confirmed in writing that no Sport NI staff costs will be taken from stadium budgets.
- (iii) Sport NI are working on revised Delivery Plans and associated financial profiles with the assistance of SIB.
- (iv) Sport NI have established a new Programme Planning Working Group. However more detail is required on the 'Plan for Planning'.

4.0 SRO Report on Programme and Project progress

4.1 E McC detailed his SRO report dated 15 March and stated that a number of issues have progressed since the reported was submitted.

4.2 The following points were noted:

- (i) E McC stated that considerable progress had been made in relation to the IFA/Linfield contract and that both parties were to be congratulated on progress.
- (ii) Letters of Offer, for development costs, have now issued to all three GBs.
- (iii) UBIRFU have released the OJEU notice for the PQQ stage of the IST (contractor) appointment.

4.3 RF asked E McC to provide background on the OJEU notice in relation to Ulster Rugby.

4.4 E McC explained that he had received instructions from the Department to ask the SRO of the Rugby Project to withdraw the OJEU notice immediately. This was on the basis that the Department, via Sport NI, had previously advised Ulster Rugby not to place the notice

until the Social Clauses element had been agreed and approved by the Minister.

- 4.5 RF added that in January, the Minister had indicated that she wanted to approve the advertising of all procurement contracts and Sport NI subsequently notified the GBs of this requirement. RF emphasised that the Minister wanted consistency across the three Projects with regards to Social Clauses within the OJEU notices and the contracts.
- 4.6 E McC reported that prior to the Sponsor Board meeting he had spoken to Shane Logan, who advised that he did not have the authority to withdraw the OJEU notice and would need to go through Ulster Rugby's governance structures. He agreed to report back to Sport NI.
- 4.7 SNH stated that he did not have the level of detail regarding the issue to comment however if there are changes on procurement processes this requirement should come through CPD.
- 4.8 RF commented that this matter would normally be dealt with by the SRO at the Stadium Programme Board.
- 4.9 SNH confirmed that Ulster Rugby would address the issue urgently, however it would be extremely important for procurement guidance on Social Clauses to be agreed within the next week or two.

Action: Sport NI/DCAL to provide clarification.

- 4.10 E McC detailed the rest of the SRO report and the following points were noted:
- (i) Sport NI are currently working to procure single cost consultants across the programme to allow a "critical friend" review of costs and benchmarking across the three projects. NH commented that to avoid a conflict of interest there was a need to separate the function of the cost consultants and the design team.

- (ii) NH confirmed that the Change Control Framework will set out the delegated approval levels, this document is at an advanced stage and will be submitted to the Department shortly.

Action Sport NI to finalise Change Control Framework and brief the GBs on the detail.

- (iii) Sport NI expect the capital budget of £380,000 to be fully expended within 2011/2012. The only risk is approval by DCAL of the single tender action in relation to UBIRFU historic costs. RF confirmed that she was content to approve and would write to E McC on this.

Action: RF to confirm the Department's approval of single tender action.

- (iv) Sport NI are currently developing dashboard reports which will provide a visual illustration of project and programme progress against time, cost and spend parameters.
- (v) Sport NI have established a Planning Working Group which had its first meeting on 21 March. Sport NI will forward the minutes and associated 16 point action plan to the Sponsor Board.

Action: Sport NI to forward minutes of Planning Working Group.

4.11 RF enquired when Sport NI would be in a position to have a detailed 'Plan for Planning' which could be forwarded to the Minister.

4.12 E McC stated that this would be provided as soon as practicable and before the next Sponsor Board.

Action: Sport NI to forward a more detailed 'Plan for Planning'.

4.13 LC stated that he had received a letter from Martin Lawton, SIB advisor, on the proposed changes to the timelines. The revised timelines indicated that the IFA Project would not be complete until the

end of 2016 and this notification had created some concern within the IFA.

- 4.14 NH emphasised that the proposed timelines were a work in progress.
- 4.15 LC stated that 'work in progress' should involve consultation with the GB and such a letter should not have been sent out.
- 4.16 NH stated that the letter had been issued by Martin Lawton with the intention that there would be discussion at a meeting due to take place on 23 March.
- 4.17 LC stated that the drafting of the letter did not reflect the explanation given today.
- 4.18 RF asked Sport NI what action they intended to take.
- 4.19 E McC confirmed that future correspondence will issue from Sport NI.
- 4.20 In concluding his report E McC stated that Departmental approval is not required in relation to the Security of Assets and therefore this issue was resolved. Further clarification is required with regards Social Clauses. Spend profiles and revised timelines will be provided by Sport NI to the Department by mid April.

Action: Sport NI to forward financial profiles and timelines by mid April.

5.0 Programme Assurance Team Assessment

- 5.1 BH apologised for the late circulation of SIB's assessment.
- 5.2 BH acknowledged that the paragraph relating to the IRFU execution plan could have been better phrased.
- 5.3 BH detailed his report and stated that the SRO report makes it clear that it is difficult to move the Programme forward without the revised Delivery Plans and associated financial profiles. He stated that he could not over emphasise that the timelines and financial profiles must be accurate to ensure that the Department can have full confidence in the delivery of the Programme. The issue of planning must be

addressed and he reiterated the Minister's wish to move the planning issue forward. In concluding BH stated that there is still a great deal to be done before the Minister can have confidence in Sport NI delivery.

- 5.4 RF stated that Richard Bannister had been very involved in taking issues forward and asked for the Department's appreciation of SIBs' assistance to be recorded.
- 5.5 RF confirmed that a new Programme Director, Noel Molloy, will take up position on 2 April. He had been the Project manager on the Titanic Belfast Project and has a good track record on major capital projects.
- 5.6 RF advised E McC and the three GBs that the Minister had asked for an Options paper on Stadium delivery arrangements.
- 5.7 E McC asked that the minutes record Sport NI's appreciation of the work undertaken by Richard Bannister in complementing the skills of Sport NI.

6.0 Date of Next Meeting

- 6.1 Friday 18 May, 2.30pm Causeway Exchange

PROGRAMME SRO REPORT

15 March 2012

1.0 REPORT ON PROGRAMME AND PROJECT PROGRESS

The Programme continues to make significant progress with the three projects reaching a number of key milestones:

- The three projects remain on track against the current project timelines.
- The IFA/Linfield Agreement has been approved by IFA and has received the support of the wider football family. This allowed consideration of the Business Plan by DCAL, and consequently the IFA Business Plan has now been approved.
- The UCGAA Development Cost letter of offer has been issued, and the IFA Development Cost Letter of offer will be issued on 16 March 2012.
- The IFA have appointed Planning Consultants to continue their early community engagement and planning processes.
- The IFA plan will appoint the ICT (design team) for the Windsor Park project in the week commencing 19 March 2012.
- The PQQ process for the appointment of the ICT (design team) for UCGAA is nearing completion with the scoring of returns planned to commence on 23 March 2012.
- UBIRFU plan to release the OJEU notice for the PQQ stage of the IST (contractor) appointment in the week commencing 19 March 2012.
- Programme Director has been recruited and is due to take up post at the start of May 2012.

2.0 REPORT ON PROGRESS AGAINST TIME

2.1 UBIRFU Timeline

Next Critical Path Milestone – Appointment of the IST (Contractor) on 27 August 2012.

Status - Project currently on track against current timeline. However release of the OJEU notice for the PQQ process in relation to the appointment of IST (contractor) is currently awaiting DCAL comment on social clauses. Any delay will threaten progress against current timeline.

2.2 IFA Timeline

Next Critical Path Milestone - Appointment of the ICT planned for 18 April 2012.

Status – Project currently ahead of Programme by three weeks. Tender returns are currently being scored by the assessment panel, and a recommendation for appointment of the ICT is to be considered by the Project Board on 20 March 2012.

2.3 UCGAA Timeline

Next Critical Path Milestone –Appointment of the ICT planned for 3 July 2012.

Status – Project currently on track against current timeline. Invitation to tender returns to be issued to the list of successful competing design teams by 18 April 2012.

3.0 REPORT ON COST

3.1 Comparison between Predicted Costs and the Cost Budget

A comparison between total predicted costs for the 3 projects versus approved OBC cost schedules was carried out by CPD's Grants Cost Management Unit (GCMU) in July 2011. The results of this exercise concluded that the cost schedules for the three projects did not provide for inflationary allowances, and therefore there was a significant risk of cost inflation.

DCAL included the risk of cost inflation within the Programme Risk Register at that time, and deemed that the risk should be reconsidered when greater certainty around costs was known (after appointment of design teams).

UBIRFU have now appointed their design team and a preliminary cost estimate has been prepared. A full cost plan will be provided by mid-April.

IFA will appoint the design team in the week commencing 19 March 2012, and will begin preparation of a cost estimate for the Windsor Park project.

UCGAA will appoint the design team on 3 July 2012, which will allow the preparation of a cost estimate for the Casement Park project.

3.2 Dealing with Inflation – Optimism Bias

DCAL have confirmed that Optimism Bias may be used to offset increased costs arising as a result of inflationary pressures on costs where project budgets have already been exhausted. However Optimism Bias is not available to meet the costs of any sharing of pain/gain under NEC 3 Option C contracts.

3.3 Procurement of Cost Consultants across the Programme

SNI are currently working to procure single cost consultants across the programme to allow 'critical friend' reviews of costs and benchmarking across the three projects. This will also allow for robust control of costs on the projects going forward.

4.0 REPORT ON QUALITY

4.1 Design Reviews

The design team for UBIRFU has carried out a formal design review of the Stage D design for the Ravenhill project.

The design team for the IFA will be appointed in the week commencing 19 March 2012 and will undertake the design of the project up to Stage D.

The design team for the UCGAA will be appointed on 3 July 2012 and will undertake the design of the project up to Stage D.

4.2 MAG Reviews

Members of the Ministerial Advisory Group (MAG) on design presented to the SNI Programme Board and Governing Body representatives on the 9 February 2012. All three governing bodies have committed to engaging with MAG during their design development at the appropriate design stages.

4.3 Counter Terrorism

Members of the PSNI Counter Terrorism Security Unit (CTSU) met with SNI & Governing Body representatives on 8 March 2012. CTSU confirmed that following a risk assessment, the stadium projects did not fall within their remit. However CTSU advised Sport NI and the governing bodies to liaise with the Chief Constable of PSNI so that contacts can be made at a local level with those responsible for policing in the districts surrounding the stadiums.

The three sports have expressed a strong desire to work with the PSNI across a whole range of issues around the new stadia including crowd control, safety certification and cash management on match days. This will require the PSNI at a local level to input to design reviews to ensure design quality is maintained with regard to safety and security issues. SNI has now written to the Chief Constable to kick start this process and to establish the necessary contacts between the PSNI and the three sports.

5.0 REPORT ON CHANGE CONTROL

5.1 Requests for Change

No requests for change to the projects from the have been submitted from the three governing bodies since the last Sponsor Board meeting on 12 February 2012.

5.2 Change Control Framework

SNI has worked with the SIB Interim Advisor and DCAL to finalise a Change Control Framework for the Programme which provides the parameters, controls and necessary approvals that will govern changes to time, costs and quality across the stadium projects. The framework will need to be signed off by DCAL and adopted by each of the Project Boards.

6.0 REPORT ON SPEND AGAINST BUDGETS

6.1 Capital Budget 2011/12

SNI has a capital budget of £380,000 for 2011/12 – it is expected that this budget will be expended. The only risk currently threatening this spend is approval by DCAL of the single tender action in relation to historic costs for UBIRFU.

6.2 Revenue Budget 2011/12

Revenue Budget for 2011/12 - it is anticipated that the revenue budget for the stadium programme for 2011/12 will be fully expended.

It should be noted that SNI are currently developing dashboard reports which will provide a visual illustration of project and programme progress against time, cost and spend parameters. The dashboard format will be in place prior to the next Sponsor Board meeting in April.

7.0 REPORT ON RISK MANAGEMENT

7.1 PROGRAMME RISKS

I have outlined below the key programme risks that have the potential to impact on the programme, and I have also outlined the actions SNI is currently undertaking to manage these risks.

- **Securing Planning Approvals** – SNI is currently managing this risk by co-ordinating a Programme Planning Working Group which brings together SNI, IFA, UCGAA, Strategic Planning Division and other statutory agencies involved in the planning process. SNI has also development a 'plan for planning' which provides a framework

at a programme level to effectively manage the planning process in conjunction with the Governing Bodies.

- **Fit of the Project with CSR Budget Profiles** – SNI is currently working with the SIB interim Advisor to develop a Programme Delivery Plan and associated expenditure profiles that reflect achievable delivery timescales that take cognisance of, but are not necessarily limited by, CSR timeframes. This exercise will be concluded by mid-April and presented to the April Sponsor Board meeting.
- **Potential Impact of Inflation on Project Costs** – SNI is currently managing this risk through a change control process which will require the Governing Body design teams to provide regular cost plans to SNI. Where cost plans identify changes to project budgets, SNI will implement the change control process. In addition, SNI are currently developing a procurement process to appoint Cost Management Consultants at a programme level which will provide benchmarking of costs and cost control across the three projects.

8.0 REPORT ON ISSUES MANAGEMENT

I have outlined below the three key issues that have been identified by the SIB Interim Advisor. He believes these issues are currently impacting negatively on the programme. I have also outlined proposals for resolving these issues which I have agreed with the SIB Interim Advisor:

- **Relationships between DCAL and SNI are failing** – SNI proposes a weekly meeting between SNI and DCAL, chaired by the Programme Director, to update DCAL on progress against issue resolution.
- **The need for CPD to provide timely responses to procurement issues** – SNI proposes that a dedicated full-time CPD resource is appointed to the programme and co-located within SNI. Consideration also needs to be given to revising the CPD Local Operating Agreement to define the exact role of CPD with regard to programme and project delivery.
- **The need to develop a Benefits Realisation Plan** – SNI are developing a benefits realisation plan framework at a programme level. In addition consultants are being procured by the Governing Bodies to assist with the completion of a benefits realisation plan for each project.

9.0 PROGRESS AGAINST ACTIONS IDENTIFIED BY SPONSOR BOARD ON 16th FEBRUARY 2012

I have written to the Permanent Secretary on 24 February 2012 to identify how I will progress the actions raised by the Sponsor Board at its meeting of 16 February 2012. In addition, please find below an update on progress against these actions:

- **Acceptance that the three projects constitute a programme** – I have confirmed that SNI accept that the three projects constitute a programme.
- **Provide a realistic delivery plan and associated financial profiles** – SNI is currently working with the SIB interim Advisor to develop a Programme Delivery Plan and associated expenditure profiles that reflect actual delivery timescales. This exercise will be concluded by 16 April and presented to the April Sponsor Board meeting for consideration.
- **Provide a plan for planning by 24 February 2012** – The 'Plan for Planning' was provided to the Permanent Secretary as an attachment to my letter of 24 February 2012 (this plan was the result of consultation and discussion between SNI and the SIB Interim Advisor). A Planning Working Group has been established and the first meeting has been scheduled for 21 March 2012. Members of the working group will meet fortnightly and will include representatives from SNI, IFA, UCGAA, Strategic Planning Division and other statutory agencies involved in the planning process.
- **A revised benefits realisation plan** – SNI are developing a benefits realisation plan framework at a programme level which will be in place by 21 May 2012. In addition, consultants are being procured by the Governing Bodies to assist with the completion of a benefits realisation plan for each project.
- **A revised risk register** - Following completion of the revised Programme Delivery Plan and associated expenditure profiles, a revised programme risk register will be prepared to reflect the impact of the revised plans and profiles on programme risks. The revised risk register will be presented to the April Sponsor Board meeting.

It should be noted that whilst these important issues are being dealt with, project delivery continues to progress in accordance with the current programme timelines.

10.0 FORTHCOMING APPROVALS REQUIRED FROM DCAL

10.1 Approvals required from DCAL during the next month will include:

Description of Approval Required	Anticipated Approval Date
Approval of social clauses in relation to PQQ process for contractor for rugby.	Immediate
Approval of the proposed security arrangements in relation to the three stadium projects.	Immediate
Approval of revised programme timelines and associated spend profiles.	April Sponsor Board
Approval of Historic Costs for UBIRFU.	Immediate
Approval of the Change Control Framework for the programme, and consideration of any requests for change submitted by the governing bodies within the parameters of this framework.	27 March 2012
Approval of Programme Mobilisation Plan.	April 2012

11.0 CURRENT LEVEL OF DELIVERY CONFIDENCE AGAINST THE CSR TIMELINES

11.1 SNI are currently working with the SIB Interim Advisor to test the current Programme timelines with a view to providing new Programmes that will offer increased confidence levels regarding likely delivery timescales.

I expect to be in a position at the April Sponsor Board where I can present new programme timelines and associated spend profiles that will provide greater confidence and certainty around these issues.

That said, confidence levels with regard to deliverability of the public sector contribution within the CSR period for the UCGAA project remains medium/high risk.

Confidence levels with regard to deliverability of the public sector contribution within the CSR period for the IFA project remains medium risk.

**Minutes of the Stadium Programme Sponsor Board held
on Wednesday 6 June 2012, 3.00 pm at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín
DCAL Rosalie Flanagan (RF)
UBIRFU: Sir Nigel Hamilton (SNH)
IFA: Jim Shaw (JS)

In attendance:

SIB: Brett Hannam (BH)
IFA: Patrick Nelson (PN)
GAA: Tom Daly (TD)
Danny Murphy (DM)
Sport NI: Nick Harkness (NH)
DCAL: Colin Watson (CW)
Richard Holmes (RH)
Noel Molloy (NM)
Ciaran McGurk (CM)
Jarlath Kearney (Special Advisor)
Paul Loughlin (Minister's PS)
Richard Nicholl (minutes)

1.0 Welcome and Introductions.

- 1.1 Minister welcomed all to the meeting, including Nick Harkness, Acting Chief Executive of Sport NI. The Minister also extended best wishes to Eamonn McCartan for a speedy recovery. The helpful involvement of Ciaran McGurk and his colleagues on the DCAL Stadium Programme Team was also acknowledged.
- 1.2 Apologies were received from Shane Logan (UBIRFU), Michael Hassan (GAA) and Cynthia Smith (DCAL).

1.3 Minister, in her introductory remarks, spoke regarding the positive developments on the Stadium Programme under the new delivery arrangements, and the good working relationship which had quickly developed between the three Project Boards and the new Stadium Programme Team. The Minister placed particular emphasis on maximising social returns and the use of social clauses, and made the following points:

- (i) The Stadium Programme is legally required to maximise social returns and promote equality under Section 75 of the NI Act 1998 as well as to deliver effective and efficient stadium construction.
- (ii) The Stadium Programme Team, under Ministerial direction, is working to ensure social returns are maximised, with a broadly two fold approach. First, economic inactivity being targeted by ring-fencing a minimum number of jobs throughout the supply chain for Long-Term Unemployed and apprenticeships. Second, wider social returns being required for the most objectively needy areas in the vicinity of each stadium.
- (iii) These issues are central to the success of the Stadium Programme, and to ensure that DCAL and the Executive meet their commitments.

2.0 Minutes of 22 March 2012

2.1 SNH asked that it be recorded that UBIRFU disagreed with the version of events presented by Eamonn McCartan as recorded at paragraph 4 of the minutes of the meeting of 22 March 2012. There were no further issues with the previous minutes.

3.0 SRO Report

3.1 RF detailed the progress that had been made to date, outlining the Project timelines for the three Governing Bodies. UBIRFU have signed

off on a programme of completion by September 2014, GAA, September 2015 and IFA, June 2015.

- 3.2 Programme / project spend profiles had been developed which indicate government spend within the CSR period. All projects were making good progress although there were issues still to be resolved. In particular the GAA and IFA needed to fully engage in comprehensive community consultation as a key to successful planning outcomes and the GAA needed to hold a significant match or event in Casement Park this summer to enable a traffic assessment to be carried out.
- 3.3 RF then outlined what lay ahead, noting that the Department would continue to assist the Governing Bodies, through monitoring, and managing relations with other Departments and interested parties. DCAL will also advise and guide the IFA and GAA on community engagement as part of the planning process, the approval process with DRD, the mitigation of any challenges, the design of the stadiums and ultimately the approval of the Department to proceed with the Projects.

4.0 Discussion

- 4.1 DM raised concerns, and sought clarification, regarding the Department's ultimate approval to proceed with the projects. Having spent time, monies and resources on the projects to this point there was a concern that funding could be withheld.
- 4.2 NM gave assurances that Departmental approval referred to was part of due process and due diligence by the Department. It was a control mechanism within the process whereby approval would be required at various stages / phases of the projects. These assurances were accepted.
- 4.3 TD raised a concern re the staging of a significant match / event, at short notice, in Casement this summer to facilitate a traffic assessment exercise. He stated that this presented a challenge and may not be possible. He also commented that the project was moving forward well,

progress is being made and the strong engagement with Noel Molloy and his Stadium Programme Team was assisting in this.

- 4.4 PN referred to the Social Clause wording being prepared for Ravenhill and advised that the IFA would like to get sight of this as soon as possible. NM agreed to share with other GB's as soon as available. The Minister also stated that DCAL was showing leadership in this area and that what was being accomplished regarding the Social Clauses could be replicated throughout the Executive.
- 4.5 SNH advised that due to the Ulster team's recent success, timely completion of the Ravenhill Stadium was essential. He expressed appreciation for the help received from Noel and his team, especially in regard to the Social Clauses.

Action: DCAL Stadium Programme Team to share wording on Social Clauses with IFA and GAA Once Available

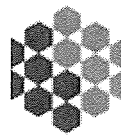
Other points noted in the discussion were:

- 5.1 NM expressed his thanks to the Governing Bodies for all their assistance to date.
- 5.2 RF emphasised the need to keep the momentum going and to push ahead with the work.
- 5.3 Minister congratulated all involved for the progress that had been made. She reiterated that Social Clauses would be a key element of the programme.

AOB

- 6.0 SNH advised that the IRFU are giving serious thought to bidding for the 2023 Rugby World Cup.
- 7.0 **Date of Next Meeting**

7.1 The Minister concluded by thanking all present for a positive Sponsor Board meeting and advised that the next meeting would be arranged in early July with a further meeting towards the end of August.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 6 JUNE 2012

1. Background

- i) Responsibility for delivery of the stadium programme transferred from Sport NI to DCAL on 30th April 2012.
- ii) The new arrangements retain the Sponsor Board as part of the programme delivery structures, with additional representation invited from the Governing Bodies in the form of the SRO and IDM.
- iii) The Governing Bodies of the 3 sports are working in accordance with the new delivery arrangements with the Project Boards continuing to function as normal.
- iv) A revised MOU reflecting the new arrangements has been issued to the Governing Bodies for consideration.

2. Programme Timelines and Spend

- i) Programme timelines have been agreed and signed off by each sport indicating UBIRFU completion by September 2014, IFA completion by June 2015 and GAA completion by September 2015.
- ii) Spend Profiles have been revised across the programme and current projections indicate that the full public sector contribution will be committed within the current CSR period.
- iii) Full public spend within the CSR is subject to key assumptions being met around planning approval timescales and assumes that significant procurement challenges are avoided.

3. Planning Approvals

- i) A key risk to the achievement of the programme timelines and delivery of the public sector spend within the CSR is the achievement of planning approvals for the GAA and IFA projects.
- ii) The 'Planning Working Groups' involving representation from the DCAL programme team, GAA/IFA, Strategic Projects Division (SPD) and the statutory agencies are central to the achievement of planning approvals.
- iii) A 'Step by Step Plan for Planning' has been developed by GAA and IFA which sets out critical target dates for key activities that will expedite the planning approval process.

4. Social Clauses and Socio-Economic Returns

- i) Social Clause conditions have been included in the contracts for the appointment of the design teams on the Ravenhill and Windsor Park projects. In addition social clauses have been included in the 'Invitation to Tender' documents for the appointment of the design team for Casement Park.
- ii) The Department is currently developing suitable wording for social clauses for inclusion in the IST contracts (construction contracts). Tender documents for the appointment of the Integrated Supply Team for UBIRFU will be released on 8th June 2012 and therefore social clause wording for the rugby IST contract will be agreed by that date. This wording will act as a template for the GAA and IFA IST contracts.
- iii) The 3 Governing Bodies are about to undertake development of Full Business Cases (FBC) for their projects including provision of Benefits Realisation Plans. The FBCs and Benefits Realisation Plans will detail how the Governing Bodies intend to maximise community participation and wider socio-economic returns from their projects.

5. Programme and Project Communications

- i) GAA and IFA have commenced early community engagement with regard to planning. This is a critical element for the successful delivery of the Stadiums and as such the Department is considering how best this is delivered from a programme perspective.
- ii) A 'PR and Communications Milestones' schedule has been prepared by DCAL programme team which provides a schedule of dates for key PR opportunities on the stadium projects over the next 3 years.
- iii) The Programme Director is currently considering the need for a dedicated consultation/communications post within the DCAL programme team to facilitate effective pre-planning community engagement and to maximise PR opportunities around the programme and development of social participation.

PROJECT UPDATES

6. UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Invitation to Tender	08.06.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
DCAL sign off FBC	12.10.12	On target	
Issue DCAL Letter of Offer (LOO)	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

7. IFA/ WINDSOR PARK

- i) Remains on target with full commitment of the public sector spend expected within the CSR period provided key assumptions are met around planning timescales and that significant procurement challenges are avoided. Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	18.04.12	Completed	ICT appointed
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval Process	20.06.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	26.07.13	On target	
Issue DCAL Letter of Offer (LOO)	26.07.13	On target	
Appoint IST & prepare detailed design	26.07.13	On target	
Commence Construction	26.08.13	On target	
Complete Construction	01.06.15	On target	

8. GAA/ CASEMENT

- i) Some slippage has taken place with regard to the issue of the tender for the appointment of the ICT. Loss of 6 weeks from initial planned release date of 6th April to actual issue date of 23rd May 2012.
- ii) Programme timeline has been revised and agreed with the GAA Project Board members. Delivery of the public sector spend is still anticipated within the CSR period provided key assumptions are met around planning timescales and that significant procurement challenges are avoided. Project completion anticipated in September 2015.
- iii) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Issue Tender for ICT	06.04.12	Behind schedule – issued on 23.05.12	Delayed by six weeks.
Appoint ICT	25.07.12	On target	Appointment of ICT has been delayed by one month as a result of delay in issue of tender. Date shown reflects new target date.
ICT Develops Design to RIBA Stage E	30.04.13	On target	Dates to be monitored on an on-going basis for any slippage.
Planning Approval Process	20.12.13	On target	
IST Invitation to Tender	01.04.13	On target	
DCAL sign off FBC	31.07.13	On target	
Issue DCAL Letter of Offer (LOO)	31.07.13	On target	
Appoint IST & prepare detailed design	02.01.14	On target	
Commence Construction	02.01.14	On target	
Complete Construction	30.09.15	On target	

**Minutes of the Stadium Programme Sponsor Board held
on Wednesday 4th July 2012 3.30 pm, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín
DCAL Rosalie Flanagan (RF)
UBIRFU: Sir Nigel Hamilton (SNH)
GAA: Michael Hasson (MH)

In attendance:

SIB: Brett Hannam (BH)
IFA: Les Caul (LC)
GAA: Tom Daly (TD)
UBIRFU: Cecil Watson (CW)
Sport NI: Nick Harkness (NH)
DCAL: Cynthia Smith (CS)
Richard Holmes (RH)
Noel Molloy (NM)
Ciaran McGurk (CM)
Jarlath Kearney (Special Advisor)
Paul Loughlin (Minister's PS)
Bernie Breen (minutes)

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting.

1.2 Apologies were recorded from Shane Logan (UBIRFU), Patrick Nelson (IFA) Jim Shaw (IFA) and Danny Murphy (GAA).

2.0 Minutes of previous meeting of 6 June 2012

2.1 The minutes of the last meeting were agreed.

3.0 SRO Report

3.1 The Minister highlighted a number of issues.

3.2 Social Clauses have been developed for Ravenhill and the Minister stated that these will be shared with the GAA and IFA for their relevant contracts. These are new clauses which will ensure a greater socio-economic return is achieved through these contracts than would have been previously delivered.

3.3 The Minister advised that the department will shortly commence the development of the main funding agreements for the 3 projects. These are on the critical path for the delivery of the projects and as the main funder the Department will be setting out clearly its requirements and conditions of funding.

3.4 The Minister stated that it will be crucial that each governing body has appropriately resourced legal team and decision making structures in place to deal with various requirements such as;

- Title of property
- Security charge
- Step in agreements
- Partnership funding in place
- Clawback agreements

3.5 The Minister emphasised that is important that the governing bodies complete the necessary documents on time as funding agreements will not be executed by the Department until all necessary agreements are in place. This is essential to delivery.

3.6 The Minister advised that the Department's legal advisers would be holding a briefing with the governing bodies and their legal teams very shortly to advise of the requirements.

3.7 The Minister then invited RF to comment on the report.

3.8 **UBIRFU**

RF advised that the Invitation to Tender for the IST had gone out. The project float for this element was used up while the social clauses were resolved but this did not create a detrimental effect on the overall project.

There was a positive meeting with the tendering contractors on 26th June which the Programme Director attended to give a brief of the design, contract and social clauses.

UBIRFU work was continuing on the engagement with the local community.

UBIRFU are still on target for appointment of IST on 12th October 2012 and overall target of completion on 1st September 2014.

The Novation agreement from Sport NI to DCAL has been completed and work on the MOU is ongoing.

3.9 **GAA**

RF advised that good progress had been made with regard to enhancing the project team, developing the community consultation team and process and sign off on MOU and Novation agreement.

The design team tenders had been returned and been assessed, and final cost checks were being carried out.

The project remains on target to appoint the ICT on 31st July. It was noted that this had been an intense process in order to maintain this target and all involved were complimented.

Additional work had been carried out on the appointment of enabling works, including site investigation, bat surveys and environmental surveys.

It was emphasised that the key requirement was to have a significant event held in Casement this year to carry out a traffic assessment remains outstanding. It was considered that the Antrim vs Galway 2nd round qualifier to be played at Casement Park on 14th July 2012, would unlikely to meet the 18k attendance requirement. The GAA was looking at initiatives to market but would struggle to get over 8k which will not suffice for planning.

RF asked if the GAA would consider playing their Ulster final in Casement to avoid any delays to the project.

RF advised that the title and security for the site needs to be resolved as soon as possible as the GAA was approaching the limits within the development offer letter.

RF said that if the challenges were met the GAA remained on the current overall target of completion in September 2015.

3.10 IFA

RF advised that the design team were currently working on the concepts for the stadium and engaging with the principal stakeholders and some preliminary designs have been developed.

There had been 2 PAD meetings with planning which had gone well and the planning consultant is engaging well with the various government bodies. The next PAD meeting is scheduled for last week in July.

There is significant work ongoing with regard to preparation for the next phase of community consultation which will commence in August.

The Ministerial Advisory Group (MAG) for Architecture and Build Environment review was scheduled for August.

Cost plans were being developed and no major issues had been noted to date although the plans were still at a high level.

The Novation agreement had been completed.

Work on the MOU was ongoing.

The IFA remained on overall target of completion in June 2015.

3.11 Programme Level

RF outlined that the department would continue to monitor the progress of the 3 projects through their different phases and work with the governing bodies in maintaining their respective projects and timelines.

The next significant and critical piece of work would be the development of the main funding agreements for each of the projects.

In this regard it was essential to recognise the impact that any delays to the completion of the funding would have on the programme.

The department would shortly issue the communication protocol to the various governing bodies for agreement.

4.0 Discussion

4.1 In thanking RF for the Update Report the Minister noted that while it provided clarity on what was being achieved it also underlined that

challenges remained for the Governing Bodies in moving forward with their respective projects. She then opened the meeting for discussion.

- 4.2 CW sought clarification about the target date for the UBIRFU funding agreement and was advised by CMcG that the process for this was set out in the Activity Schedule which anticipated that, allowing for the production of draft agreements for consideration and other essential activities, the final funding agreement was scheduled for 12 October 2012. NM advised that in order to finalise the funding agreement, and prior to a contractor been appointed, the production of a full business case by UBIRFU would also be required.
- 4.3 On the GAA position TD advised that there had been progress on action required since the last Sponsor Board meeting eg security, enhancement of project team, MOU progressed and draft legal agreement prepared. He advised that the key issue of organising a major fixture at Casement Park to facilitate the traffic assessment had also been actively considered, but resolution on this was proving difficult. Events such as a fixture between Derry and Tyrone had been considered but none was feasible. In regard to the suggestion that consideration be given to Casement Park holding the Ulster final, it was considered that the current facilities at Casement Park would not be adequate and, in any case, it had already been agreed to hold the final at Clones. TD advised that he would nevertheless report back to the Officers of the Ulster Council on this. He further advised that the Plan B position was to try secure a major Level 3 Qualifier game, however it would be two weeks before it could be established if this was possible.
- 4.4 The Minister emphasised that while she appreciated the efforts being made by the GAA to secure an appropriate fixture it was a critical issue that needed to be resolved if timescales are to be met.

4.5 In regard to the IFA's progress on Windsor Park, LC reported that they were on target with the process. Design concepts were being developed, consultation with the community was in hand and work on the Full Business Case had commenced.

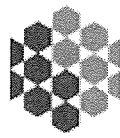
5.0 AOB

5.1 No other issues were raised.

5.2 The Minister asked that issues to be raised under AOB should be notified to the Department in advance of the next meeting.

6.0 Date of Next Meeting

6.1 The Minister concluded by thanking all present for a positive Sponsor Board meeting and advised that the next meeting has been scheduled for Wednesday 15th August 2012.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 4 JULY 2012

1. Programme and Project Governance

- i) The Governing Bodies of the 3 sports are working in accordance with the new delivery arrangements with the Project Boards continuing to function as normal.
- ii) A revised MOU reflecting the new arrangements has been issued to the Governing Bodies for consideration.

2. Programme Timelines and Spend

- i) UBIRFU has agreed and signed off on their programme timeline and spend profile indicating completion of project by September 2014.
- ii) IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period and completion of the project by June 2015.
- iii) GAA programme timeline has been agreed and signed off by the Project Board. However further discussion is required with GAA in relation to the spend profile. Whilst the programme timeline indicates completion by September 2015, it is not possible to confirm that the completion date of September 2015 can be achieved due to current uncertainties around planning issues.
- iv) DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales.

3. Planning Approvals

- i) The 'Planning Working Groups' involving representation from the DCAL programme team, GAA/IFA, Strategic Projects Division (SPD) and the statutory agencies have met on four occasions. The level of cooperation from SPD and the statutory agencies has been to a very high level.
- ii) A significant issue has arisen with regards to planning for the GAA project. A major fixture with an attendance of over 18,000 people needs to be held at Casement Park this season to allow the target dates for planning approval to be met. Currently there is no fixture of this nature in place. Discussions continue with GAA to facilitate a fixture of this type.

4. Funding Agreements

- i) Funding Agreements are on the critical path for all projects. The Department has commenced work with its Solicitors to establish the key principles required within the Funding Agreement.
- ii) The Department will hold a briefing in the near future for each of the Governing Bodies and their legal advisors with regards to the content of the Funding Agreements. Each Governing Body will need to ensure they have the appropriate resource and decision making processes in place to expedite the Funding Agreement in compliance with the Programme timeline.

5. Social Clauses and Socio-Economic Returns

- i) The Department has included suitable wording for social clauses in the UBIRFU IST contract (construction contract). These clauses will ensure that socio-economic returns are maximised on the project. Tender documents for the appointment of the Integrated Supply Team for UBIRFU have been released. The wording on social clauses will act as a template for the GAA and IFA IST contracts.
- ii) IFA and UBIRFU have appointed consultants who are currently developing Full Business Cases (FBC) for their projects including provision of Benefits Realisation Plans. The FBCs and Benefits Realisation Plans will detail how the Governing Bodies intend to maximise community participation and wider socio-economic returns from their projects. GAA will procure consultants for this work at a later date.

6. Programme and Project Communications

- i) GAA and IFA have commenced early community engagement with regard to planning. GAA intend to apply an additional dedicated full-time resource to communications work from 1st September 2012.
- ii) DCAL Programme team and Press office are currently developing a Programme Communications Strategy and Plan. This plan will set out all anticipated PR and Communications Milestones at programme and project level and will detail the appropriate organisation/ individual for delivering PR opportunities. The three governing bodies will have an input to this Plan before finalisation.
- iii) The next PR opportunity for the Stadium programme will be the appointment of the design team (ICT) for GAA. DCAL Programme Team and Press Office will liaise with GAA in the coming weeks to facilitate this event.

PROJECT UPDATES

7. UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below. There is no detrimental effect on the overall programme.
- ii) A meeting was held with the tendering contractors on 26th June 2012 to give a brief of the design, contract and social clauses. This meeting proved productive and contractors were satisfied with the key requirements of UBIRFU.
- iii) There is continuing work on the engagement with the local community. The outputs of this work will be reflected in the full Business Case and Benefits Realisation Plan that is currently being drafted by UBIRFU and their business case consultants.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	31.08.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
DCAL sign off FBC	12.10.12	On target	
Issue DCAL Letter of Offer (LOO)	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

8. IFA/ WINDSOR PARK

- i) Remains on target with full commitment of the public sector spend expected within the CSR period provided key assumptions are met around planning timescales and that significant procurement challenges are avoided. Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Design team (ICT) are now in place and are currently working on concepts for the stadium and engaging with the principal stakeholders on sketch design proposals.
- iii) There have been 2 PAD meetings with planning which have been very positive and the planning consultant is engaging well with the various statutory agencies.
- iv) Significant work has taken place with regard to preparation for the first phase of community consultation. This initial consultation commenced at the beginning of July. Business Case and Benefits Realisation consultants are now in place to begin preparation of the full Business Case and Benefits Realisation Plan.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval Process	20.06.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	26.07.13	On target	
Issue DCAL Letter of Offer (LOO)	26.07.13	On target	
Appoint IST & prepare detailed design	26.07.13	On target	
Commence Construction	26.08.13	On target	
Complete Construction	01.06.15	On target	

9. GAA/ CASEMENT

- i) Delivery of the public sector spend within the CSR period is subject to the key assumption that planning timescales will be met. There is a significant outstanding issue with regard to planning around the need for a traffic assessment to be carried out during an event with an attendance of over 18,000 people. The opportunity to play an Ulster semi-final in Casement has passed and it is now left to the result of matches and draws during the GAA qualifiers to provide this fixture.
- ii) As the traffic assessment is critical for planning, and with the lack of assurance that an event can be organised this season, it is not possible to confirm that the completion date of September 2015 can be achieved.
- iii) The design team (ICT) tenders have been returned and have been assessed, and final checks are being carried out. Appointment of the design team by 31 July 2012 remains on target. Good progress has been made with regard to enhancing the team, development of the communication consultation process and sign off on MOU/novation agreement.
- iv) Prior to the appointment of the design team, GAA have carried out additional work on the appointment of enabling works, including site investigation, bat surveys and environmental surveys.
- v) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	On target	On target
ICT Develops Design to RIBA Stage E	30.04.13	Uncertainty around achievement of this target date	Not possible to comment on the likelihood of these target dates being met due to uncertainty around hosting of a major fixture at Casement Park this season.
Planning Approval Process	20.12.13	Uncertainty around achievement of this target date	
IST Invitation to Tender	01.04.13	Uncertainty around achievement of this target date	
DCAL sign off FBC	31.07.13	Uncertainty around achievement of this target date	

Issue DCAL Letter of Offer (LOO)	31.07.13	Uncertainty around achievement of this target date	Not possible to comment on the likelihood of these target dates being met due to uncertainty around hosting of a major fixture at Casement Park this season.
Appoint IST & prepare detailed design	31.07.13	Uncertainty around achievement of this target date	
Commence Construction	02.01.14	Uncertainty around achievement of this target date	
Complete Construction	30.09.15	Uncertainty around achievement of this target date	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 15th August 2012, 11.00 am, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL Rosalie Flanagan (RF)

IFA Jim Shaw (JS)

GAA: Michael Hasson (MH)

In attendance:

SIB: Brett Hannam (BH)

**IFA: Les Caul (LC)
Patrick Nelson (PN)**

GAA: Tom Daly (TD)

**UBIRFU: Cecil Watson (CW)
Shane Logan (SL)**

Sport NI: Nick Harkness (NH)

**DCAL: Cynthia Smith (CS)
Colin Watson (CW - DCAL)
Noel Molloy (NM)
Ciaran McGurk (CM)
Jarlath Kearney (Special Advisor)
Richard Nicholl (minutes)**

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting.

1.2 Apologies were recorded from Sir Nigel Hamilton (UBIRFU), and Danny Murphy (GAA).

2.0 Declaration of Interests

- 2.1 The Minister advised the members that as there will be points in the future where the Sponsor Board will be discussing areas such as letting of contracts that consequently a standing item has been added to the agenda to provide members an opportunity to declare any interests.
- 2.2 No interests were declared.

3.0 Minutes of previous meeting 4 July 2012

- 3.1 The minutes of the last meeting were agreed.

4.0 Update Report

- 4.1 The Minister emphasised the need to ensure that targets and milestones are met so that the projects are completed within the CSR timeframe.
- 4.2 The Minister made clear that failure to meet the targets identified threatens delivery of each project as the Department could not guarantee any funding beyond that which is currently available within the current CSR Period.
- 4.3 The Minister advised that the Department and the Executive are investing significant resources in the Stadium Programme and that such an investment brings responsibilities around delivery of benefits, benefits for sport, and also socio – economic and community benefits.
- 4.4 The Minister emphasised the need for each of the Governing Bodies to fully engage with the stadium team regarding the development of Benefits Realisation Plans, detailing how each project will maximise sporting, socio – economic and community benefits.
- 4.5 The Minister then invited RF to comment on the report.

4.6 **Programme Level**

RF emphasised the importance of the prompt return of governance, legal and other information to the Department when requested. This was necessary to allow the Department to sign off approvals for the projects to move on to their next development stage. Ultimately failure in this regard could threaten delivery.

4.7 The funding agreement for Rugby had been drafted and had gone to UBIRFU for comment. This is an important piece of work as the wording developed for Rugby will act as a template for the funding agreements for IFA and GAA.

4.8 UBIRFU and IFA have consultants in place to assist with the development of Benefits Realisation Plans as part of the preparation for the full Business Case. GAA would shortly begin a process to appoint consultants to carry out this work.

4.9 RF emphasised that the Benefits Realisation Plans must detail the significant benefits to sport, and also address the socio – economic and community benefits expected from the projects.

4.10 The Department would shortly issue a guidance paper around expectations which will provide additional advice and support in this area. The key principles outlined in this guidance should then be adopted in the development of the Benefit Realisation Plans.

4.11 **UBIRFU**

4.12 RF advised that UBIRFU were on target for appointment of IST on 12 October 2012 and on target for completion of the project by September 2014. The panel had been agreed for scoring of tender returns, with the IST tender return date of 31 August 2012.

4.13 MOU had been signed off and RF thanked UBIRFU for their co-operation on this agreement.

4.14 Draft Funding Agreement was issued to IBRFU on 1 August 2012, and project on target for appointment of the ICT on 12th October 2012.

4.15 Work on the Full Business Case and Benefits Realisation Plan is ongoing, with engagement of the local community as part of this process.

4.16 **IFA**

4.17 IFA are currently on target for submission of planning application in December 2012 and completion of project in June 2015. IFA Project Board had signed off on MOU.

4.18 OJEU notice for the appointment of the IST had been released, and RF recorded thanks to the IFA for their co-operation with the Department in the drafting of the social clause wording.

4.19 The Design Team were making strong progress with the first MAG review taking place on 15th August. Work on the Full Business Case and the Benefits Realisation plan had commenced, with community consultation being undertaken.

4.20 **GAA**

4.21 RF advised that the target for completion of the project by September 2015 is likely to be met, subject to resolution of the outstanding queries relating to ICT appointment and the development of the security agreement. Appointment of the ICT had been delayed to allow for queries raised by an unsuccessful operator to be addressed.

4.22 A provisional date of 3 November 2012 had been set for a fixture / event at Casement Park to facilitate planning surveys. RF expressed her appreciation of the hard work carried out by UCGAA in arranging this fixture.

4.23 Engagement had commenced with GAA's legal advisors for the Stadium Project regarding development of the security agreement.

5.0 Discussion

5.1 The Minister thanked RF for her comments and opened the meeting for discussion.

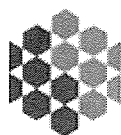
- 5.2 PN stated that a guidance document on socio – economic benefits would prove helpful in determining expectations.
- 5.3 PN further stated that while the IFA recognised the need for Governing Bodies to provide documentation to the Department in good time, that this was a two way process and, referring to the IFA’s OJEU notice, noted that the Department also had to ensure quick turnaround of documents.
- 5.4 NM responded that the Stadium Team had worked hard to get the notice out ahead of schedule but took on board the comments.
- 5.5 SL spoke of the good relations with the stadium team, and requested that the guidance paper on socio – economic benefits be issued as soon as possible.
- 5.6 CW advised that things will progress with the return of tenders on 31 August which will establish what the real cost of the project will be.
- 5.7 TD advised that the GAA were working well with the Stadium Team to resolve certain issues, in particular the query by ICT tenderer.
- 5.8 TD further advised that progress was being made regarding the planning authorities requirement for a major event to be held at Casement Park. This was planned for the first weekend in November and they were hopeful for an 18,000 plus crowd as is required. Acknowledgement was also given to the Stadium Team, recognising their co-operation on work around the Funding Agreement and Social Clauses.
- 5.9 NM acknowledged the support of all the Governing Bodies with regard to these challenging programmes.
- 5.10 Minister concluded the discussions by advising the members that the process would continue to be challenging for all. Emphasis was placed on the need for co-operation and flexibility in progressing the projects.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 The Minister advised all present that the next meeting had been scheduled for Wednesday 26th September 2012.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 15 AUGUST 2012

1. Programme and Project Governance

- i) The Governing Bodies of the 3 sports are working in accordance with the new delivery arrangements with the Project Boards continuing to function as normal.
- ii) A revised MOU reflecting the new arrangements has been issued to the Governing Bodies for consideration. UBIRFU and IFA have signed up to the revised MOU. The MOU between the Department and UCGAA is close to agreement.

2. Programme Timelines and Spend

- i) UBIRFU has agreed and signed off on their programme timeline and spend profile. Progress remains good with expected completion by September 2014.
- ii) IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Progress remains good with expected completion by June 2015.
- iii) GAA programme timeline has been agreed and signed off by the Project Board. Progress remains good. Completion of the project by September 2015 will be achieved subject to resolution of the current issues around the provision of a security agreement and resolution of queries relating to the ICT appointment.
- iv) DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales.

3. Planning Approvals

- i) The Planning Working Groups involving representation from the DCAL programme team, GAA/IFA, Strategic Projects Division (SPD) and the statutory agencies have met on four occasions. The level of cooperation from SPD and the statutory agencies has been to a very high level.
- ii) The DOE Planning Minister, Alex Attwood, has written to UCGAA and IFA restating his Department's commitment to helping secure delivery of the projects within the CSR timeframes and offering continued co-operation from Planning Officials. The Planning Minister is facilitating meetings with UCGAA and IFA in August to allow further discussions on planning issues.

4. Funding Agreements

- i) Funding Agreements are on the critical path for all projects. A draft Funding Agreement has been developed and issued to UBIRFU for consideration. The draft Agreement will act as a template Agreement for UCGAA and IFA.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- i) The Department has included suitable wording for social clauses in the UBIRFU IST tender documentation. In addition the Department has agreed the wording in relation to social clauses for the IFA OJEU notice (IST appointment). These clauses will ensure that socio-economic returns are maximised on the project builds.
- ii) IFA and UBIRFU have appointed consultants who are currently developing Full Business Cases (FBC) for their projects including provision of Benefits Realisation Plans. The FBCs and Benefits Realisation Plans will detail how the Governing Bodies intend to maximise community participation and wider socio-economic returns from their projects. GAA will procure consultants for this work at a later date.
- iii) It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. As the scale of the public sector investment in the stadium programme is huge, the Department needs to see significant returns in terms of socio-economic and community benefits. The Department will issue a guidance paper to the Governing Bodies in the near future to provide further advice and support in this area.

PROJECT UPDATES

6. UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period. Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) The IST tender documents were released via web portal on 29th June 2012 and all shortlisted contractors have downloaded the tender documentation. Responses have been provided to all tender queries received. The tender return date is 31st August 2012.
- iii) The draft Funding Agreement has been issued to UBIRFU on 1st August 2012 for their initial review and consideration. The target date for completion of the Funding Agreement between all parties is 5 September 2012 to permit the Funding Agreement to be executed in tandem with the appointment of the IST on 12 October 2012.
- iv) The full Business Case and Benefits Realisation Plan is currently being drafted by UBIRFU and their business case consultants. The full Business Case will be submitted to the Department on 14 September 2012.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	31.08.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
DCAL sign off FBC	01.10.12	On target	
Funding Agreement signed by DCAL & UBIRFU	12.10.12	On target	
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

7. IFA/ WINDSOR PARK

- i) Project is currently ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Design team (ICT) are currently working on design concepts for the stadium and are engaging with the principal stakeholders on sketch design proposals. First MAG Review meeting is scheduled for 15th August 2012.
- iii) Significant work has taken place with regard to preparation for the first phase of community consultation. The first community design engagement meeting took place on 26 July 2012 at Greater Village Regeneration Trust. Business Case and Benefits Realisation consultants are now in place to begin preparation of the full Business Case and Benefits Realisation Plan.
- iv) The wording for the OJEU notice for the IST appointment has been agreed with the Department and IFA have released the notice on 10th August 2012.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval Process	20.06.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	26.07.13	On target	
Funding Agreement signed by DCAL & IFA	26.07.13	On target	
Appoint IST & prepare detailed design	26.07.13	On target	
Commence Construction	26.08.13	On target	
Complete Construction	01.06.15	On target	

8. GAA/ CASEMENT

- i) GAA programme timeline has been agreed and signed off by the Project Board. Completion of the project by September 2015 is likely to be met.
- ii) The traffic assessment is critical for planning purposes. Positive discussions continue with UCGAA and a provisional date of 3rd November 2012 has been agreed for a suitable fixture/event to take place to facilitate a full traffic assessment.
- iii) Good progress has been made on the appointment of the ICT. However the appointment has been delayed due to a query from an unsuccessful Economic Operator in relation to the ICT process. The Alcatel Period has been extended to 17th August 2012.
- iv) Engagement has commenced with GAA's legal advisors for the stadium project resolving development of the security agreement.
- v) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Target not met	Appointment delayed following extension of Alcatel Period to 17 th August 2012 due to challenge from unsuccessful Economic Operator.
ICT Develops Design to RIBA Stage E	30.04.13	Target likely to be met	Target dates will be met subject to the early resolution of issues around the security agreement and resolution of queries on the ICT appointment.
Planning Approval Process	20.12.13	Target likely to be met	
IST Invitation to Tender	01.04.13	Target likely to be met	
DCAL sign off FBC	31.07.13	Target likely to be met	
Funding Agreement signed by DCAL & UCGAA	31.07.13	Target likely to be met	
Appoint IST & prepare detailed design	31.07.13	Target likely to be met	
Commence Construction	02.01.14	Target likely to be met	
Complete Construction	30.09.15	Target likely to be met	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 10th October 2012, 9.30 am, at Causeway Exchange.**

Present

Members:

Chair:	Minister Carál Ní Chuilín
DCAL	Rosalie Flanagan (RF)
IFA	Jim Shaw (JS)
GAA:	Michael Hasson (MH)
UBIRFU	Sir Nigel Hamilton (SNH)

In attendance:

SIB:	Brett Hannam (BH)
GAA:	Tom Daly (TD)
UBIRFU:	Cecil Watson (CW) Shane Logan (SL)
Sport NI:	Nick Harkness (NH)
DCAL:	Cynthia Smith (CS) Colin Watson (CW - DCAL) Noel Molloy (NM) Ciaran McGurk (CM) Jarlath Kearney (Special Advisor) Gerard Rushe (Sports Branch) Richard Nicholl (minutes)

1.0 Welcome and Introductions.

- 1.1 Minister welcomed all to the meeting and extended sympathy to Ulster Rugby on the tragic death of Nevin Spence. Best wishes were also extended to Danny Murphy for a speedy recovery.

- 1.2 SL thanked the Minister for her kind words and for the support offered from the Department and the other sports. Ulster Rugby had been overwhelmed by the response to the tragedy.
- 1.3 SNH also thanked those from both the IFA and the GAA who attended the funeral and the memorial service.
- 1.4 TD advised that Danny Murphy is making good progress and thanked the Minister for her concern.
- 1.5 Apologies had been received from Danny Murphy (GAA) Patrick Nelson and Les Caul (IFA).

2.0 Declaration of Interests

- 2.1 No interests were declared.

3.0 Minutes of previous meeting 15 August 2012

- 3.1 The minutes of the last meeting were agreed.

4.0 Update Report

- 4.1 The Minister congratulated the three sports on the good progress being made and on their continued co-operation with the Department in the delivery of the projects.
- 4.2 The Minister made clear that all public sector funding on the stadium projects must be committed within the CSR timeframe and requested that any issues which arise must be brought speedily to the Department to allow them to be worked through and resolved.
- 4.3 The Minister advised that the Programme Gate 0 Review would be completed by the 11th October and that this would hopefully confirm the good progress being made.
- 4.4 The Minister emphasised that such substantial public sector investment brought with it responsibility regarding the delivery of socio – economic and community benefits.

- 4.5 The Minister stressed to the three sports the importance of ensuring that contractors deliver on their social clause obligations and that there is actual delivery of the employment opportunities and returns expected. Emphasis was placed on the need for the Governing Bodies to robustly monitor this aspect of the projects.
- 4.6 The Minister encouraged the three Governing Bodies to consult extensively with local communities surrounding the stadiums, particularly those suffering from disadvantage, in order to maximise post construction community benefits.
- 4.7 The Minister then invited RF to comment on the report.
- 4.8 **Programme Level**
- 4.9 RF acknowledged the good progress made so far across the programme and emphasised the importance of the prompt return of technical information and cost plans to the Department when requested. As the timescales are tight, failure in this regard could threaten delivery.
- 4.10 RF advised that the Gateway Reviews have now been completed for the projects and that responsibility now lies with the Governing Bodies, working along with the Programme team, to ensure that they have action plans in place and that they are taken forward and monitored to ensure that all recommendations are implemented.
- 4.11 RF made clear that she will ensure, in her role as Programme SRO, that any recommendations arising from the Gate 0a programme review will be implemented.
- 4.12 RF emphasised that while progress and spend remained on target, ensuring that community consultation is both extensive and well documented is vital to the securing of planning approvals on time, therefore allowing programme timelines to be met.

- 4.13 The Funding Agreement for Rugby is close to completion. This document can then be used as a template for the funding agreements for the IFA and GAA.
- 4.14 **UBIRFU**
- 4.15 RF advised that UBIRFU were still on target for appointment of IST on 12 October 2012 and on target for completion of the project by September 2014.
- 4.16 The Department hopes to have the FBC and Funding Agreement signed off by Friday 12th October 2012. This will be a major milestone for the project.
- 4.17 The project has received a “green” delivery confidence assessment rating following a Gate 2 Health-Check in September. UBIRFU, alongside the Programme team, will work to ensure that the two recommendations arising from the Gate 2 Health Check are implemented.
- 4.18 RF thanked the UBIRFU for all their hard work and co-operation in getting the project to this point.
- 4.19 SL acknowledged the Programme team’s hard work and their help to date.
- 4.20 **IFA**
- 4.21 RF advised that the IFA are currently ahead of target with likely submission of the planning application in November 2012. The overall project is on target for completion in June 2015.
- 4.22 The design team are making strong progress with drawings currently at Stage C. It was requested that the IFA and design team share information with the Department as soon as it is available to allow the good progress to continue.
- 4.23 An open day was held on 4th October 2012 as part of the community consultation on the project, one of the outcomes of this being a request

from the community for better event management on the approaches to the Stadium on match days. It is vital to the planning application that the IFA manage this requirement.

4.24 A Gate 2 Health Check was carried out during September and the project received an “Amber/Green” delivery confidence assessment rating. The IFA will need to work with the Programme Team to ensure that the four recommendations flowing out of this are implemented.

4.25 **GAA**

4.26 RF advised that the target for completion of the project by September 2015 is likely to be met. This has been corroborated by the programme timeline provided by the design team Mott McDonald.

4.27 The ICT have been appointed and have commenced initial design and planning work.

4.28 RF emphasised the need for extensive community engagement, including consultation with the many community and voluntary groups in West Belfast. To facilitate planning surveys an event will be held at Casement Park on 3rd November 2012.

4.29 Engagement continues with the GAA’s legal advisors for the stadium project regarding completion of the security agreement. It is important that this issue is resolved speedily to ensure timely draw down of the Department’s funding.

4.30 RF informed the Sponsor Board that following the full Gate 2 Review carried out in early October, the project received an “amber” delivery confidence assessment rating. This indicates that successful delivery appears feasible but that significant issues already exist which require management attention, all of which appear resolvable at this stage. Four recommendations flowed from this review and the GAA working along with the Programme team will ensure these are implemented.

4.31 RF concluded by advising that the timescale for delivery remains challenging but achievable. It is important that progress is maintained on all fronts.

5.0 Discussion

5.1 The Minister thanked RF for her comments and opened the meeting for discussion.

5.2 SNH, referring to point 3.1 of the Update report and the potential of planning approval to be a major obstacle to the project, enquired what guarantees have been received from the Planning Service, the concern being that Planning Service may change the rules or shift the goal posts during the process.

5.3 NM advised that close contact will be maintained with the Planning Service to ensure that once the right documentation had been submitted at the right time, they complied with their undertakings in respect of the timetable.

5.4 Further discussion then followed regarding planning issues and the experience UBIRFU had of the process.

5.5 The Minister advised that she also would be keeping a tight rein on this issue at Ministerial level and had received assurances from Minister Attwood that planning would be kept on target.

5.6 JS advised that the IFA were very aware of the issues and what is required of them from Planning but that following the submission of the application this aspect of the project would need to be micromanaged.

5.7 TD advised that planning was the biggest driver for the GAA as without planning there was no project. Assurance was given that the GAA are working hard on this, along with the DCAL Programme team. There is awareness that the timeframe is tight and a realisation that the planning issue is critical.

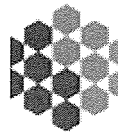
5.8 Minister concluded the discussions by reminding members of the challenges ahead and thanked all for their contributions.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 The Minister advised that a list of dates of future meetings had been issued and that the next meeting had been scheduled for Wednesday 14th November 2012.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 10 OCTOBER 2012

1. Programme and Project Governance

- i) The programme is in good health. Good progress is being made across all three projects.
- ii) Gateway Reviews have been taking place throughout September 2012. UBIRFU had a Gate 2 Healthcheck Review carried out on 14/15th September 2012. IFA had a Gate 2 Healthcheck Review on 16/17th September 2012. UCGAA had a Gate 2 Review on 3/4/5th October 2012. The Governing Bodies will be required to implement all recommendations arising from the gateway reviews.
- iii) A Programme Gate 0a Review commenced on 8th October 2012 and will be complete by 11th October 2012. The Programme Gateway Review will provide the Programme SRO with an assessment of the likelihood of successful delivery of the programme and its projects.

2. Programme Timelines and Spend

- i) UBIRFU has agreed and signed off on their programme timeline and spend profile. Progress remains good with expected completion by September 2014.
- ii) IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Progress remains good with expected completion by June 2015.
- iii) GAA programme timeline has been agreed and signed off by the Project Board. Progress remains good. The appointed design team, Mott MacDonald have produced a programme timeline that provides for full spend of the public funding within the CSR period and completion of the project by September 2015.
- iv) DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescales.

3. Planning Approvals

- i) The level of cooperation from SPD and the statutory agencies remains at a very high level.
- ii) Significant community consultation is taking place on the IFA and UCGAA projects.
- iii) UCGAA have now confirmed 3rd November 2012 as the date for the fixture to facilitate a full traffic assessment.

4. Funding Agreements

- i) Funding Agreements are on the critical path for all projects. The Funding Agreement for UBIRFU is very close to agreement and will be signed-off on 12th October 2012. The draft Agreement will act as a template Agreement for UCGAA and IFA.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- i) It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. The scale of the public sector investment in the stadium programme requires significant returns in terms of socio-economic and community benefits.
- ii) At construction stage the Governing Bodies will be required to include robust social clauses as a contractual obligation within the IST contract documentation. The social clause obligations have been agreed for the UBIRFU IST contract and include a requirement for:
 - Seven long-term unemployed to be engaged;
 - Four new apprenticeships to be engaged;
 - Two student placements to be engaged;
 - A minimum of 5% of the total workforce of contractors to be on recognised apprenticeships;
 - Five practical proposals post contract that will develop a range of social returns in the area.

The social clause obligations agreed with UBIRFU reflect a £14.7M investment in the Ravenhill project. The social clauses requirement within the UCGAA and IFA IST contract documentation will obviously be enhanced to reflect the scale of investment in these projects. The Governing Bodies must ensure that contractors deliver on these contractual commitments. The Department will robustly monitor delivery of same.

- iii) The Department is currently advising the Governing Bodies on delivery of socio-economic returns and community benefits post construction. The Governing Bodies will need to carry out community consultation to identify the needs of local communities and factor these needs into their plans around delivery of community benefits and socio-economic returns.

PROJECT UPDATES

6. UBIRFU / RAVENHILL

- i) Remains on target with full commitment of the public sector spend expected within the CSR period (provided that a significant procurement challenge is avoided.) Project completion anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) Tenders for the IST contract were received on 10th September 2012 and have been assessed. The Tender Report has been submitted to the Department. UBIRFU Project Board have signed off the Tender Report and the alcatel period commenced on 1st October 2012.
- iii) The final draft Funding Agreement was issued to UBIRFU on 14 September 2012 for final review and consideration. The Funding Agreement is to be executed in tandem with the appointment of the IST on 12th October 2012.
- iv) The full Business Case and Benefits Realisation Plan are currently being reviewed by the Department. The Full Business Case and Benefits Realisation Plan are expected to be approved in tandem with the IST appointment on 12th October 2012.
- v) Gate 3 Healthcheck was carried out on 14th/15th September and UBIRFU have received a 'green' delivery confidence assessment rating indicating that successful delivery of the project is highly likely.

Progress Against Milestones

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Behind schedule	FBC to be reviewed during the alcatel period and approved in tandem with the IST appointment on 12 th October 2012.
Funding Agreement signed of by DCAL & UBIRFU	12.10.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage
Appoint IST & prepare detailed design	12.10.12	On target	
Commence Construction	09.11.12	On target	
Complete Construction	01.09.14	On target	

7. IFA/ WINDSOR PARK

- i) Project is currently ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Design team (ICT) have developed Stage C design drawings for the Windsor Park stadium and are engaging with the principal stakeholders around further development of this design. First MAG Review took place on 15 August 2012 and the second review took place on 3 October 2012. Meetings have also taken place with Safety at Sports Grounds and Inclusive Stadia Advisory panels to allow for comments on the proposed design from disability groups and bodies that advise on Safety at Sports Stadiums.
- iii) Significant work has taken place around community consultation. An open community consultation day was held on 4th October 2012 during which members of the public provided comment in relation to the current design proposals. One of the outcomes of the consultation day was a request from the community for better event management on the approaches to the Stadium on match days.
- iv) The OJEU notice for the IST appointment has been agreed with the Department and was released on 10 August 2012, the closing date for PQQ returns was 17 September 2012. IFA will assess the PQQ returns during October 2012.
- v) Gate 2 Healthcheck was carried out on 16th/17th September and IFA have received an 'amber/green' delivery confidence assessment rating indicating that successful delivery of the project appears probable.

Progress Against Milestones

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed of by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	

Complete Construction	05.06.15	On target	
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8. GAA/ CASEMENT

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.
- ii) Mott MacDonald were appointed as the design team (ICT) for the project on 5th September and have commenced initial design and planning work.
- iii) The traffic assessment is critical for planning purposes. A date of 3rd November 2012 has been agreed for the fixture to take place to facilitate a full traffic assessment.
- iv) Engagement continues with GAA's legal advisors for the stadium project to conclude the required security agreement.
- v) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed of by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 14th November 2012, 11.00 am, at Causeway Exchange.**

Present

Members:

Chair:	Minister Carál Ní Chuilín
DCAL	Rosalie Flanagan (RF)
IFA	Jim Shaw (JS)
GAA:	Michael Hasson (MH)
UBIRFU	Sir Nigel Hamilton (SNH)

In attendance:

GAA:	Danny Murphy (DM)
UBIRFU:	Shane Logan (SL)
IFA:	Patrick Nelson (PN)
DCAL:	Cynthia Smith (CS) Colin Watson (CW - DCAL) Noel Molloy (NM) Ciaran McGurk (CM) Gerard Rushe (Sports Branch) Richard Nicholl (minutes)

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting. Apologies were received from Nick Harkness (SNI), Brett Hannam (SIB), Tom Daly (UCGAA), Les Caul (IFA), and Cecil Watson (IRFU). The Minister wished Cecil Watson best wishes for a speedy recovery.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 15 August 2012

3.1 The minutes of the last meeting were agreed.

4.0 Update Report

4.1 The Minister invited RF to comment on the update report.

4.2 RF, prior to addressing the three individual projects and the slippage which has occurred since the last Sponsor Board Meeting, reiterated some of the initiatives the department has taken over the last 10 months. These included bringing the Stadium Delivery into the Department, streamlining the governance arrangements to ensure delivery to the required timelines and inviting the IDM and the SRO of each governing body to the sponsor board to ensure that the messages of the Department were clearly understood. Emphasis was placed on the responsibility of all the attendees to the Sponsor Board meeting that these messages are delivered upon.

4.3 RF then addressed the three areas in which slippage had occurred since the last Sponsor Board briefing. Firstly, disappointment at the significant delays to the completion of the Ulster Rugby funding agreement, particularly in the light of the efforts of the DCAL stadium team delivering their side of the agreement on time. This experience demonstrated the need to ensure that all requirements, particularly those involving third parties, were brought under the control of the Governing Bodies to avoid delay, as these stages are on the critical path of the projects.

4.4 RF, secondly, reminded all that both she and the Minister at the last Sponsor Board meeting had reiterated the requirement that Governing Bodies share information with the Department as early as possible. Despite this, and repeated requests from the stadium team and a meeting between RF, the stadium team and the IFA over two weeks ago, cost plans for Windsor Park had still not been received. PN had written to promise their delivery by Monday 19th November. RF

emphasised that receipt of the cost plans is essential to the approvals process and the overall program for the project.

4.5 RF, thirdly, addressed the delay in the closing out of the security documents by both the IFA and UCGAA, which would allow the advance of further monies to their respective project teams. This situation needed to be remedied as soon as possible.

4.6 **UBIRFU**

4.7 RF advised that a very successful press launch had been held that morning at Ravenhill to announce the funding agreement and that the contractor would commence the work on the project in the coming weeks. The next phase of the project would be the monitoring of the construction programme to the agreed timeline, alongside the monitoring and implementation of the socio – economic returns as agreed. While the project was still likely to be delivered on time, a significant portion of float in the timetable for the programme has been used up and there is little scope for further delay.

4.8 **IFA**

4.9 RF advised that the IFA application for planning permission will be submitted on 3rd December, one week later than originally planned, but that the documents to be submitted have now been significantly updated.

4.10 IFA cost plans still have to be received, before the Department can allow the planning to be submitted. Likewise security documents for Windsor Avenue are awaited prior to further funding being released. The project can still be delivered on time but is contingent on the department receiving information as and when requested.

4.11 **GAA**

4.12 RF advised that the design team are progressing well, with an additional training requirement identified on the Management of the ICT. Security documents for Casement Park are still required before

further funds can be released. The traffic surveys have been completed at the recent charity match and there has been good participation at the community consultation which took place last night. The project can still be delivered to the timeframe but will require close monitoring and the timely delivery of information.

4.13 Programme Level

4.14 RF informed the Sponsor Board that the Department is continuing to work with each of the governing bodies in ensuring delivery to both the timelines and to the appropriate level of governance control, however, as previously mentioned the timely delivery of information is needed in order for the appropriate approvals to be given when required.

4.15 RF concluded by advising that over the coming months, the delivery of the socio-economic returns on Ravenhill will be monitored, with the socio-economic returns for both Windsor and Casement being developed over the same period.

5.0 Discussion

5.1 The Minister thanked RF for her comments and opened the meeting for discussion.

5.2 SL apologised for the delays and advised that the reasons for the delays were not issues of substance.

5.3 JS commented that the IFA take on board the issue of sharing information with the stadium team and will diligently attempt to provide such information, when required. The delay in providing the cost plans was due to further work being required, and this should have been communicated more clearly to the Department. The cost plans will be with the Department on Monday 19th November.

5.4 PN sought clarification on the issue around the IFA security documents.

5.5 NM clarified that the stadium team had completed their side of the work on the security documents and advised that it is critical for the IFA to

now get the information back to the Stadium Team as soon as possible.

- 5.6 DM advised that the GAA security documents have not yet been signed off and some work is still required on the wording of the mortgage documentation. This will be provided as soon as possible. PQQ slippage was not yet a critical issue. GAA hope to pass Stage C report three or four weeks ahead of schedule. While the GAA wholeheartedly agrees in principle with the social clauses, this proposal to scale up the Ravenhill numbers proportionately with the cost does raise some concern, as at a certain project cost level it can become untenable for contractors to fulfil. A formula to facilitate delivery would be helpful.
- 5.7 NM responded by advising that the best way to resolve the security documentation issue may be to hold round table discussions with solicitors involved on both sides to enable early closure of any outstanding issues. While it was conceded that the PQQ slippage was not critical, it needed to be resolved.
- 5.8 Minister requested further clarification on the concern over the social clauses issue.
- 5.9 DM advised that there would be an upper limit to the number of apprentices or long term unemployed that could be employed, given that employers had to keep themselves right in terms of employment law and health and safety requirements.
- 5.10 Minister responded that this is a huge challenge for everyone. The Sponsor Board is leading the way through this project, the conditions are in place and need to be worked through and delivered upon. She noted that it was important to facilitate contractors in fulfilling their obligations.
- 5.11 JS asked if Invest NI or other Departments were involved, and advised that they had been involved in the building of the South West Hospital, where they gave support to local businesses to enable them to benefit.

For example, smaller local businesses were enabled to come together as consortia in order to get contracts. The models are there and there is the potential for great benefit if carried out correctly.

- 5.12 Minister advised that through the Stadium project there is the potential to build up a pool of technical skills that can benefit our communities in the years ahead.
- 5.13 NM advised that the successful contractor must submit an Employment Plan within four weeks of starting date, setting out proposals for recruitment, deployment and retention of the employees and apprentices designated under the contract. This will allow the contractor to indicate when these positions will be filled and ensure they are spread throughout the lifetime of the contract.
- 5.14 Minister commented that it is important to keep in mind that the legacy of the stadium project is not just in the physical buildings, but it is also about the community and building up capacity in the community. Available models around the social clauses should be looked at in order to get more clarity and to determine what the consequences are for governing bodies.
- 5.15 SNH spoke regarding the Ravenhill funding announcement, highlighting its significance as a milestone for all three projects showing that hurdles have been overcome and difficulties resolved. As a member of the Sponsor Board, he congratulated all involved in getting to this point.
- 5.16 Minister concurred that it had been a positive day for sport, and that the Ravenhill announcement is a sign that the Stadium programme is beginning to deliver for sport what sport needs – new facilities. While it is a good start there is a long way to go, but continued leadership and good governance will lead sport to where it should be.
- 5.17 The Minister reminded the Sponsor Board of her obligation to assure executive colleagues that the CSR spend requirement can be met and emphasised the urgent need to maintain progress. A letter will be

issued to Minister Attwood to ensure planning issues are prioritised and the Minister reiterated the need to share information with the stadium team when requested.

- 5.18 The Minister commended the huge amount of work being done by the Governing Bodies and within the Department.
- 5.19 NM advised that the next big milestone will be the IFA putting in their planning application and then the GAA getting through Stage C.
- 5.20 RF emphasised the importance of progressing with the community consultations.
- 5.21 DM advised that the GAA community consultation event held on 13th November was a big success with one hundred and sixty responses received.
- 5.22 DM asked about demarcation lines between the Department's work on the stadium programme and where Belfast City Council could become involved.
- 5.23 Further discussion followed regarding the synergies between the stadiums and Belfast City Council's leisure provision in the immediate vicinity of the stadiums. NM advised that the Council are aware of the Stadium Programme and the timeframes within which it was operating. He welcomed any discussions the Governing Bodies were having with Belfast City Council, but against this backdrop the programme timetable needed to be adhered to and could not be compromised by other development activity.
- 5.24 The Minister advised that the stadium team would come back with something more definitive to clarify the situation.
- 5.25 SL advised the IFA and GAA that, after planning, the greatest time delays experienced by Ulster Rugby came from the involvement of lawyers and getting legal agreements finalised.

5.26 NM agreed and advised that the best way to resolve this problem was round table discussion where issues could be thrashed out and decisions made.

5.27 SNH expressed his delight at the attendance of DM at the Sponsor Board Meeting following a period of ill health.

5.28 DM thanked SNH and the Board for their good wishes.

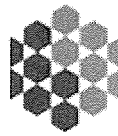
5.29 Minister thanked all at the meeting for their very helpful contribution and wished the IFA representatives good luck for the match against Azerbaijan that evening.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 The Minister advised that the date for the next meeting was scheduled for Wednesday 9th January 2013.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 14 NOVEMBER 2012

1. Programme and Project Governance

- i) The programme is in relatively good health. However some slippage has emerged against the target programmes for each of the three sports in recent weeks.
- ii) Gateway Reviews appropriate to the stage of each project were undertaken and reports delivered to each Governing Body during September and October 2012. UBIRFU received a delivery confidence rating of 'green' arising from the Gate Three 'investment decision' Review. UCGAA received a delivery confidence rating of 'Amber' arising from the Gate Two 'delivery strategy' Review. IFA received a delivery confidence rating of 'Amber/Green' arising from the Gate Two (healthcheck only) 'investment decision' Review.
- iii) A Programme Gate 0a Review was completed in October 2012. The Programme Gateway Review provided the Programme SRO with an assessment of the likelihood of successful delivery of the programme and its projects and recorded an Amber/Green delivery confidence assessment (*'successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery'*).

2. Programme Timelines and Spend

- i) UBIRFU has agreed and signed off on their programme timeline and spend profile. Despite a three week delay in the appointment of the IST, the project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period (provided that a significant procurement challenge is avoided). Project completion is anticipated in September 2014.
- ii) IFA has agreed and signed off on their programme timeline and spend profile indicating full spend of the public funding within the CSR period. Despite some slippage in the planning submission dates expected completion remains at June 2015. Updated Cost Reports have not been submitted to DCAL as of 7 November 2012. This has been repeatedly requested by the Stadium Team and DCAL Programme SRO. Failure to provide this information could threaten delivery.
- iii) GAA programme timeline has been agreed and signed off by the Project Board. The appointed design team, Mott MacDonald have produced a programme timeline that provides for full spend of the public funding within the CSR period and completion of the project by September 2015. Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed.
- iv) DCAL Programme team will continue to monitor the progress of the various projects and will raise early warnings of any slippage against timescale.

3. Planning Approvals

- i) The level of cooperation from SPD and the statutory agencies remains at a very high level.
- ii) Significant community consultation is currently taking place on the IFA project and beginning on the UCGAA project.
- iii) The IFA are scheduled to submit their planning application on 3rd December 2012. In the coming weeks significant work will need to be carried out with regard to planning.
- iv) The GAA are scheduled to submit their planning application on 25th March 2013. The fixture to facilitate a full traffic assessment was held at Casement Park on 3rd November and a crowd of 18,662 was in attendance. This fixture was critical for planning purposes.

4. Funding Agreements

- i) Funding Agreements are on the critical path for all projects. The Funding Agreement for UBIRFU was issued by DCAL on 16 October 2012.
- ii) The Agreement issued to UBIRFU will act as a template Agreement for UCGAA and IFA.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- i) It is imperative that the Governing Bodies deliver on opportunities to maximise the wider socio-economic returns and community benefits from their projects. The scale of the public sector investment in the stadium programme requires significant returns in terms of socio-economic and community benefits.
- ii) At construction stage the Governing Bodies will be required to provide for the delivery of social benefits through the IST contract. UBIRFU achieved this through the provision of compulsory performance clauses within the contract. Scoring criteria reflecting the delivery of social benefits are being developed for IFA and GAA construction competitions, with minimum performance standards embedded in the contracts.
- iii) The social clause obligations which UBIRFU IST will provide are:
 - Seven long-term unemployed to be engaged;
 - Four new apprenticeships to be engaged;
 - Two student placements to be engaged;
 - A minimum of 5% of the total workforce of contractors to be on recognised apprenticeships;
 - Five practical proposals post contract that will develop a range of social returns in the area.

Minimum performance standards for the IFA contract are currently being agreed, and will reflect the scale of public intervention on this project. The Governing Bodies will ensure that contractors deliver on

- these contractual commitments. The Department will robustly monitor delivery of same.
- iv) The Department is currently advising the Governing Bodies on delivery of socio-economic returns and community benefits post construction, which are then developed into a 'Benefits Realisation Plan'. The Governing Bodies are carrying out community consultation to identify the needs of local communities and factor these needs into their plans around delivery of community benefits and socio-economic returns.

PROJECT UPDATES

6. UBIRFU / RAVENHILL

- i) Despite a three week delay in appointment of the IST as a result of the delay in acceptance of the Funding Agreement by UBIRFU and IRFU, the project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period (provided that a significant procurement challenge is avoided). Project completion is anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) The project programme date for appointment of IST was 12 October. Approvals by DCAL of the FBC and benefits realisation plan for the project, and acceptance of the Funding Agreement by UBIRFU and IRFU were all required in advance of this critical appointment.
- iii) The submission by UBIRFU of the FBC and benefits realisation plan, and acceptance of the draft Funding Agreement by UBIRFU and IRFU were all achieved behind programme dates. DCAL recognised the urgency of approving these critical matters, and worked extensively with UBIRFU to accommodate their requirements. This compression of timescale on such key documents is not desirable and is not a situation that DCAL wishes to see repeated.
- iv) The FBC and Benefits Realisation Plan were approved on 12 October by DCAL, subject to completion of final corrections, which were received on 16 October.
- v) DCAL issued a Funding Agreement to UBIRFU on 16 October. The Funding Agreement was finally executed on 6 November. An unplanned delay in acceptance of the Funding Agreement by UBIRFU and IRFU was experienced due to the decision by IRFU that a Committee meeting would be required to authorise acceptance, and in addition, following this meeting a series of administrative errors prevented a fully executed document being returned to DCAL until 6 November.
- vi) DCAL does not wish to see such a circumstance repeated, and would draw to UBIRFU and IRFU's attention the remaining 'conditions precedent' which will require rigorous attention to detail in order to fully demonstrate compliance and permit any payment to be made under the Funding Agreement.
- vii) Gate 3 Healthcheck was carried out on 14th/15th September and UBIRFU have received a 'green' delivery confidence assessment rating indicating that successful delivery of the project is highly likely.

viii)The IST was appointed on 6 November, which is a 3 week delay on the proposed date of 12 October. The delay arose as a result of the circumstances described above. UBIRFU have taken pro-active steps with the IST to reduce the impact of this delay on the overall programme.

Progress Against Milestones (UBIRFU / RAVENHILL)

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC was approved 12 th October 2012, subject to final corrections which were completed 16 October.
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay to appointment of IST due to late submission to DCAL of accepted Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	26.11.12	Mobilisation commences 12.11.12. UBIRFU have undertaken mitigation measures with IST to retain overall programme delivery.
Complete Construction	01.09.14	On target	

7. IFA/ WINDSOR PARK

- i) Despite some slippage in planning submission dates the project is currently slightly ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) Updated Cost Reports have not been submitted to DCAL as of 7 November 2012. This has been repeatedly requested by the Stadium Team and DCAL Programme SRO. This information is necessary to allow the Department to sign-off approvals for the projects to move on to their next development stage, and ultimately failure to provide this information can threaten delivery.
- iii) Design team (ICT) have developed Stage C design drawings for the Windsor Park stadium and are engaging with the principal stakeholders around further development of this design. Three MAG Reviews have taken place with the final review meeting taking place on 6th November 2012. Meetings have also taken place with Safety at Sports Grounds and Inclusive Stadia Advisory panels to allow for comments on the proposed design from disability groups and bodies that advise on Safety at Sports Stadiums.
- iv) Significant work has taken place around community consultation. An open community consultation day was held on 4th October 2012 during which members of the public provided comment in relation to the current design proposals. One of the outcomes of the consultation day was a request from the community for better event management on the approaches to the Stadium on match days.
- v) The OJEU notice for the IST appointment has been agreed with the Department and was released on 10 August 2012, the closing date for PQQ returns was 17 September 2012. IFA have carried out the assessment of the PQQ returns and are compiling a report on this at present.
- vi) Gate 2 Healthcheck was carried out on 16th/17th September and IFA have received an 'amber/green' delivery confidence assessment rating indicating that successful delivery of the project appears probable.
- vii) The IFA are scheduled to submit their planning application on 3rd December 2012. In the coming weeks significant work will need to be carried out in this regard.

Progress Against Milestones (IFA)

Item	Proposed Date	Update	Comment
ICT Develops Design to RIBA Stage E	21.12.12	On target	Currently on target. Dates to be
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed of	24.07.13	On target	

by DCAL & IFA			monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

8. GAA/ CASEMENT

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable.
- ii) Mott MacDonald were appointed as the design team (ICT) for the project on 5th September and have commenced initial design and planning work.
- iii) The Stage B Report has been completed and was signed off by the GAA on 19th October 2012. GAA have picked a preferred option to be developed further, the Cost Plan has been developed and the Stadium Team have requested a copy of this. Some slippage has emerged in relation to preparation and issue of the PQQ pack. This slippage needs to be addressed immediately to prevent the overall programme being impacted.
- iv) The traffic assessment was critical for planning purposes. A planned event took place on 3rd November 2012 to facilitate a full traffic assessment.
- v) Engagement continues with GAA's legal advisors for the stadium project to conclude the required security agreement. This has not been closed out despite many weeks of effort.
- vi) The GAA are scheduled to submit their planning application on 25th March 2013. The GAA's planning consultants (RPS) have started their community consultations and have developed a Consultation Strategy to take the project forward.
- vii) The GAA programme timeline remains challenging and will require an aggressive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Currently on target. Dates to be monitored on an on-going basis for slippage.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed of by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 9th January 2013, 11.00 am, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL Rosalie Flanagan (RF)

IFA Jim Shaw (JS)

GAA: Michael Hasson (MH)

In attendance:

**GAA: Tom Daly (TD)
Danny Murphy (DM)**

**UBIRFU: Shane Logan (SL)
Cecil Watson (CW)**

IFA: Les Caul (LC)

**DCAL: Cynthia Smith (CS)
Colin Watson (CW - DCAL)
Noel Molloy (NM)
Ciaran McGurk (CM)
Gerard Rushe (Sports Branch)
Jarlath Kearney (Special Advisor)
Richard Nicholl (minutes)**

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting. Apologies were received from Sir Nigel Hamilton (UBIRFU), Patrick Nelson (IFA), and Brett Hannam (SIB).

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 14 November 2012

3.1 The minutes of the last meeting were agreed.

4.0 Update Report

4.1 The Minister expressed her concern that there had been some slippage in the target programme for the GAA project and emphasised the importance, across all three projects, that design teams and contractors are managed effectively to ensure successful delivery.

4.2 The Minister thanked the IFA for their work in reaching the significant milestone of submitting their planning application and encouraged continued attention to community consultation issues to ensure approval of the application.

4.3 Likewise the Minister urged the GAA to maximise the community consultations to as wide a range of groups and individuals as possible throughout West Belfast and the wider Stadium area.

4.4 The Minister noted that the Rugby IST Contractor is now on site and requested that UBIRFU, at the next Sponsor Board meeting, report on the progress of the contractor in fulfilling contractual obligations, relating to the delivery of social benefits.

4.5 The Minister then invited RF to comment on the report.

4.6 Programme Level

4.7 RF stated that the programme is facing a number of challenges. As much of the responsibility for delivery to timescales across the programme will lie with the ICT and IST teams on each project, all three sports were strongly encouraged to continuously review the effectiveness of their project delivery team, particularly around the management of the ICT. Any slippage by the ICT or IST should be addressed immediately.

4.7 RF advised that she shared the Minister's concern that some slippage on the GAA project has emerged and emphasised the expectation of

the department that this slippage is kept to a minimum and that any time lost is recovered.

- 4.8 Planning remained a key Programme risk and the on-going community consultation process for the IFA and GAA is vital to the successful delivery of planning approvals.
- 4.9 RF advised that she had been in touch with Belfast City Council regarding the Master-Plan being developed for the wider sites in and around Windsor Park and Casement Park which will be important in generating further community support for the Stadium projects.
- 4.10 Referring to the Minister's emphasis on the importance of delivery of social benefits, RF advised that she had written to the Department for Employment and Learning, Belfast City Council and Invest NI to request co-operation around training for potential sub-contractors on the Stadium projects. This work will be further developed by the Stadium Team at a meeting arranged with these agencies for mid January.
- 4.11 RF informed the meeting that she had issued a note to other Departments seeking information on any programmes or plans they had in the vicinity of the Stadiums in order to ensure that all opportunities for cross-Departmental co-operation is investigated to ensure maximum delivery of benefits.
- 4.12 **UBIRFU Project**
- 4.13 RF advised that the project remained on target for completion by September 2014. The contractor had been on site since 26th November 2012 and work has been progressing well.

4.14 The Department had submitted an easement of £451,122 as part of the January Monitoring Round process. This easement is a result of re-profiling across the period.

4.15 **IFA Project**

4.16 The project remained on track for completion in June 2015, the Planning Application having been submitted on 6th December 2012. RF thanked the IFA for their work in reaching this milestone. Careful management of community concerns around planning issues need to remain a priority during consideration of the planning application.

4.17 The next vital milestone for the project will be the release of the 'Invitation to Tender' documents to the six shortlisted contractors. During January 2013 the Stadium team will liaise with IFA to conclude the scoring criteria for award of the IST contract.

4.18 Agreement had been reached between DCAL and IFA on the interim form of mortgage and charge on the project. RF requested that IFA have this executed and returned to the Department as soon as possible.

4.19 **GAA Project**

4.20 The project remained on track for completion in September 2015, although significant challenges still exist with regard to planning and procurement processes.

4.21 RF reiterated the Minister's concerns that slippage had occurred around the need to revisit Stage C design proposals and the late publishing of the PQQ. Three deadlines had already been missed. She said it was important that the GAA were urged to publish the PQQ by the end of the week.

- 4.22 RF emphasised the requirement for the GAA to ensure this slippage is kept to a minimum and that any time lost is recovered to keep the overall target programme on track. The Department will keep close contact with the GAA SRO prior to a critical meeting with planners the following week to ensure that the requirements of the planners are addressed in advance of this meeting.
- 4.23 RF advised that robust daily face to face management of the ICT, during this critical phase up to the issuing of tender was vital to ensure the delivery of the project to the target programme. Any issues needed to be dealt with quickly and escalated up through the project and programme structures immediately.
- 4.24 RF emphasised the crucial need for extensive community consultation if planning approval is to be obtained. The master-plan for the Casement area should be used to grow further community support for the project. Planning issues around Casement will remain sensitive. The GAA should therefore emphasise the significant sporting, cultural, social and regeneration benefits derived from a new Stadium at all times.
- 4.25 Security on Casement Park has now been executed by GAA Trustees. RF thanked the GAA for their co-operation in having this important document executed.

5.0 Discussion

- 5.1 The Minister thanked RF for her comments and opened the meeting for discussion.
- 5.2 TD advised that the planners had required additional design detail, detail which would normally be sought at a later stage in the process. This had caused some delay but pressure had been put on the ICT and the design team had made a presentation to the GAA Programme Board which they are confident will answer the planners queries. A further meeting with the planners is scheduled for the following week at which the revised drawings will be presented.

- 5.3 TD commented that this was a major project in a residential area and that the GAA were depending on the ICT to mitigate the issues which will inevitably arise from the building of a provincial stadium.
- 5.4 The delays to the GAA project brought about by the planning issues led to some slippage regarding the publishing of the PQQ. The drafts have now been agreed and the GAA are ready to go to market, however CPD have advised that it will be a further week before they can grant approval. While the GAA welcome CPD's involvement they would prefer to move forward with this issue this week, but CPD backing is required prior to going to market.
- 5.5 NM said that he had met with TD regarding the CPD issue and will be applying pressure to CPD to move things forward and to ensure CPD fulfil their obligations.
- 5.6 TD advised that the GAA had some concerns regarding the performance of the ICT. A formal letter has been issued and meetings arranged to resolve these issues.
- 5.7 SL advised that the UBIRFU have put in place processes for monitoring social clause obligations regarding the number of apprentices and numbers employed etc and this will be reviewed against plan.
- 5.8 SL commented that the wording of paragraph 6.3 in the update report regarding the re-profiling of the expenditure across the period could lead to misunderstanding.
- 5.9 NM agreed that the wording of the update report could have been clearer and is clarified by RF's comments with regard to this being a re-profiling issue.
- 5.10 JS advised that community consultation had continued up until the submission of the IFA planning application. The next big milestone for the project is the appointment of IST in March.

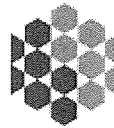
5.11 The Minister encouraged the IFA to continue working with BCC on the master plan being developed for the wider site in and around Windsor Park.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 The Minister advised that the date for the next meeting was scheduled for Wednesday 20th February 2013, and thanked all in attendance for their contributions to the meeting.



UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 9 JANUARY 2013

1. Programme and Project Governance

- i) The programme is facing a number of challenges. Some slippage emerging against the revised programme for the GAA in the New Year.
- ii) The three projects have implemented the Gateway recommendations .
- iii) The Department have received a Freedom of Information (FOI) request from Crusaders Football Club which queries 'State Aid' and DCAL are dealing with the response through DSO.

2. Programme Timelines and Spend

- i) For UBIRFU, the project as a whole remains on target, with full commitment of the public sector spends expected within the CSR period. Project completion is anticipated in September 2014.
- ii) For IFA, despite some slippage in the planning submission dates, expected completion remains at June 2015. The cost plans have been provided and the planning application was submitted on 6th December 2012.
- iii) GAA programme timeline has been agreed and signed off by the Project Board. The appointed design team, Mott MacDonald have produced a programme timeline that provides for full spend of the public funding within the CSR period and completion of the project by September 2015. Despite a number of revised programmes slippage is emerging in relation to development of the Stage C design proposals. This slippage needs to be addressed quickly and successfully to ensure that this slippage does not impact on the overall target date for completion.

3. Planning Approvals

- i) The Minister has written to Alex Atwood, Minister of DOE, to encourage the planning service to actively engage with the relevant stadium teams to ensure delivery of the programme.
- ii) The level of cooperation from SPD and the statutory agencies remains at a very high level.
- iii) The IFA submitted their planning application on the 6th December 2012.
- iv) The GAA are scheduled to submit their planning application on 25th March 2013.
- v) Significant community consultation has already taken place on the IFA project and on balance the feedback has been positive. Community

consultation on the GAA project has commenced and will become more significant going forward.

- vi) The Department have met with Belfast City Council on a number of occasions and master-plans are currently being developed for the GAA and IFA projects which will consider future regeneration opportunities in and around the Stadium sites. These master-plans will further enhance the areas in the immediate vicinity of the stadiums and ensure the stadiums become part of the community.

4. Funding Agreement

- i) Templates have been issued to the Governing Bodies.

5. Social Clauses, Socio-Economic Returns and Community Benefits

- i) At construction stage the Governing Bodies will be required to provide for the delivery of social benefits through the IST contract. The IST contractor on the Rugby project, in liaison with DCAL, is currently putting in place their Employment Plan for the delivery of social benefits and a report on progress would be expected at the next Sponsor Board meeting.
- ii) Social clause award criteria for the IST contract are currently being developed between the Department and the IFA and will be in place by the end of January 2013.
- iii) Following discussion at the last Sponsor Board meeting DCAL has written to DEL, Invest NI and Belfast City Council to request co-operation in advising, training and preparing future potential sub-contractors to assist in the successful delivery of the required social benefits of the programme. A meeting has been arranged for mid January with these agencies to further develop these proposals.

PROJECT UPDATES

6. UBIRFU / RAVENHILL

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Project completion is anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) Gilbert Ash NI Ltd were appointed as contractor for the redevelopment of the Ravenhill Stadium on 6th November 2012 and construction works commenced on site on 26th November 2012.
- iii) A revised spend profile has been submitted to DCAL. An easement of £451,122 has been identified as a result of the project tender coming in under budget. This easement has been included in the January Monitoring Round process.

- iv) The Funding Agreement was formally executed on 6 November 2012. No payments of grant will be made under the funding agreement until all of the 'conditions precedent' has been met to DCAL's satisfaction. Whilst this action is not yet closed out a significant amount of detailed information has been submitted by UBIRFU – DCAL is currently reviewing this information.
- v) The first IST assessment/invoice has been issued at the end of December 2012.
- vi) UBIRFU have implemented the recommendations made within the Gate 2 Healthcheck report.

Progress Against Milestones (UBIRFU / RAVENHILL)

Item	Proposed Date	Update	Comment
IST Return of Tenders	10.09.12	Completed	Tenders received on 10 th Sept 2012
DCAL sign off FBC	01.10.12	Completed	FBC was approved 12 th October 2012, subject to final corrections which were completed 16 October.
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	26.11.12	Construction commenced 26.11.12. UBIRFU have undertaken mitigation measures with IST to retain overall programme delivery targets.
Complete Construction	01.09.14	On target	

7. IFA/ WINDSOR PARK

- i) Despite some slippage in planning submission dates the project is currently a few weeks ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Project completion anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) The IFA submitted their planning application on 6th December 2012. As part of the planning submission, the stadium design has been developed to RIBA Stage D.
- iii) The design to Stage D has integrated the detailed requirements of various stakeholders including the IFA, Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- iv) Three MAG reviews have taken place and written feedback from the group has been integrated into the proposals to date.
- v) DCAL and BCC are commissioning a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre.
- vi) The closing date for PQQ returns was 17 September 2012. The IFA have carried out an assessment of the IST PQQ's and have produced a PQQ report which recommends six Economic Operators moving to the next stage of the competition. Award criteria will be agreed with the Department in January with Invitations to Tender issued in February.
- vii) Agreement has been reached on an interim approach to security between DCAL and IFA and this interim mortgage and charge has now been released to the IFA, who will arrange for its execution and return to DCAL. Final security will be executed prior to release of Funding Agreement.
- viii) IFA have implemented all of the recommendations made within the Gate 2 Healthcheck Report.

Progress Against Milestones (IFA)

Item	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	
Commence Construction	19.08.13	On target	
Complete Construction	05.06.15	On target	

7. GAA/ CASEMENT

- i) GAA programme timeline has been agreed and signed off by the Project Board and indicates full spend of the public funding within the CSR period with project completion by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) The GAA's design team have produced a programme timeline that confirms that these dates are achievable. However some slippage on the programme will now arise around the delay in completing Stage C design proposals and robust management of the ICT by GAA will be required if the GAA are to meet the target programme dates.
- ii) The design team (ICT) have developed the stadium design to RIBA stage B - Design Brief and a preferred option selected and signed off by the UCGAA project board on the 19th October 2012. This is documented in the Stage B Report dated 15th October 2012.
- iii) The Stage B design was subsequently developed in readiness for a stage C - Concept Design submission. Feedback from the Strategic Planning Department has been received against the preliminary Stage C proposals and this has resulted in the design team revisiting the overall design to balance the requirements contained within the Project Brief against planning requirements.
- iv) The current design has begun to integrate the detailed requirements of Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- v) A MAG review has taken place to be followed up with a second review following completion of the Stage C report in the New Year.
- vi) DCAL and BCC are commissioning a master-plan to consider future regeneration of the wider context adjacent to the Andersonstown Road and the Andersonstown Leisure Centre is also being developed.
- vii) Security on Casement Park has been executed by the Trustees and DCAL is in possession of the original mortgage and charge. DCAL will complete execution of this charge following conclusion of the outstanding release of the DOE prior charge which is being addressed by DSO. GAA are now in a position where they can successfully draw down funds in excess of £250,000.
- viii) The GAA are scheduled to submit their planning application on 25th March 2013. The GAA's planning consultants (RPS) have started their community consultations and have developed a Community Consultation Strategy. On-going proactive management of the community consultation process will be required.
- ix) GAA have implemented all of the recommendations made within the Gateway 2 Report.

- x) Despite a number of revised programmes the PQQ has still not been issued which may further delay the tender process.
- xi) The GAA programme timeline is increasingly coming under pressure and will require a proactive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period due to challenge from unsuccessful Economic Operator. Overall programme still on target.
ICT Develops Design to RIBA Stage E	30.04.13	On Target	Key targets are in danger of slippage and items need to be expedited to ensure delivery.
Planning Approval received	20.12.13	On Target	
IST Invitation to Tender	01.04.13	On Target	
DCAL sign off FBC	02.09.13	On Target	
Funding Agreement signed off by DCAL & UCGAA	02.09.13	On Target	
Appoint IST & prepare detailed design	02.09.13	On Target	
Commence Construction	02.01.14	On Target	
Complete Construction	30.09.15	On Target	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 20th February 2013, 11.30 am, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL : Rosalie Flanagan (RF)

IFA: Jim Shaw (JS)

GAA: Michael Hasson (MH)

UBIRFU: Sir Nigel Hamilton (SNH)

In attendance:

GAA: Tom Daly (TD)
Danny Murphy (DM)

UBIRFU: Cecil Watson (CW)

IFA: Patrick Nelson (PN)
Les Caul (LC)

DCAL: Colin Watson (CW - DCAL)
Noel Molloy (NM)
Ciaran McGurk (CM)
Gerard Rushe (Sports Branch)
Richard Nicholl (minutes)

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting. Apologies were received from Shane Logan (UBIRFU), Cynthia Smith (DCAL), Nick Harkness (SNI) and Brett Hannam (SIB).

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 9 January 2013

3.1 The minutes of the last meeting were agreed.

4.0 Update Report

4.1 The Minister congratulated the IFA on the announcement of the granting of planning permission for the redevelopment of Windsor Park. It was a good day for the IFA in reaching this milestone and a good day for the Stadium Programme.

4.2 The Minister also noted the significant step forward made by the GAA reaching sign-off on the Stage C design and that it was good to be moving beyond talking about the new stadium to seeing the actual plans and scale models. The Rugby project was also progressing on site with no significant issues to date.

4.3 The Minister advised that significant challenges remain in the months ahead, particularly for the GAA and IFA, where the possibility of procurement challenges during the IST procurement process remains. GAA and IFA were reminded to ensure that all Departmental and legal advice was adhered to.

4.4 The Minister then invited RF to provide the SRO update.

4.5 Programme Progress

4.6 RF stated that the programme had made good progress in the last month and thanked the IFA for the work done in reaching the important milestone of planning approval. RF also recorded thanks to the Planning Service for the part they played in this achievement.

4.7 RF advised that significant progress was still needed around procurement of IST contractors, Business Case approvals and Funding Agreement approvals in the coming months to ensure that the good progress to date by the UCGAA and IFA continued.

4.8 DCAL was liaising with other Government Departments to identify and promote any opportunities that might maximise the delivery of

community, socio-economic and educational benefits, in and around the stadium sites.

4.9 Programme Spend

4.10 RF advised that the financial year end is fast approaching and that there was some under-spend across the UBIRFU and UCGAA projects. The two Governing Bodies were encouraged to work closely with the Department over the coming weeks to ensure target spends are met.

4.11 Programme Timelines

4.12 The UBIRFU project as a whole remained on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction work is anticipated in September 2014.

4.13 The receipt of planning approval for the IFA allows the expected completion of the construction work to remain on target for June 2015.

4.14 A revised programme timeline has been agreed for the UCGAA, and has been signed off by the Project Board. This provides for four extra weeks to submit the planning application on account of time lost in relation to the need to revisit the Stage C design proposals. Completion of construction work is still anticipated in September 2015.

4.15 Planning Approvals

4.16 RF advised that the IFA planning approval has been received, while the expected submission date to submit the UCGAA planning application was 29th April 2013.

4.17 UCGAA were encouraged to maintain their focus on community consultation, which is vital in securing planning permission.

4.18 **Funding Agreements**

4.19 Dates have been agreed for the drafting and finalisation of the Funding Agreements. RF advised UCGAA and IFA of the vital importance of adhering to their timetables as this matter is on the critical path.

4.20 RF also highlighted that the IFA and UCGAA need to ensure through their own internal governance structures, timely sign-off on the Funding Agreement.

4.21 **Business Cases**

4.22 RF emphasised the importance of IFA and UCGAA proceeding quickly with the development of the Business Cases as these again are on the critical path for both projects, and some time has already been lost. IFA need to have sign off on the Full Business case by 24 July 2013 and UCGAA by 1 September 2013.

4.23 **Communication Protocols**

4.24 RF reminded all three sports that it was essential to adhere to the communication protocols around notification to the Department of timelines for upcoming events and press releases.

4.25 **Procurement**

4.26 RF advised that as the IFA and UCGAA are at critical stages in the procurement process for the Windsor Park and Casement Park projects, the two Governing Bodies need to ensure that all Departmental advice, in relation to procurement, is followed closely to avoid the risk of procurement challenge.

4.27 Social Clauses, Socio – Economic Returns and Community Benefits

4.28 An Employment Plan for the delivery of Social Benefits has been developed by the IST contractor on the rugby project, in liaison with DCAL.

4.29 RF advised that, in order to ensure that opportunities are targeted at those with the greatest objective need, the Department is currently reviewing the plan, which contains a range of opportunities for long-term unemployed and apprentices.

4.30 The Department and the IFA are very close to agreement on Social Clause award criteria for the IST contract and this will form part of the ITT tender documents which are due to go out in the coming weeks.

4.31 RF advised that the Department has shared initial information with the UCGAA around the development of social clause award criteria and that work will continue in the coming months ahead of the ITT.

4.32 UBIRFU / Ravenhill

4.33 RF advised that the project remained on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction work is anticipated in September 2014.

4.34 The “conditions precedent” in the Funding Agreement have been addressed to the satisfaction of DCAL and the first IST grant payment was released by DCAL on 6 February 2013.

4.35 RF noted that there was some under-spend on the project and encouraged the UBIRFU to work closely with the Department in the coming weeks to ensure the target spend is met.

4.36 **IFA / Windsor Park**

- 4.37 RF advised that the project remained on target and completion of the construction work is anticipated in June 2015.
- 4.38 RF advised that Belfast City Council have gone out to Community Consultation looking at the potential for future regeneration of the wider site, and emphasised the importance of both the IFA and DCAL putting pressure on the Council to ensure that previously agreed timescales are kept within stadium programme timelines.
- 4.39 The award criteria for the ITT stage of the IST procurement are close to agreement with the Department with the ITT due to be released to the five shortlisted contractors prior to the end of February. RF thanked the IFA for their continued co-operation with the Department on these matters.
- 4.40 RF advised that the interim mortgage and charge around Windsor Avenue has now been executed and returned to DCAL, while the final security will be executed prior to the release of the Funding Agreement.
- 4.41 RF acknowledged the significant work undertaken to date but raised some areas of concern. In recent weeks, invoices relating to small procurements have been submitted without the appropriate tender documentation having been attached. RF emphasised that the Department required the procurement approach to be approved in advance of work being done.
- 4.42 RF advised that approval of the Full Business Case and the Funding Agreement is vitally important in allowing the project to be progressed and encouraged the IFA to apply the necessary resources to ensure that these issues are addressed.

- 4.43 A reminder letter will shortly be issued to the IFA regarding items of documentation still outstanding. Permission to release the ITT documents and ongoing development costs are subject to this information being received.
- 4.44 **UCGAA / Casement Park**
- 4.45 RF advised that a revised GAA programme timeline has been agreed and signed off by the Project Board. The revised programme still indicates full spend of public funding within the CSR period with anticipated completion of construction by September 2015. Continuing robust management of the ICT will be required if the target programme dates are to be met.
- 4.46 RF advised that good progress has been made. Strategic Planning Division provided positive feedback on the Stage C proposals and these have now been formally approved by the GAA, and the project has moved to Stage D design.
- 4.47 The Planning Application is due to be submitted on 29 April 2013. The second stage of community consultation is currently ongoing, and will prove critical in determining the course of the Planning Application.
- 4.48 RF informed the Board that Belfast City Council have gone out to consultation around a master-plan to consider future regeneration of the wider area surrounding the Stadium site. Again the importance of any Council proposals tying in with Casement Park Stadium timelines was emphasised.
- 4.49 RF advised that as under-spend on the project is apparent, it is vital for the UCGAA to have robust financial and monitoring systems in place to track spend. UCGAA were encouraged to work closely with the Department in the coming weeks to ensure that urgent spend is achieved.

- 4.50 The IST PQQ pack was issued on 15 January 2013 with a return date of 22 February 2015 for interested contractors. RF reminded UCGAA to ensure that all procurement advice, from the Department, is implemented to mitigate the risk of potential procurement challenge.
- 4.51 RF reiterated that the UCGAA programme timeline remained under pressure and that a proactive delivery strategy was required to ensure compliance to the programme.
- 4.52 RF advised that the Department is in the process of issuing a letter to UCGAA detailing several items of documentation which remain outstanding. Permission to release ITT documents and ongoing development costs are subject to these documents being received.
- 4.53 RF advised that approval of the Full Business Case and the Funding Agreement is vitally important in allowing the project to be progressed and encouraged UCGAA to apply the necessary resources to ensure that these issues are addressed.

5.0 Discussion

- 5.1 The Minister thanked RF for her comments and opened the meeting for discussion.
- 5.2 SNH, speaking as a Sponsor Board member, congratulated the IFA on reaching the planning in the project and noted that escalating the project with the Planning Minister has proved a hugely successful strategy.
- 5.3 TD also offered congratulations to the IFA regarding the granting of planning permission. UCGAA view granting of planning permission as a critical milestone in the project and he thanked the DCAL Stadium Team for their guidance in the matter thus far.

- 5.4 JS thanked all for their kind words and noted that this morning's successful announcement on Windsor Park planning permission was due to co-operation, commitment and fast track planning
- 5.5 CW also congratulated the IFA on their good news and then pointed out the other good news story of construction works beginning at Ravenhill.
- 5.6 The Minister agreed that it was good to see some physical evidence of the stadium project – that it was encouraging to see some tangible evidence of the programme being delivered.
- 5.7 PN queried the Permanent Secretary's reference to the Department's withholding permission for release of ITT until a draft of the business case has been received.
- 5.8 NM clarified that evidence of progress around the business case was needed. If this evidence was provided, release of ITT would be approved.
- 5.9 TD advised that consultants have now been appointed and that the documentation issues referred to by the Permanent Secretary will be looked at and addressed. IST PQQ selection will happen in the coming weeks.
- 5.10 DM commented on the positive progress which has been made but advised that care needs to be taken around the social clauses, that no contractor is seen to have an advantage. In that context point 9.3 of the update report could be misconstrued and required some clarification.
- 5.11 NM clarified that the reference to Gilbert-Ash NI Ltd in the Update Report is post contract and relates only to the rugby project.

6.0 AOB

- 6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 The Minister advised that the next meeting was scheduled for Wednesday 10th April 2013, and thanked all in attendance for their contributions to the meeting.

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 20th February 2013

1. Programme and Project Governance

- i) The programme has made some good progress in the last month particularly around IFA planning approval and GAA stage C design sign-off.
- ii) Significant progress will need to be made around Business Case approvals and Funding Agreement approvals in the coming months to allow GAA and IFA to remain on track.
- iii) The Department continues to liaise with DSO regarding the Freedom of Information (FOI) request received from solicitors acting on behalf of Crusaders Football Club which also raised a query on 'State Aid'.

2. Programme Spend

- i) The financial year end is fast approaching. The Department need to ensure a spend of £6.9m by 31 March 2013.
- ii) Each of the Governing Bodies must ensure that there are robust financial systems and monitoring systems in place to track spend against budget and cash draw-down against the budget.
- iii) There is some under-spend at present across the UBIRFU and UCGAA projects. UBIRFU and UCGAA need to work closely with the Department in the coming weeks to ensure target spends are met.

3. Programme Timelines

- i) For UBIRFU, the project as a whole remains on target, with full commitment of the public sector spend expected within the CSR period. Completion of the construction work is anticipated in September 2014.
- ii) For IFA, their planning application is progressing well and expected completion of the construction work remains at June 2015.
- iii) For GAA, a revised programme timeline has been agreed and signed off by the Project Board. The revised programme timeline provides for 4 extra weeks to submit the planning application on account of time lost in relation to the need to revisit the Stage C design proposals. However overall, the completion of construction works remains on target for September 2015.

4. Planning Approvals

- i) The level of cooperation from SPD and the statutory agencies remains at a very high level.
- ii) The IFA submitted their planning application on the 6th December 2012. The planning application is progressing well.
- iii) The revised GAA programme timeline provides for 4 additional weeks to submit the planning application. Expected submission date for planning application is now 29th April 2013.
- iv) Significant community consultation has already taken place on the IFA project and on balance the feedback has been positive. Community consultation on the GAA project is ongoing.
- v) The Department have met with Belfast City Council on a number of occasions and master-plans have been developed for the GAA and IFA projects which consider future regeneration opportunities in and around the Stadium sites. Belfast City Council has commenced community consultation around these potential opportunities to enhance the areas in the immediate vicinity of the stadiums.

5. Funding Agreements

- i) Templates have been issued to the IFA and UCGAA. A drafting timetable has been prepared that is expected to lead to the conclusion of an agreed draft of the funding agreement with:
 - a. IFA by 13 May 2013 (prior to selection of ITT);
 - b. UCGAA by 2 August 2013 (prior to selection of ITT).
- ii) The IFA and UCGAA have been advised of the vital importance of both adhering to the drafting timetable and reaching an agreed draft of the Funding Agreement, by the agreed dates, as this matter is on the critical path.
- iii) The IFA and UCGAA need to ensure through their own internal governance structures the timely sign-off on the funding agreement.

6. Business Cases

- i) Approval of the Full Business Cases for IFA and GAA is on the critical path for both projects.
- ii) It is vital that development of the Business Cases for both projects proceeds at a pace.

- iii) Appointment of the Business Case consultants for the GAA project has been delayed by a number of months. It is critical that this appointment is made as soon as possible and that the business case is then developed in line with the new timescales agreed with the Department.
- iv) The Department has received a copy of initial work completed on the Windsor Park Business Case. Work done to date has been limited and again it is critical that the Business Case is developed further in line with the timescales agreed with the Department.

7. Communication Protocols

- i) A number of PR events have taken place in recent months and a number of other events are planned in the coming months in relation to the Stadium programme.
- ii) It is essential that each Governing Body adheres to the Communication protocols around notification to the Department of timelines for upcoming events, press releases etc.

8. Procurement

- i) IFA and UCGAA are at critical stages in the procurement process for the Windsor Park and Casement Park projects.
- ii) IFA and UCGAA need to ensure that all Departmental advice in relation to procurement is followed closely to avoid the risk of procurement challenge.

9. Social Clauses, Socio-Economic Returns and Community Benefits

- i) The IST contractor on the Rugby project, in liaison with DCAL, has developed an Employment Plan for the delivery of social benefits on the project.
- ii) Social clause award criteria for the IST contract are very close to agreement between the Department and the IFA and will form part of the ITT tender documents due to go out in the coming weeks.
- iii) DCAL is developing with Belfast City Council and Invest NI a series of workshops to be delivered to suppliers on opportunities for sub-contracting within the Stadium Programme. It is intended that the first of these will be delivered with Gilbert-Ash NI Ltd to identify sub-contracting minimum standards and opportunities within the supply chain for the Ravenhill project.

PROJECT UPDATES

10. UBIRFU / RAVENHILL

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table below.
- ii) The Funding Agreement was formally executed on 6 November 2012. The 'conditions precedent' have now been addressed to the satisfaction of DCAL thereby enabling payment against the IST contract to be released.
- iii) The first IST assessment/invoice was issued on 11 January 2013. UBIRFU submitted their first IST grant payment claim to DCAL on 1 February 2013. The first IST grant payment of £549k was released by DCAL on 6 February 2013.
- iv) Some underspend is apparent on the project at 31 January 2013. UBIRFU need to work closely with the Department in the coming weeks to ensure target spend is met.

Progress Against Milestones (UBIRFU / RAVENHILL)

Item	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	The project overall master timeline is currently on programme. There has been some slippage at the Memorial End stand construction due to the previously unknown cable which is expected to result in a delay of 1-2 weeks. The contingency float in the programme can accommodate this delay.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

11. IFA/ WINDSOR PARK

- i) The project is currently a few weeks ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided that significant procurement challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table below.
- ii) The IFA submitted their planning application on 6th December 2012. As part of the planning submission, the stadium design has been developed to RIBA Stage D. Planning Approval is progressing well.
- iii) The design to Stage D has integrated the detailed requirements of various stakeholders including the IFA, Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- iv) Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. The Council have now gone out to community consultation on opportunities for maximising the wider social, economic and community returns from the Windsor Park project.
- v) Award criteria for the ITT stage of the IST procurement are very close to being agreed with the Department. The ITT will be released to the 5 short-listed contractors before the end of February.
- vi) The interim mortgage and charge around Windsor Avenue has now been executed and returned to DCAL. Final security will be executed prior to release of Funding Agreement.
- vii) The Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- viii) The full Business Case needs to be developed further as a matter of priority. This is now on the critical path. DCAL will hold the release of the ITT documents until a draft of the Business Case is received.

Progress Against Milestones (IFA)

Item	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	On target	Currently on target. Dates to be monitored on an on-going basis
Planning Approval received	22.07.13	On target	
IST Invitation to Tender	19.03.13	On target	
DCAL sign off FBC	24.07.13	On target	
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	
Appoint IST & prepare detailed design	24.07.13	On target	

Commence Construction	19.08.13	On target	for any slippage.
Complete Construction	05.06.15	On target	

12. GAA/ CASEMENT

- i) A revised GAA programme timeline has been agreed and signed off by the Project Board on 6 February 2013. This programme provides for 4 additional weeks to submit the planning application but still indicates full spend of the public funding within the CSR period with completion of the construction works by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Robust management of the ICT by GAA will be required if the GAA are to meet the target programme dates.
- ii) Positive feedback from the Strategic Planning Department against the Stage C proposals was received in early January. The Stage C Report was formally approved by the GAA on 4 February 2013. This has resulted in the project moving to Stage D design.
- iii) The planning application will now be submitted on 29 April 2013. The second stage of community consultation was launched on 6 February 2013 and will prove critical in determining the course of the planning application.
- iv) The current design has begun to integrate the detailed requirements of Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).
- v) A MAG review took place on 29th January 2013. This review looked at the revised Stage C design and made some positive contribution to future design proposals.
- vi) Belfast City Council has developed a master-plan to consider future regeneration of the wider context adjacent to the Andersonstown Road and the Andersonstown Leisure Centre. Two public meetings have been arranged to discuss the options that the Casement Park development present for local communities. In addition Belfast City Council are now out to community consultation on opportunities for maximising the social, economic and community benefits in and around the Casement site.
- vii) Some underspend on the project is apparent at the 31 January 2013. GAA need to ensure it has robust financial systems and monitoring systems in place to track spend. GAA needs to work closely with the Department in the coming weeks to ensure target spend is met.
- viii) The appointment of consultants for the full Business Case needs to be progressed immediately and the full Business Case prepared in line with the programme timelines.

- ix) The IST PQQ pack was issued on 15 January 2013 with a return date of 22 February 2013 for interested EO's. GAA will need to ensure that all procurement advice provided by the Department is rigorously implemented to avoid potential procurement challenge.
- x) The GAA programme timeline remains under pressure and will require a proactive delivery strategy to ensure compliance to programme. Target dates for key project milestones are outlined in the table below.

Progress Against Milestones

NOTE: The table below represents the new timeline based on the programme agreed at the GAA Project Board on 4 February 2013.

Item	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	29.04.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	On Target	
IST Invitation to Tender	27.05.13	On Target	
DCAL sign off FBC	01.09.13	On Target	
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 17th April 2013, 1.00 pm, at Causeway Exchange.**

Present

Members:

Chair: Rosalie Flanagan (RF)

IFA: Jim Shaw (JS)

In attendance:

**GAA: Tom Daly (TD)
Danny Murphy (DM)**

**UBIRFU: Shane Logan (SL)
Cecil Watson (CW)**

**IFA: Patrick Nelson (PN)
Les Caul (LC)**

SIB: Brett Hannam (BH)

SNI: Nick Harkness (NH)

**DCAL: Colin Watson (CW - DCAL)
Noel Molloy (NM)
Ciaran McGurk (CM)
Jarlath Kearney (JK)
Gerard Rushe (Sports Branch)
Richard Nicholl (minutes)
Girvin McBride (minutes)**

1.0 Welcome and Introductions.

1.1 RF welcomed all to the meeting and advised that she had been asked to chair the meeting in the Minister's absence. Apologies were received from the Minister, Cynthia Smith (DCAL). Sir Nigel Hamilton advised that he would not be available for the start of the meeting but hoped to attend at a later stage.

1.2 RF advised that the Sponsor Board member for the GAA has been replaced. Notification of his replacement is awaited from GAA.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 20 February 2013

3.1 The minutes of the last meeting were agreed.

4.0 Update Report

4.1 RF highlighted a few issues from the update report.

4.2 PROGRAMME AND PROJECT GOVERNANCE

4.3 RF advised that the programme continued to make progress but significant challenges remained, particularly around GAA planning approval and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.

4.4 SPEND PROFILE

4.5 The spend target of £6.9M across the Programme for 2012/13 has been met. Governing Bodies are required to submit revised spend profiles for 2013/14 and 2014/15 by the end of April 2013. RF thanked the three Governing Bodies for their efforts in meeting this spend target.

4.6 UBIRFU / RAVENHILL

4.7 RF advised that the project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Work is progressing well with the overall programme remaining on target.

4.8 RF reported that eight claims for grant payment have been paid with the payment arrangements between the Department and UBIRFU working efficiently. There are no significant issues to report on at this stage.

4.9 IFA / WINDSOR PARK

4.10 RF advised that the project is currently a few weeks ahead of schedule with full commitment of the public sector spend expected within the CSR period, provided that significant procurement challenges are avoided. Completion of the construction works is anticipated in June 2015.

4.11 The IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Tenders are due to be returned by 9th May 2013.

4.12 The Funding Agreement template has been sent to IFA but significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.

4.13 RF noted that a draft of the FBC was received from IFA on 27 February 2013. DCAL provided feedback on this draft and are awaiting a further version being submitted. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

4.14 Major concerns around management of the NEC Contract have arisen in the last couple of weeks, particularly in relation to the management of Compensation Events. A number of Compensation Events were received by the Department for approval after the work has been completed. This puts the IFA at risk if the Department subsequently

deems the Compensation Event to be ineligible for grant aid. This needs to be addressed by the IFA as a matter of priority as the current approach exposes the IFA to significant risk.

- 4.15 RF advised that IFA have not yet agreed a fee with its Business Case consultants for development of the Full Business Case. Again this puts the IFA at risk if the Department subsequently deems an element of the fee as being ineligible for grant aid.
- 4.16 RF highlighted that the late notification of a number of Compensation Events and the absence of an agreed Business Case fee has meant that the Department is unable to determine whether the final budget for IFA for 2012/13 has been met. RF encouraged the IFA to remedy this situation without delay.
- 4.17 RF advised that the Department did not receive a copy of the signed ICT contract until 15th April 2013 despite this having been requested over many months. The 'Letter of Intent' to appoint Hamilton Architects was dated 18th April 2012. The 'Form of Agreement' for actual appointment is dated 8th April 2013.
- 4.18 RF also requested clarity around the status of the IFA Stadium Development Company, as the ICT contract has been signed by both the IFA and the IFA Stadium Development Company Limited.
- 4.19 RF advised that all the issues highlighted have been the subject of repeated correspondence to IFA and requested that these issues be addressed with the IFA Project Team immediately.
- 4.19 IFA were also advised to reach an agreement with Belfast City Council in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. It is vital that agreement is reached prior to appointment of the IST to facilitate joined-up project delivery; otherwise a separate tendering

exercise would need to be undertaken with the potential for reduced value for money.

4.20 UCGAA / Casement Park

4.21 RF informed the Sponsor Board that a revised GAA programme timeline has been agreed and signed off by the Project Board on 27th March 2013. This programme provides for 4 additional weeks to submit the planning application but still indicates full spend of the public funding within the CSR period with completion of the construction works anticipated by September 2015, provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.

4.22 RF advised that if the GAA are to meet the target programme dates, robust management of the ICT will be required. The planning application submission date has been extended by a further 4 weeks due to advice from Strategic Planning Department that the Physical Model of the Stadium is used as part of the Community Consultation process. The Planning Application will now be submitted on 23rd May 2013.

4.23 RF emphasised the need for the GAA to document and track all community consultations to assist the planning process. To further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project, the GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersonstown Road end of the ground.

4.24 The IST PQQ returns have been assessed and moderation was completed by the 20th March 2013. RF advised the GAA to ensure that all procurement advice provided by the department is rigorously implemented to avoid potential procurement challenge. The target

date for release of ITT tender documentation is the 27th May 2013 and this is currently on target.

- 4.25 RF advised that the Funding Agreement and Full Business Case need to be completed in line with the critical path dates agreed with the Department. The GAA programme timeline remained under pressure and requires a proactive delivery strategy and robust management of the ICT to ensure compliance to programme.
- 4.26 Significant concerns have arisen around the management of the project budget with recent cost estimates provided by the ICT not being challenged by the UCGAA. An initial review by the Stadium Team identified a number of areas where savings could have been made.
- 4.27 RF advised that significant concerns also remain around the management of the ICT with significant communications issues between the ICT and UCGAA becoming apparent. In addition, the NEC Contract required more rigorous management by UCGAA.
- 4.28 RF reiterated the need for a number of outstanding documents, which have been requested on numerous occasions by the Stadium Team over this last number of months, to be submitted to the Department immediately. It was important that immediate attention was given to all of the issues highlighted.

At this point JK left the meeting.

4.29 CRUSADERS FC JUDICIAL REVIEW LEAVE APPLICATION

- 4.30 RF advised that Crusaders FC Ltd has lodged an application seeking Leave to apply for a judicial review of the decision by DCAL to provide funding for the redevelopment of Windsor Park. This application mentions Casement and Ravenhill and the court papers note that it has

been notified to the EU Commission by Crusaders FC Ltd, although this has yet to be confirmed.

- 4.31 RF summarised the grounds listed in the application fall in three areas: That DCAL has given insufficient reasons for its decision to fund the Windsor Park project; That there is illegal State Aid present in the decision to fund the Windsor Park project and in the whole Stadium Programme; That there has been a breach of the Competition Act in the decision to fund the Irish FA on foot of the IFA / Linfield agreement.
- 4.32 RF emphasised that DCAL intends to robustly defend each of the grounds which have been alleged by Crusaders, but noted that the allegation of State Aid brings a European dimension to this question.
- 4.33 RF advised that the view of the Department is that there is not a State Aid issue, and if there was a State Aid issue, then that aid would be permissible. The Stadium Programme was developed in the full understanding that sports infrastructure projects such as this, across the whole of the UK, did not represent notifiable projects.
- 4.34 RF informed the meeting that in relation to the domestic courts, DCAL requested a four week adjournment of the Leave hearing, in order to adequately consult with the Department for Business Innovation, and Skills (BIS), who lead on this issue in relation to the EU Commission, and the Department for Culture, Media and Sport (DCMS). The initial Leave hearing took place this morning at the High Court in Belfast, where the adjournment until 21 May was granted. In addition, IFA stated their intention to apply for Notice Party status at this Leave hearing.
- 4.35 Should Leave be granted in the domestic court for a Judicial Review, it is unlikely to be listed for hearing prior to September 2013, with no decision likely to be made prior to October 2013 at the earliest.

- 4.36 RF advised regarding the EU Commission that DCAL are currently considering the option to formally notify the Stadium Programme to the Commission, who have the authority to agree with us that there is no State Aid present in the programme, or to declare that any State Aid is compatible with the EU Treaty.
- 4.37 There is a potential that a standstill could be required for a number of months if a full investigation is initiated by the Commission. This has a significant implication for each of the Governing Bodies, which will be discussed separately with each sport.
- 4.38 RF acknowledged that the potential outcomes of this matter are dependent on our discussions with BIS and, depending on the routes to be taken, in the NI domestic courts or at the EU Commission. A delay in legal certainty around the funding could delay the issuing of funding agreements to IFA and Ulster Council.
- 4.39 Other potential outcomes were highlighted, including: A material delay in the domestic court decision making process, which cannot be absorbed within programme tolerances; A negative decision in the domestic courts, which prevents an award being made to IFA or Ulster Council; The opening of a formal investigation by the EU Commission, which is likely to lead to a delay in decision making in excess of a year; In terms of Europe, the classification of the funding as not State Aid or as compatible State Aid, but with a significant delay in making this finding which takes the programme outside of timescale; The classification of the funding awarded as illegal State Aid, which would then be recoverable from any grant recipient.
- 4.40 Any possible delay caused by legal uncertainty to implementation of the Stadium Programme risks the funding which has been allocated by the Executive to the programme, for spend within the current CSR period.

4.41 RF advised that the Department accepts that this is a significant issue that will require detailed direct discussions with each to examine the potential implications for each project.

4.42 COMMUNICATION PROTOCOLS

4.43 As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "A legal process is underway and therefore we are unable to comment on this matter." RF emphasised the importance of the IFA and its Communications Branch adopting a similar position until the matter is closed and asked all Governing Bodies to liaise with their Communication teams on this matter and advise them to keep the Department's Communication's branch informed of any enquiries.

5.0 Discussion

5.1 RF then invited the Governing Bodies to discuss any issues they wished to raise.

5.2 LC requested clarification regarding RF's statement that it was the view of the British Government that grants to sport don't constitute State Aid.

5.3 NM advised that at the time the Stadium Project was being developed that was the case but that subsequently there had been developments in Europe and that these issues had to be checked out further.

5.4 NH enquired how DCAL intended to make their case

5.5 RF advised that the case would be made in two parts, firstly that there was no State Aid and subsequently if the ruling was that the funding had constituted State Aid, that it was permissible under EU regulations.

5.6 DM, referring to correspondence between DCAL and DFP from 2009, advised that the parameters set down for the Stadium Programme were laid down by DFP and asked where responsibility lay, with DCAL or DFP.

- 5.7 NM suggested there would be joint responsibility but that, again, further investigation was needed.
- 5.8 DM raised two concerns, firstly, there could be a full hearing leading to substantial delays; or secondly there is the potential of the court stopping the programme. This led to the question of what is the next step, should this scenario come about.
- 5.9 Further discussion was held around this issue with NM advising the meeting that further in depth discussion with BIS was needed to determine the best way forward and that the Department would be proactive in its approach. The need to keep the process moving in the meantime was emphasised.
- 5.10 SL advised that the Governing Bodies require guidance from the Department on this issue, but at the moment, until the Department directs otherwise, the project needs to be progressed.
- 5.10 CW stated the requirement of the Governing Bodies to be fully aware of the consequences of moving on with the projects.
- 5.11 RF advised that detailed discussions with each of the Governing Bodies would be arranged in the coming weeks.
- 5.12 DM raised two distinct points, firstly, can Government invest in sport; secondly, what is the impact of the Competition Act? This issue has major repercussions for all sports and not just the stadium project.
- 5.13 NM advised that State Aid is the primary issue and that the Competition Act is not currently on the table. Department is currently acting on two fronts, the High Court and Europe. State Aid to sport is now on the EU radar and discussions are needed with BIS and DCMS to determine what the best approach is.
- 5.14 PN then responded to RF's comments in the SRO report, advising that meetings are ongoing around the management of the NEC Contract and that IFA are awaiting DCAL feedback. Regarding the Business Case, there is a capped fee but some extra items needed to be added

to the FBC package. These two issues have led to the third point raised by RF, the Department's being unable to determine whether the final 2012/13 budget has been met.

- 5.15 Regarding the delay in passing a copy of the ICT contract to the Department, PN agreed that IFA should have been more efficient on this, and clarified the reason why there were two signatories to the contract was simply due to IFA tax planning, to ensure the best outcome for IFA. Negotiations with BCC are ongoing as the IFA are seeking to get the right deal for all.
- 5.16 CMCG advised that IFA were now in an overspend situation, that DCAL needed to be informed about Compensation Events in order to provide budget cover, and also need to be provided with Business Case fee.
- 5.17 NM advised that these issues need to be closed out early next week.
- 5.18 TD spoke regarding the issues around the GAA project. The four week extension of the planning application submission was on the advice of the Strategic Planners. This flowed from the community consultation, which is being tracked and documented. Much time and effort has been expended in negotiating with Belfast City Council and this has led to delays in other areas of the project.
- 5.19 TD advised that regular meetings are ongoing with ICT with many issues arising out of this, especially around feedback from community consultation. PQQ documents are currently with CPD for Quality Assurance, while it was agreed that some tidying up required around the outstanding documentation. Further discussions were required with Sport NI regarding the reuse of existing control room and floodlights from Casement Park.
- 5.20 DM commented that the three critical pathways were difficult
 - An inordinate amount of time, energy and money was wasted in discussions with Belfast City Council

- There was a need for an increase in understanding between the Department and the UCGAA on how to get things done.
- Where stands the optimism bias in this project

5.21 NM concurred that works with BCC should have been handled better, but was of the opinion that UCGAA had a level of responsibility as well, and advised that both he and CMCG would in future have more input into the GAA / DCAL relationship. Separate meetings between DCAL and all three of the Governing Bodies will be arranged to address outstanding concerns.

5.22 DM asked if it was economically sensible to reuse floodlights, control room and crush barriers from the Old Casement Park in the new stadium as there will be substantial costs involved in dismantling and re-erecting these items.

5.23 NH advised that SNI were currently considering the issue of writing off historic costs and hoped to have some project specific guidance in the near future.

5.24 CW noted that this would be Rosalie's last Sponsor Board meeting, thanked her for her contributions and assistance and wished her a happy, healthy and enjoyable retirement. A warm welcome would always be assured at Ravenhill.

5.25 RF responded, thanking CW for his kind remarks, and stating how she had enjoyed her work on the Stadium Project. Cynthia Smith would be the replacement as SRO.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 RF advised that the next meeting was scheduled for 11:00am Wednesday 22nd May 2013, and thanked all in attendance for their contributions to the meeting.

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 17th APRIL 2013

1. Programme and Project Governance

- i) The programme continues to make progress but significant challenges remain particularly around GAA planning approval and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.
- ii) Crusader's FC has made an application for a Judicial Review which will potentially have an impact on Stadium Programme development. The application for a Judicial Review will be heard on the morning of the Sponsor Board meeting on 17 April 2013. Sponsor Board members will be provided with an update on the outcome of the Judicial Review Leave Hearing and will receive an update on the Department's position on this matter at the Sponsor Board meeting.

2. Spend Profile

- i) The spend target of £6.9M across the Programme for 2012/13 has been met. Governing Bodies will be required to submit revised spend profiles for 2013/14 and 2014/15 by the end of April 2013.

3. Communication Protocols

- i) A number of PR events have taken place in recent months and a number of other events are planned in the coming months in relation to the Stadium programme.
- ii) It is essential that each Governing Body adheres to the Communication protocols around notification to the Department of timelines for upcoming events, press releases etc.
- iii) As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "A legal process is underway and therefore we are unable to comment on this matter." It would be important that IFA and its Communication's Branch adopt a similar position until the matter is closed. I would ask all Governing Bodies to liaise with their Communication teams on this matter and advise them to keep the Department's communication's branch informed of any enquiries.

4. Social Clauses, Socio-Economic Returns and Community Benefits

- i) The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.

- ii) Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the ITT tender documents released to the shortlisted economic operators on the 7th March 2013.
- iii) Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the IST documents to be released on the 27th May 2013.

PROJECT UPDATES

5. UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- iii) Eight claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.
- iv) Previous slippage against the budget for 2012/13 has been addressed through re-profiling of the budgets across the programme.
- v) Planning Permission for the reconfiguration of the Premium Stand steps and terracing has now been received. This relates to upgrades to the existing Premium Stand in relation to disability access and Green Guide (5th Edition) adaptations.

ISSUES

None at present.

6. IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.

- i) The project is currently a few weeks ahead of schedule with full commitment of the public sector spend expected within the CSR period (provided that significant procurement challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table above.
- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Return dates for tenders is 9th May 2013.
- iii) IFA have extended the design of the project to design Stage E. The Stage E design has integrated the detailed requirements of various stakeholders including the IFA, Safety at Sports Grounds Technical group (led by DCAL/Sport NI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).

- iv) Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. IFA are in discussions with the Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- v) The interim mortgage and charge around Windsor Avenue has now been executed and returned to DCAL. Final security is being drafted on the whole project.
- vi) The Funding Agreement template has been sent to IFA. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- vii) A draft of the FBC was received from IFA on 27 February 2013. DCAL have provided feedback on this draft and are awaiting a further version being submitted. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

ISSUES

- i) Major concerns around management of the NEC Contract have arisen in the last couple of weeks, particularly in relation to the management of compensation events. A number of Compensation Events have been received by the Department for review/approval after the work has been completed. This puts the IFA at risk if the Department subsequently deems the Compensation Event to be ineligible for grant aid. This needs to be addressed by the IFA as a matter of priority.
- ii) IFA have not agreed a fee with its Business Case consultants for development of the Full Business Case. Again this puts the IFA at risk if the Department subsequently deems an element of the fee as being ineligible for grant aid. In addition, the Department is unable to retain budget cover for this item in 2012/13 as no fee had been agreed.
- iii) Late notification of a number of Compensation Events and the absence of an agreed Business Case fee has meant that the Department is unable to determine whether the final budget for IFA for 2012/13 has been met. This situation is not acceptable.
- iv) The Department did not receive a copy of the signed ICT contract until 15th April 2013. This had been requested over many months. The 'Letter of Intent' to appoint Hamilton Architects was dated 18th April 2012. The 'Form of Agreement' for actual appointment is dated 8th April 2013. This is unsatisfactory. The contract has been signed by IFA and the IFA Stadium Development Company Limited. Clarity is required around the status of Development Company.

- v) All of the above issues have been the subject of repeated correspondence to IFA. I would ask IFA to address these issues with its project team immediately.

- vi) IFA need to reach an agreement with Belfast City Council in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery; otherwise a separate tendering exercise would need to be undertaken with the potential for reduced value for money.

7. GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period. Overall programme still on target.
Submission of Planning Application	23.05.13	Date extended by a month to 23 May 2013.	Planning submission date has been extended by one month to 23 rd May 2013. This will have no impact on the overall programme provided planning approval is turned around within 20 weeks rather than the initial 6 months estimated turnaround time.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	On Target	
IST Invitation to Tender	27.05.13	On Target	Invitation to Tender documents for the IST appointment on target to be released on 27 th May 2013.
DCAL sign off FBC	01.09.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

- i) A revised GAA programme timeline has been agreed and signed off by the Project Board on 27th March 2013. This programme provides for 4 additional weeks to submit the planning application but still indicates full spend of the public funding within the CSR period with completion of the construction works anticipated by September 2015 (provided key assumptions are met around planning timescales and that significant procurement challenges are avoided.) Target dates for the key project milestones are outlined in the table above. Robust management of the ICT by GAA will be required if the GAA are to meet the target programme dates.
- ii) The planning application submission date has been extended by a further 4 weeks due to a requirement from Strategic Planning Department that a Physical Model of the Stadium is used as part of the Community Consultation process. The Planning Application will now be submitted on 23rd May 2013.
- iii) The stage D design report was issued for review on 18th March 2013 by the GAA to a range of stakeholders. The current design iteration continues to refine and integrate the detailed requirements of Safety at sports Grounds

Technical Group (led by DCAL/SNI Overseeing Body) and the Inclusive Stadia Advisory Group (led by DSNI).

- iv) The second stage of Community Consultation was launched on 6 February 2013 and will prove critical in determining the course of the planning application. Significant work is on-going at present in relation to the community consultation.
- v) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Anderstown Road end of the ground. This will further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project.
- vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. GAA will need to ensure that all procurement advice provided by the department is rigorously implemented to avoid potential procurement challenge. Target date for release of ITT tender documentation is the 27th May 2013. This is currently on target.
- vii) The full spend target for the 2012/13 year has been met.
- viii) Drafting of the Funding Agreement for the GAA project has commenced. A meeting is being arranged between the Department and GAA to address the fundamental issues within the Funding Agreement.
- ix) Business Case consultants were appointed on the 14th February 2013. An initial draft of the business case was received by DCAL on the 29th March 2013. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- x) The GAA programme timeline remains under pressure and will require a proactive delivery strategy and robust management of the ICT to ensure compliance to programme.

ISSUES

- i) Significant concerns exist around the management of the project budget. Recent cost estimates provided by the ICT have not been challenged by the UCGAA. An initial review by the Stadium Team identified a number of areas where savings could be made.
- ii) Significant concerns also remain around the management of the ICT. Over the last number of meetings it has been apparent that there are significant communications issues between the ICT and UCGAA.
- iii) In addition, the NEC Contract requires more rigorous management by UCGAA.

iv) A number of items remain outstanding and have been requested on numerous occasions by the Stadium Team over this last number of months, these are:

- Stage 1 Pre Qualification Report (PQQ Report on evaluation, scoring and reporting)
- Detail of the backfilling of three posts currently capitalised
- Signed Form of Tender for the ICT Contract
- Submission of proposals to SNI/DCAL around assets previously funded at Casement park by Sport NI i.e. Control tower and Floodlights

v) All of the above issues require immediate attention and a plan needs to be considered to tackle these issues on an ongoing basis.

**Minutes of the Stadium Programme Sponsor Board held
Wednesday 22 May 2013, 11.00 am, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL: Cynthia Smith (CS)

IFA: Jim Shaw (JS)

UBIRFU: Sir Nigel Hamilton

In attendance:

GAA: Tom Daly (TD)

**UBIRFU: Shane Logan (SL)
Cecil Watson (CW)**

**IFA: Patrick Nelson (PN)
Les Caul (LC)**

SIB: Brett Hannam (BH)

SNI: Nick Harkness (NH)

**DCAL: Peter May (PM)
Colin Watson (CW - DCAL)
Noel Molloy (NM)
Ciaran McGurk (CM)
Girvin McBride (minutes)**

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting.

1.2 There were no apologies received.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 17 April 2013

3.1 The minutes of the last meeting were agreed.

4.0 Update Report

- 4.1 The Minister introduced Cynthia Smith, who has been appointed SRO for the programme, and Peter May who has taken over as Permanent Secretary following the retirement of Rosalie Flanagan.
- 4.2 The Minister then advised the meeting that the Courts had granted Crusaders leave for a Judicial Review of the decision to fund the Windsor Park development. This was not unexpected and she remained optimistic and was determined this would not affect the Windsor Park development. The department intended to approach the European Commission in liaison with BIS calling on the support of the First and deputy First Ministers and our MEPs as required to robustly defend the department's position.
- 4.2 After much discussion concerning the Judicial Review the Minister reassured the meeting that the Department would robustly defend its position that the funding did not constitute State Aid and even if it did it was permissible.
- 4.3 The Minister told each of the Governing Bodies that in the meantime it is imperative they stick to their programmes. She understood each body had key targets dates upcoming and that these must be met.
- 4.4 PN in his opinion advised that the Judicial Review was not solely related to State Aid for Windsor Park but the other projects as well. It was a question of State Aid for the whole programme.
- 4.5 CS said the department would have separate meetings with each of the governing bodies to discuss the Judicial Review and examine the potential implications for each project.
- 4.6 The Minister then asked CS to comment on the update report.

4.7 Programme and Project Governance

4.8 CS advised that the programme continued to make progress but significant challenges remained, particularly around the GAA programme and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.

4.9 Spend Profile

4.10 CS advised that the total spend targets across the programme for the 2012/13 financial year of £7.2m had been met and thanked the three sports for their efforts in this regard.

4.11 CS advised that the Governing Bodies have been asked to submit revised spend profiles for 2013/14 and 2014/15. Further work is needed on the IFA and GAA spend profiles for these years. This is a critical issue that needs resolved without any further delay.

PR Protocols

4.12 CS asked all Governing Bodies to continue to respect the Communications Protocol across the programme and inform the Department of all communications with the media around the Stadium Programme. In particular, media enquires around the Crusaders Judicial Review Leave Application need to be agreed with the Department.

4.13 PN stated that with the Judicial Review commencing there needed to be an agreed clear line to take not just for the IFA but for all the sports to use.

4.14 The Minister stated that DCAL Communications were working on a suitable statement for all to use and this would be shared with all the governing bodies.

4.15 Social Clauses

- 4.16 CS confirmed the Department is continuing to work with the GAA and IFA around the inclusion of social clauses in the construction contracts.
- 4.17 CS advised that the Rugby contractor has submitted the Employment Plan for delivery of social benefits on the project. This will be monitored on an ongoing basis to ensure delivery of the social benefits.

UBIRFU/RAVENHILL

- 4.18 CS advised that the project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014.
- 4.19 The current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- 4.20 The payment arrangements between the Department and UBIRFU are working very efficiently.
- 4.21 SL thanked the department for the prompt processing of claims and confirmed the draw down system was working well which meant there had been no cash flow problems. He also advised that UBIRFU had at present 160 people working on site, not including those in the supply chain, and that the benefits of the programme were being felt throughout the local community especially those long term unemployed and apprentices offered work under the Social Clauses..
- 4.22 CS stated it was good to hear of the benefits the project was having in the community and that this would be encouraging for the other projects.

- 4.23 CW asked for a clear instruction for UBIRFU to continue with the existing building contract at Ravenhill, in light of the potential Judicial Review outcomes. Minister confirmed that there was no instruction to stop. The department would robustly defend its position in relation to state aid.

IFA/WINDSOR PARK

- 4.24 CS informed the meeting that the project is currently on programme with full commitment of the public sector spend expected within the CSR period (provided that significant legal challenges are avoided.) Completion of the construction works is anticipated by June 2015.
- 4.25 CS noted this is a critical phase for the IFA project with the return of tenders for the appointment of the contractor due on 24th June 2013 and asked the IFA to ensure that all procurement advice provided by the Department is followed closely.
- 4.26 The funding Agreement and Full Business Case are on the critical path in relation to securing all of the necessary approvals to appoint the contractor. IFA need to ensure that both of these governance documents are agreed by the Department in line with the dates previously agreed with the Project Sponsor.
- 4.27 CS stressed that the IFA need to ensure that Departmental approvals are received in advance of work being done in relation to Compensation Events.
- 4.28 CS advised that Belfast City Council is developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.

- 4.29 PN advised the meeting that the Judicial Review aside the main concern at present was the partnership with BCC. The IFA were experiencing significant difficulties in getting BCC to agree contractual development issues.
- 4.30 Minister stated that the IFA had targets to meet and that BCC needed to be clear that the Windsor project was for the benefit of the community not BCC.
- 4.31 NM stated he would attend the next meeting of the IFA and BCC and attempt to resolve any concerns.

UCGAA CASEMENT PARK

- 4.32 CS advised the date for submission of the planning application has been extended to 19th June 2013 which represents an additional two months on the original planning submission date. There is now little float left on the GAA project and therefore significant actions and endeavours will be needed in the coming months to keep the project on track.
- 4.33 Community consultation is at a critical stage with the release of the model of Casement Park project. The Department has also met with the local residents group to discuss practical ways, where possible, to address residents' concerns around the Stadium development.
- 4.34 CS stressed the planning submission and community consultation are high profile issues and asked that GAA agree all communications with the Department before release.
- 4.35 The 2000m² block of community facilities within the stadium provides a strong opportunity for delivery of socio-economic and community benefits for the project. The Department will continue to work with

GAA in the coming months to maximise the opportunity for socio-economic returns.

- 4.36 CS stated that some concerns exist around the management of the project budget. GAA need to develop a Strategy to close out the procurement process with alignment of the cost plan to the project budget.
- 4.37 Target date for release of the ITT tender documentation is the 30th May 2013. The target date needs to be achieved to ensure that the programme remains on track.
- 4.38 Spend profiles for 2013/14 and 2014/15 need to be reviewed immediately as current estimates provided by UCGAA may represent a mis-match with the programme timeline.
- 4.39 CS stated that the GAA programme timeline remains under intense pressure and will require significant actions and robust management of the ICT in the coming months to keep the programme on track.
- 4.40 TD advised that the planning extension was a result of advice and guidance received concerning continued community consultations and the production of a model. However, the GAA were determined to meet the revised planning submission target date and keep the project on line.
- 4.41 Minister stated it was important to get community support and everything must be done to assist and inform and there was a collective need to do this positively.

5.0 Discussion

- 5.1 The Minister thanked CS for her update and thanked everyone for their input and discussion particularly around the Judicial Review.

5.2 The Minister stated that there were challenges ahead but that they can be overcome, that each governing body needed to keep on programme and meet their targets.

5.3 The Minister re-iterated that the department would work towards getting a resolution to the State Aid question.

6.0 AOB

6.1 No other issues were raised.

7.0 Date of Next Meeting

7.1 CS advised that the next meeting was scheduled for 11:00am Wednesday 3 July 2013, and thanked all in attendance for their contributions to the meeting.

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 22nd MAY 2013

1. Programme and Project Governance

- i) The programme continues to make progress but significant challenges remain particularly around the GAA programme and the need to avoid procurement challenges in relation to the IFA and GAA IST appointments.
- ii) Crusader's FC have made an application for a Judicial Review which has the potential to have an impact on Stadium Programme development. The initial Leave hearing in the High Court in Belfast was adjourned on 17 April 2013, and a further request for adjournment by DCAL was not granted by the Court yesterday (15 May 2013). The Leave hearing is therefore scheduled as originally marked for 21 May 2013.

2. Spend Profile

- i) Total accrued spend for the Stadium Programme for the year 2012/13 is £7.2m against a spend target of £7.1m. The £100k additional spend will be met out of Departmental wide capital easements.
- ii) Governing Bodies have been asked to submit revised spend profiles for 2013/14 and 2014/15. Further work is needed on the GAA spend profiles for these years.

3. Communications

- i) There have been no high profile PR events in the past month. A number of informal communication activities are progressing across the three sports.
- ii) As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "As the matter is now before the Courts it would not be appropriate to speculate further, except to state that it is our intention to robustly defend each of the grounds alleged."

4. Social Clauses, Socio-Economic Returns and Community Benefits

- i) The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- ii) Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators.
- iii) Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the 'Invitation to Tender' documents to be released on the 27th May 2013.

PROJECT UPDATES

5. UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- iii) Eleven claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.
- iv) Previous slippage against the budget for 2012/13 has been addressed through re-profiling of the budgets across the programme.

ISSUES

None at present.

6. IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target. Dates to be monitored on an on-going basis for any slippage.

- i) The project is currently on programme with full commitment of the public sector spend expected within the CSR period (provided that significant legal challenges are avoided.) Completion of the construction works is anticipated in June 2015. Target dates for key project milestones are outlined in the table above.
- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Return date for tenders is 24th June 2013.
- iii) Full spend target for 2012/13 year has been met.
- iv) Belfast City Council has developed a master-plan to look at the potential for future regeneration of the wider site adjacent to Midgeley Park, Boucher Road and the Olympia Leisure Centre. IFA are in discussions with the Council around the management of the community facilities block at the West end of

the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.

- v) The Funding Agreement is being developed. Significant work will need to be carried out in the coming months to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- vi) A draft of the FBC was received from IFA on 27 February 2013 and a draft Benefits Realisation Plan was received on 7th May 2013. DCAL have provided feedback on these drafts and are awaiting a further version being submitted. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.

ISSUES

- i) The Department has clarified its contribution to Compensation Events previously agreed by IFA. Going forward, IFA need to ensure that Departmental approvals are received in advance of work being done for any expenditure that constitutes a 'Compensation Event'.
- ii) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery; otherwise a separate tendering exercise would need to be undertaken with the potential for reduced value for money.
- iii) Funding Agreement and Full Business Case need to be progressed in line with agreed critical path dates.

7. GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Appointed on 5 th September 2012	Appointment delayed following extension of Alcatel Period.
Submission of Planning Application	23.05.13	Date extended to 19 th June 2013	Planning submission date has been extended to 19 th June 2013. Planning approval will need to be turned around in 15 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	On Target	
Planning Approval received	30.09.13	15 week turnaround required on planning approval	
IST Invitation to Tender	27.05.13	On Target	Invitation to Tender documents for the IST appointment on target to be released on 27 th May 2013.
DCAL sign off FBC	01.09.13	On Target	Key activities on target but any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	01.09.13	On Target	
Appoint IST & prepare detailed design	16.09.13	On Target	
Commence Construction	14.10.13	On Target	
Complete Construction	25.09.15	On Target	

- i) Planning submission date has been extended to 19th June 2013 which means the planning submission date has now slipped by two months in the current calendar year. This has meant that practically all of the float in the programme timeline has been used up. Planning approval will need to be turned around in 15 weeks to keep the programme on target. Target dates for other key project milestones are outline in the table above. Significant endeavours will be needed to keep the programme on track in the coming months.
- ii) The Department has met with the local residents group (MORA) to discuss practical ways, where possible, to address residents' concerns around the stadium development.
- iii) The second stage of Community Consultation was launched on 6 February 2013 and significant work is on-going at present in relation to this area of work. A 'model' of the stadium has been built for community consultation purposes and will be on public display from the 22nd May 2013.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. This will further inform community consultation on maximising the wider social, economic and community returns from the Casement stadium project.

- v) There are some concerns around the current cost plan and its fit with the project budget. The cost plan needs to be brought in line with the project budget to address affordability issues.
- vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. GAA will need to ensure that all procurement advice provided by the department is rigorously implemented to avoid potential procurement challenge. Target date for release of ITT tender documentation is the 27th May 2013. This is currently on target.
- vii) The full spend target for the 2012/13 year has been met.
- viii) Business Case consultants were appointed on the 14th February 2013. An initial draft of the business case was received by DCAL on the 8th April 2013. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- ix) The GAA programme timeline remains under intense pressure and will require serious effort and robust management of the ICT in the coming months to keep the programme on track.

ISSUES

- i) All communications to the resident's group and media outlets need to be cleared by the Department before being released by UCGAA.
- ii) Significant concerns exist around the management of the project budget. Recent cost estimates provided by the ICT have not been challenged by the UCGAA. An initial review by the Stadium Team identified a number of areas where savings could be made. A Strategy needs to be prepared around procurement and alignment with the project budget.
- iii) Spend profiles for 2013/14 and 2014/15 need to be reviewed immediately as current estimates provided by UCGAA may represent a mis-match with the programme timeline.
- iv) Significant actions are required in relation to the management of the ICT to keep the project on programme. Over the last number of meetings it has been apparent that there are significant communication issues between the ICT and UCGAA. This is slowing delivery and threatens delivery of public spend within the CSR timeline.
- v) Funding Agreement and Full Business Case need to be progressed in line with critical path dates.

**Minutes of the Stadium Programme Sponsor Board held on
Wednesday 3 July 2013, 2.00 pm, at Parliament Buildings.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL: Cynthia Smith (CS)

IFA: Jim Shaw (JS)

UBIRFU: Sir Nigel Hamilton

In attendance:

GAA: Tom Daly (TD)

**UBIRFU: Shane Logan (SL)
Cecil Watson (CW)**

**IFA: Patrick Nelson (PN)
Les Gaul (LC)**

SIB: Brett Hannam (BH)

SNI: Nick Harkness (NH)

**DCAL: Sinead McCartan (SMcC)
Noel Molloy (NM)
Ciaran McGurk (CM)
Bernie Breen (minutes)**

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting.

1.2 Apologies were received from Peter May (DCAL Interim Permanent Secretary).

1.3 Minister asked about Danny Murphy and extended her best wishes to him for a speedy recovery on behalf of the Sponsor Board.

1.4 TD advised that Danny was making good progress and that he was visiting him later and that he would pass on the good wishes.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting 22 May 2013

3.1 Minister agreed the change suggested by Sir Nigel Hamilton at paragraph 2 of the minutes. **Action Point - amended minutes to be issued.**

3.2 No other comments were made and the minutes of the last meeting were agreed.

4.0 Update report

4.1 The Minister advised that the programme continues to make good progress but significant challenges remain particularly around the GAA and IFA programme timeline. There is a need to avoid lengthy delays around the legal challenges in relation to the GAA IST procurement and the Crusaders Judicial Review around the Windsor Park Project. Minister emphasised that we all have a duty to ensure the projects are delivered as quickly as possible.

4.2 There is a need to get the IFA and GAA projects on the ground as quickly as possible to create opportunities for those who are currently unemployed or those who are facing uncertainty around their future employment.

4.3 Minister noted that any time lost now around procurement activities will delay the appointment of the IST Contractor which could also inevitably lead to cost increases against the project.

4.4 Progress continues to be made in relation to socio-economic returns across the projects. Minister reminded members that opportunities for the long term unemployed and apprenticeships need to be targeted at

those sectors of society suffering from the greatest socio-economic inequalities and deprivation.

4.5 The Minister then asked CS to comment on the update report.

4.6 **Programme and Project Governance**

4.7 CS advised that overall the programme continues to make progress but significant challenges remain particularly with Crusaders legal action and the issue around the GAA IST procurement tenders legal challenge. GAA timeline slipping has meant that the float timeline on programme is used up.

4.8 The Judicial Review has the potential to impact on the IFA project. The hearing is scheduled for 14 December. The Department is working to ensure that the Judicial Review is robustly defended and not to impact on timelines.

4.9 CS advised that regional stadia public art would be in collaboration with the Arts Council and a separate piece would be commissioned for each of the 3 stadia. This would be vibrant and unique for Belfast. The selection panel will include representatives will be from each of the 3 sport governing bodies along with the Arts Council to support the Department in taking this forward.

UBIRFU/RAVENHILL

4.10 CS advised that the project as a whole remains on target for completion by September 2014.

4.11 Stage 1 of the current phase of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is

progressing well and anticipated to be ready by August 2013. State 2 is on target for delivery.

- 4.12 CW advised that they are confident of the completion of the 2 stands within the milestones. Stage 1 will be ready in time for the incoming season commencing with the friendly international fixture on 23rd August 2013.

IFA/WINDSOR PARK

- 4.13 CS noted that the project is currently on programme with full commitment of the public sector spend expected within the CSR period provided that there are no issues around the legal challenges. Completion of the construction works is anticipated by June 2015.
- 4.14 CS advised that the ITT documents have been returned and the assessment of them is now currently taking place.
- 4.15 CS noted that the agreement is approved in line with critical path dates. It was also stressed that the IFA need to ensure that the necessary funding agreement around the facilities block at the West End of the ground and the management issues with Belfast City Council reaches agreement. This would need to be agreed before the appointment of the IST.

UCGAA CASEMENT PARK

- 4.16 CS noted that significant endeavours will be needed to keep the programme on track in the coming months. There is an issue around the target dates for the release of the ICT.
- 4.17 A date for a further meeting with the Residents Group has been finalised with regard to looking at practical ways to address residents concerns.

- 4.18 CS noted that the drafting of the full business case is to be completed and that the draft funding agreement needs to be completed in line with the view of the Department, a meeting is to take place soon.
- 4.19 CS advised that a representative needs to be nominated to sit on the Sponsor Board as soon as possible as SRO's nor IDM are not members of the Sponsor Board.
- 4.20 CS noted that the float on the programme is used up, delays are a threat to keeping the project on track, CS encouraged the GAA to liaise with the Department to resolve any issues.
- 4.21 TD advised that a writ has been served in the court last week with regard to the IST Tender and noted it was important to strike a balance between the integrity of the process and ensuring that they stay on programme within the CSR period. The Department wished to put on record that the GAA have been very proactive. There is complexity in the procurement issue and further possibility of legal issues. A further hearing in the courts is scheduled for 8 September 2013.
- 4.22 Minister encouraged that the GAA to work with the Department on outstanding issues and maintain the integrity of the process, the Department has given the same support to the IFA. Minister advised that it was right to defend the process.
- 4.23 CS stated that we are proactively managing this together particularly with regard to critical dates. CS noted that the legal challenge is very complex and it is important that all liaise closely on the communication issues especially with the media.

5.0 Discussion

- 5.1 Minister thanked CS for her update and everyone for their input.

5.2 Minister stated that work around the social inclusion is crucial to the projects. This is a good news story and the sporting organisations should be proud off this.

6.0 AOB

6.1 LC asked has the Department taken a view on the risk to position of Development Costs. NM advised that the Development costs were not a state aid issue. CS clarified that the Department does not view it as a state aid issue. NM advised that the Development costs sit outside of any state aid issue.

6.2 LC advised the Chair that their Legal Advice is unsure of this view and asked if the Department could put the position in writing for clarity. Minister agreed it would. **Action Point – Department to put position in writing to the IFA.**

7.0 Date of Next Meeting

7.1 The Next meeting had been scheduled for 14 August 2013, Minister asked if the end of August would be a more suitable date, this was agreed. **Action point - new date to be scheduled and members notified.**

7.2 Minister wished to note that she appreciates all the work being done and thanked everyone.

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON 3 JULY 2013

1. Programme and Project Governance

- i) The programme continues to make progress but significant challenges remain particularly around the GAA programme and the need to avoid lengthy delays around legal challenges in relation to the GAA IST procurement and the Crusaders Judicial Review.
- ii) Crusaders FC have made an application for a Judicial Review which has the potential to have an impact on Stadium Programme development. The hearing is scheduled for December 2013. The department has developed a number of mitigating strategies designed to keep the projects and programme on track.
- iii) Preliminary steps have been commenced in commercial court by Lagan Somague JV against UCGAA in relation to shortlisting of contractors for the IST appointment. UCGAA are taking steps to mitigate against any potential impact on programme timelines.

2. Spend Profile

- i) The full spend target of £7.2m for 2012/13 was met.
- ii) Governing Bodies have now submitted revised spend profiles for 2013/14 and 2014/15 which creates a pressure of £1,710,345 in 2013/14 and a corresponding reduction in the following year. These figures are subject to ongoing monitoring and liaison with DFP at quarterly monitoring rounds.

3. Communications

- i) There have been no high profile PR events in the past month. A number of informal communication activities are progressing across the three sports.
- ii) As the Crusaders' Judicial Review matter is now with the Courts the Department's line for enquiries is: "As the matter is now before the Courts it would not be appropriate to speculate further, except to state that it is our intention to robustly defend each of the grounds alleged."

4. Social Clauses, Socio-Economic Returns and Community Benefits

- i) The IST contractor on the Rugby project has submitted an Employment Plan for the delivery of social benefits on the project. Compliance with social clause obligations is being monitored on an on-going basis.
- ii) Social clause award criteria for the IST contract have been agreed between the Department and the IFA and has formed part of the 'Invitation to Tender' documents released to the shortlisted economic operators. Tender Returns were received on 24th June 2013.

- iii) Social clause criteria for the IST contract are being developed between the Department and GAA and will form part of the 'Invitation to Tender' documents to be released at the start of July 2013.

PROJECT UPDATES

5. UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	02.09.13	On target	Phase 1 completion of the Aquinas and Memorial Stands is on track against the overall master programme.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) The current phase (Phase I) of the project involves the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.
- iv) Twelve claims for grant payment have been paid. The payment arrangements between the Department and UBIRFU are working very efficiently.

ISSUES

None at present.

6. IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	24.07.13	On target	Currently on target provided that significant delays around legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Funding Agreement signed off by DCAL & IFA	24.07.13	On target	Currently on target provided that significant delays around legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Appoint IST & prepare detailed design	24.07.13	On target	Currently on target provided that significant delays around legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Commence Construction	19.08.13	On target	Currently on target provided that significant delays around legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.
Complete Construction	05.06.15	On target	Currently on target provided that significant delays around legal challenges are avoided. Dates to be monitored on an on-going basis for any slippage.

- i) The project is currently on programme with full commitment of the public sector spend expected within the CSR period (provided that significant delays around legal challenges are avoided.) Completion of the construction works is anticipated by June 2015. Target dates for key project milestones are outlined in the table above.
- ii) IST Invitation to Tender documentation was issued to the 5 shortlisted contractors on the 7th March 2013. Tenders were returned on 24th June 2013 and assessment of the ITT returns is currently taking place.
- iii) Full spend target for 2012/13 year has been met.
- iv) IFA are in discussions with the Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project.
- v) A further draft of the Funding Agreement has been sent to IFA's legal advisors. Further work will be needed to ensure the Funding Agreement is approved in line with the critical path dates agreed with the Department.
- vi) A further draft of the full business case was received on the 21st June 2013. Further work will be needed to ensure the full Business Case is approved in line with the critical path dates agreed with the Department.

ISSUES

- i) The Department has clarified its contribution to Compensation Events previously agreed by IFA. Going forward, IFA need to ensure that Departmental approvals are received in advance of work being done for any expenditure that constitutes a 'Compensation Event'.
- ii) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.
- iii) The Funding Agreement and Full Business Case need to be progressed in line with agreed critical path dates to keep the project on programme.

7. GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2013 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	
Planning Approval received	05.11.13	20 week turnaround required on planning approval	
IST Invitation to Tender	03.06.13	Revised to early July as a result of procurement queries.	Invitation to Tender documents for the IST appointment have been finalised. However they have not been issued due to procurement query from one of the EO's.
DCAL sign off FBC	06.09.13	On Target	Key activities on target provided that significant legal challenges are avoided. Any slippage will need to be addressed immediately. Robust management of ICT is needed in the coming months to ensure project remains on programme.
Funding Agreement signed off by DCAL & UCGAA	06.09.13	On Target	
Appoint IST & prepare detailed design	23.09.13	On Target	
Commence Construction	05.11.13	On Target	
Complete Construction	25.09.15	On Target	

- i) Planning application was submitted on the 19th June 2013. Planning approval will need to be turned around in 20 weeks to keep the programme on target. Target dates for other key project milestones are outlined in the table above. Significant endeavours will be needed to keep the programme on track in the coming months.
- ii) The Department has met with the local residents group (MORA) to discuss practical ways, where possible, to address residents' concerns around the stadium development. A date for a further meeting between UCGAA, MORA & the department is being finalised.
- iii) The second stage of Community Consultation finished on the 5th June 2013.
- iv) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.
- v) The current cost plan has been reviewed to ensure fit with the project budget.

- vi) The IST PQQ returns were assessed and moderation was completed by the 20th March 2013. Target date for release of ITT tender documentation has been put back due to a procurement query from an unsuccessful Economic Operator. It is envisaged that the ITT packs will be released by early July 2013.
- vii) The full spend target for the 2012/13 year has been met.
- viii) An initial draft of the business case was received by DCAL on the 8th April 2013 and feedback provided to the business case consultants. The drafting of the Full Business Case needs to be completed in line with the critical path dates agreed with the Department.
- ix) A draft Funding Agreement has been sent to GAA. The approval of the Funding Agreement is on the critical path for the project and needs to be completed in line with the dates agreed with the Department.
- x) The GAA programme timeline remains under significant pressure and will require serious effort and robust management of the ICT in the coming months to keep the programme on track.

ISSUES

- i) Procurement queries need to be dealt with in an effective and timely manner with advice from legal advisors and CPD built into GAA's responses to keep the programme on track.
- ii) The Funding Agreement and Full Business Case need to be progressed in line with critical path dates, otherwise appointment of the contractor will be delayed.
- iii) All communications to the resident's group and media outlets need to be cleared by the Department before being released by UCGAA.
- iv) UCGAA needs to use all its endeavours in the coming months to keep the programme timeline on track.

**Minutes of the Stadium Programme Sponsor Board held on
Wednesday 23rd October 2013, 11.00am, at Causeway Exchange.**

Present

Members:

Chair: Minister Carál Ní Chuilín

DCAL: Cynthia Smith (CS)

IFA: Jim Shaw (JS)

UBIRFU: Sir Nigel Hamilton

In attendance:

GAA: Tom Daly (TD)

**UBIRFU: Shane Logan (SL)
Cecil Watson (CW)**

IFA: Les Caul (LC)

SNI: Nick Harkness (NH)

**DCAL: Jarlath Kearney (Special Advisor)
Noel Molloy (NM)
Mick Cory (MC)
Ciaran McGurk (CMG)
Siobhan Watson (minutes)**

1.0 Welcome and Introductions.

1.1 Minister welcomed all to the meeting.

1.2 Apologies were received from Peter May (DCAL Interim Permanent Secretary), Brett Hannam (SIB), Patrick Nelson (IFA) and Danny Murphy (UCGAA).

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting of 3rd July 2013

3.1 Members were content with the minutes of the last meeting and therefore the minutes of 3rd July 2013 were agreed.

4.0 Update report

UBIRFU/RAVENHILL

4.1 Minister began with speaking about the Rugby project and noted that the project as a whole remains on target with full commitment of the public sector spend expected within the current CSR period.

4.2 SL advised that Ulster Rugby anticipate that the main construction work will be completed by the end of April 2014 and therefore Ulster Rugby would be keen to have the official opening coinciding with the Ulster v Leinster league game scheduled for early May 2014. SL advised that he would liaise with DCAL officials in terms of this.

IFAWINDSOR PARK

4.3 Minister noted that development work is progressing well in terms of the IFA project but challenges remain in terms of the resolution of the IFA governance issue, discussions between IFA and Belfast City Council around the management of the community facilities block at the West end of the ground and also in terms of the finalisation of the Funding Agreement and Full Business Case.

UCGAA/CASEMENT PARK

4.4 Minister advised that challenges remain around the UCGAA project however the development work is progressing in the right direction. It was noted that the planning application for the UCGAA project was submitted on 19th June 2013 with a decision expected before the end

of this year. Minister reiterated that UCGAA need to ensure that the procurement challenge is dealt with as quickly as possible.

- 4.5 TD advised that the draft FBC would be submitted to the Department within 10 days and that it would be approximately 90% complete. The other 10% includes details around the price and the community facility elements.

PROGRAMME PROGRESS

- 4.6 Minister noted that due to the successful partnership working, all media both positive and negative, in terms of the whole Stadium Programme has been dealt with effectively and therefore leaves the Programme in good stead.
- 4.7 Having made these points, Minister now invited Cynthia to comment on the Programme Update Report.
- 4.8 CS emphasised that the programme is entering a critical phase in the coming weeks and months with the anticipated appointment of the contractors for Windsor Park and Casement Park. It is therefore of utmost importance that the IFA and GAA continue to manage all risks and issues to achieve resolution within the required programme timelines.
- 4.9 CS summarised the key risks and issues currently impacting on programme delivery.
- 4.10 CS advised that the IFA IST tenders were returned on 23rd September 2013 and DCAL await a tender report from CPD. A shortfall currently exists between the project cost and the available funding. This gap will need to be addressed in the coming weeks either through elimination of Provisional sums, value engineering or through sourcing additional funding.

- 4.11 Recently the IFA changed their Articles of Association without informing the Department. CS advised that the Department are working with the IFA to review the implications of the changes made and to be assured that appropriate governance and accountability structures have been maintained and fully meet the needs of DCAL.
- 4.12 CS emphasised that the budget issue and governance issues must be resolved before DCAL consider signing the funding agreement.
- 4.13 In relation to the GAA project, a legal challenge has been taken in relation to short listing of contractors for the IST competition. CS reiterated that decisive action is required in the coming weeks to manage this risk to programme delivery.
- 4.14 Another key risk for GAA is around planning. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months. CS asked that UCGAA continue to liaise with DOE on this matter to assist them in whatever means necessary to avoid issues.
- 4.15 CS advised that the Crusaders Football Club Judicial Review was dismissed by the High Court on 14 August 2013 and acknowledged that this represents good news across the programme. The Department's position is that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid, or constitutes compatible State Aid. The Department will continue to pro-actively manage this issue to ensure as quick a resolution as possible.

5.0 Discussion

- 5.1 Minister thanked CS for her update and invited the Governing Bodies to discuss any issues they wish to raise.
- 5.2 Sir Nigel Hamilton enquired further about State Aid.
- 5.3 Minister advised that the Department have to pursue with the required procedure and it will further proof any future budgets/investments.
- 5.4 NM reassured the Governing Bodies that the Department is engaging regularly with EU officials on this matter.
- 5.5 SL advised that Ulster Rugby is coming up against potential problems including rates dramatically increasing and the policing around the stadium on match nights. SL suggested that a joined up approach with the other Governing Bodies could be taken to both of these potential issues.
- 5.6 NM advised that engagement at programme level, between DCAL and the PSNI, will begin soon in terms of policing at each of the stadiums.
- 5.7 TD agreed that a joined up approach would be beneficial in terms of potential problems around increased rates and policing around the stadiums.
- 5.8 SL further advised that Ulster Rugby have taken on board some learning points in terms of the Red/Green Guide and would be happy to share these learning points with the IFA and UCGAA if they wished.
- 5.9 JS emphasised that a timely decision of the State Aid issue will be critical for the IFA project as it has the potential to create significant delays. JS welcomed Ulster Rugby's advice on their learning points.
- 5.10 Minister once again emphasised that the Department are pro-actively managing the State Aid issue to ensure as quick a resolution as possible.

- 5.11 LS provided an update on the status of the review of the implications of recent governance changes which had been requested by the Department. LS advised that an Independent Report on IFA's governance arrangements and also legal opinion will soon be with the Department, if it is not with the Department already. LS stated that the IFA are currently still waiting on a response from the Department in terms of the IFA's position in relation to State Aid and their Development Costs funding.
- 5.12 CS requested that the IFA ensure that any information available in terms of the Governance Review is forwarded to the Department as quickly as possible. CS confirmed that the Department are currently working on a response to the IFA in terms of their Development Costs funding and a response will be issued to IFA in due course.
- 5.13 TD advised that the UCGAA are currently working on getting the Full Business Case and Funding Agreement closed out and continue to manage the risk to programme delivery, where possible, in terms of the legal challenge being taken.
- 5.14 Minister closed the meeting by emphasising that she has a will of expectation to have a firm position on the IFA and UCGAA projects by mid December and still remains optimistic that the challenges and potential risks that remain ahead in the coming weeks will be pro-actively managed and resolved.

6.0 AOB

- 6.1 No other business noted.

7.0 Date of Next Meeting

- 7.1 Minister advised that she would be keen for a meeting pre-Christmas, members agreed to this. **Action point – date in December to be scheduled and members notified.**

**SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON
WEDNESDAY 23RD OCTOBER 2013**

1.0 Programme and Project Progress

1.1 The programme is entering a critical phase in the coming weeks and months with the anticipated appointment of the contractors for Windsor Park and Casement Park.

1.2 A number of significant risks and issues have the potential to threaten the programme timelines if they are not proactively managed in the coming weeks. These include:

- Fit of the Windsor Park project with the project budget;
- The need for assurance from IFA that governance arrangements remain appropriate in advance of the significant investment relating to the Stadium project;
- The procurement challenge in relation to the process for the appointment of the contractor on the Casement Park project;
- A potential Judicial Review in relation to planning for the Casement Park project.

The Governing Bodies for IFA and UCGAA need to take decisive action in managing these risks and resolving issues in the coming weeks.

1.3 The Crusaders Football Club Judicial Review was dismissed by the High Court on 14 August 2013. This represents good news across the programme. The Department's position is that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid or constitutes compatible State Aid.

2.0 Spend Profile

2.1 In August 2013 the Governing Bodies submitted anticipated spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.

2.2 Actual spend on the Ravenhill project is on target against the budget for the 2013/14 year.

2.3 In relation to the Casement Park project, the on-going procurement challenge and a potential Judicial Review in relation to planning may increase the risk of slippage against the 2013/14 budget. In addition the procurement and planning risks have increased the potential for slippage beyond the current CSR period.

- 2.4 Similarly, the issues currently threatening delivery of the Windsor Park project in relation to fit with budget and governance may increase the risk of slippage against the 2013/14 budget and the potential for subsequent slippage into the next CSR period.
- 2.5 IFA and UCGAA must proactively manage risks and resolve current issues. There is the potential for slippage of between £3.5m to £4.3m in 2013/14 if programmes are delayed.

3.0 Communications

- 3.1 A number of informal communication activities are progressing across the three projects.

PROJECT UPDATES

4.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing very well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are on programme for delivery within approved contract dates.

ISSUES

None at present.

5.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	Dates to be confirmed upon resolution of outstanding issues around budget, governance and State Aid.	N/A	Risks need to be managed and issues resolved by IFA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Funding Agreement signed off by DCAL & IFA			
Appoint IST & prepare detailed design			
Commence Construction			
Complete Construction			

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period. However risks and issues exist which threaten delivery of this programme.
- ii) The IFA IST tenders were returned on 23rd September 2013 and are currently being reviewed. A shortfall currently exists between the project cost (based on lowest tender price) and the available funding. This gap will need to be addressed in the coming weeks, either through value engineering or through sourcing additional funding.
- iii) Recently the IFA changed their Articles of Association without informing the Department. The changes impact on the Department's assurance that the IFA governance arrangements remain appropriate. The Department are working with the IFA to review the implications of the changes made and to be assured that appropriate governance and accountability structures have been maintained and fully meet the needs of DCAL. The Funding Agreement will not be signed off by the Department until these assurances have been received.
- iv) IFA are in discussions with Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.

- v) A meeting was held on 5th September 2013 with IFA and IFA's legal advisors to discuss the Funding Agreement. This meeting secured significant progress on closing out the key issues within the Funding Agreement.
- vi) Feedback has been provided to the IFA on the draft Full Business Case. This work has progressed well between IFA and the Department.

ISSUES

- i) The IFA will need to provide assurance to the Department that governance arrangements are robust and transparent to allow the Funding Agreement to be approved.
- ii) The shortfall between the current estimated project cost and the available funding will need to be addressed in the coming weeks.
- iii) The Funding Agreement and Full Business Case need to be closed out to keep the project on programme.
- iv) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same. Agreement would need to be reached prior to appointment of the IST to facilitate joined-up project delivery.

6.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submitted on 19 th June 2013.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	Completed in May 2013.
Planning Approval received	05.11.13	20 week turnaround required on planning approval	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	Dates to be confirmed upon resolution of outstanding issues around the procurement challenge, a potential Judicial Review in relation to planning and State Aid.	N/A	Risks need to be managed and issues resolved by UCGAA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Funding Agreement signed off by DCAL & UCGAA			
Appoint IST & prepare detailed design			
Commence Construction			
Complete Construction			

- i) The GAA programme remains challenging. The on-going procurement challenge and a potential judicial review in relation to planning may increase the risk of potential delivery of some of the public funding contribution outside the current CSR period.
- ii) Planning application was submitted on the 19th June 2013. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months. There is a significant possibility that the MORA residents group may seek Leave for a Judicial Review against any decision to approve planning for the Casement Park project. UCGAA will need to carefully monitor this risk in the coming weeks and if this risk crystallises, then UCGAA should ensure that proactive and timely actions are undertaken to minimise any impact on programme timelines.

- iii) A legal challenge has been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. Decisive action is required in the coming weeks to manage this risk to programme delivery. This constitutes a major risk for UCGAA.
- iv) The IST tender packs were released to the economic operators on 11th July 2013. Tender return date has been extended by two weeks to 4th November 2013.
- v) The current cost plan has been reviewed to ensure fit with the project budget. GAA have issued clarifications to tendering contractors around value engineering exercises to maintain flexibility in relation to management of the budget.
- vi) GAA in conjunction with DCAL have developed a Brief for the proposed community facilities at the Andersontown Road end of the ground. Further community consultation around maximising the use of this space for social, economic and community returns is currently taking place.
- vii) The approval of the Funding Agreement is on the critical path for the project. Significant progress has been made on this document in recent weeks.
- viii) The Department has not received a further draft of the Full Business Case from UCGAA despite repeated requests for this document. Approval of the Full Business Case is critical to project delivery.

ISSUES

- i) UCGAA need to ensure that the procurement challenge is dealt with in a decisive, effective and timely manner in the coming weeks to protect the programme timeline.
- ii) UCGAA need to effectively manage the risk to the project timeline that may arise from a potential Judicial Review around planning.
- iii) A further draft of the Full Business Case needs to be delivered to the Department for consideration immediately.
- iv) The final elements of drafting in relation to the Funding Agreement need to be closed out.

DRAFT MINUTES

Minutes of the Stadium Programme Sponsor Board held on
Wednesday 18th December 2013, 2.00pm, at Causeway Exchange.

Present

Members:

DCAL: Cynthia Smith (CS)

IFA: Jim Shaw (JS)

In attendance:

GAA: Danny Murphy (DM)
Tom Daly (TD)

IFA: Les Caul (LC)
Patrick Nelson (PN)

UBIRFU: Shane Logan (SL)

SNI: Antoinette McKeown (AMcK)

SIB: Brett Hannam (BH)

DCAL: Jarlath Kearney (Special Advisor)
Peter May (PM) - Chair
Noel Molloy (NM)
Sinead McCartan (SMcC)
Siobhan Watson (minutes)

1.0 Welcome and Introductions.

1.1 PM welcomed all to the meeting and in addition welcomed Antoinette McKeown to her first meeting of the Sponsor Board.

1.2 Jarlath Kearney, Special Advisor, welcomed everyone to the meeting and passed on the Minister's sincere apologies as she was unable to attend today's meeting of the Sponsor Board. Jarlath Kearney thanked the Governing Bodies on their work to date on the Stadium projects and finished by wishing all on the Sponsor Board a very happy Christmas on behalf of the Minister.

DRAFT MINUTES

1.3 Apologies were received from Minister Carál Ní Chuilín, Sir Nigel Hamilton, Cecil Watson and Mick Cory.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting of 23rd October 2013

3.1 Members were content with the minutes of the last meeting and therefore the minutes of 23rd October 2013 were agreed.

3.2 DM referred to the minutes of the Sponsor Board on 23rd October 2013 in relation to State Aid and asked for an update on the current status of same. CS advised that the Judicial Review on State Aid was withdrawn by the plaintiff on 14th August 2013. The Department's position continues to be that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid or constitutes compatible State Aid. NM further advised that through discussions with UK REP, it appears that the EU officials are fairly content and DCAL are likely to receive a written response early in the New Year.

4.0 Update report

4.1 PM referred the Sponsor Board to the Update Report previously circulated and highlighted a few issues.

4.2 PM noted that the programme is entering a critical phase in the coming days with the anticipated appointment of the contractors for Windsor Park and Casement Park which has been marked by the release of the Alcatel letters for both projects on 9th December 2013.

DRAFT MINUTES

- 4.3 PM advised that a number of significant issues need to be addressed in the coming days and therefore asked the Governing Bodies for IFA and UCGAA to continue to take decisive action in managing any risks and resolving any issues in the coming days. These include:
- Fit of the Windsor Park project within the project budget;
 - GAA Funding Agreement; and
 - Details of IFA Stadium Development Company.
- 4.4 Members noted there is still the potential for procurement challenges on the IFA and UCGAA procurement projects until the final procurement process is complete.
- 4.5 Peter May invited Cynthia Smith as Programme SRO to comment on the Programme Update Report.

PROGRAMME AND PROJECT PROGRESS

- 4.6 CS began by reiterating what the Interim Permanent Secretary has said about the programme entering a critical phase in the coming days with the anticipated appointment of the contractors for Windsor Park and Casement Park. It is therefore of utmost importance that the IFA and GAA continue to manage all issues to achieve resolution within the required programme timelines.

UPDATE ON ULSTER RUGBY PROJECT

- 4.7 CS provided an update on the UBIRFU project:
- Project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014.
 - Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. These works are of a very high standard.

DRAFT MINUTES

- Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Construction works are progressing well and are on programme for delivery within approved contract dates.
- The fit out of the Education and Heritage Centre is still on programme for completion in September 2014.
- DCAL are currently considering proposals from UBIRFU with regard to optimising the delivery of the socio-economic returns which are a key component of the overall programme and each individual project.
- No issues to report at present on the UBIRFU project.

UPDATE ON IFA PROJECT

4.8 CS provided an update on the IFA project:

- Risks and issues exist which could threaten delivery of the programme and therefore it is vital that the IFA continue to manage all risks and issues to achieve resolution within the required programme timelines.
- As previously stated, the shortfall between the current estimated project cost and the available funding will need to be addressed in the coming days.
- The Independent Governance Review has been completed. The recommendations, when implemented, will provide enhanced assurance regarding Governance of the IFA. The IFA Board unanimously accepted the recommendations of the Governance Review on 28th November 2013.
- DCAL have been working with the IFA on the Full Business Case and this is now in a position in which it can be agreed.
- The Funding Agreement was unanimously agreed by the IFA Board on 28th November 2013, subject to a few minor amendments to specific clauses which DCAL are content with.

DRAFT MINUTES

- Identification of the Most Economical Advantageous Tender (MEAT) for Windsor has been completed. The Alcatel letter has been released and provided there is no challenge during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with IFA once satisfied on funding and SDC.

UPDATE ON UCGAA PROJECT

4.9 CS provided an update on the UCGAA project:

- Again, significant risks and issues exist that threaten delivery of the programme. The potential judicial review in relation to planning may increase the risk of potential delivery of some of the public funding contribution outside the current CSR period.
- In addition, UCGAA need to effectively manage any risk to the project timeline that may arise from a potential Judicial Review around planning.
- DCAL have been working with the UCGAA on the Full Business Case and significant work is ongoing.
- The approval of the Funding Agreement is on the critical path for the project. Significant progress has been made on this document in recent weeks.
- Identification of the Most Economical Advantageous Tender (MEAT) for Casement project has been completed. The Alcatel letter has been released and provided there is no challenge during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with UCGAA, once agreed.

DRAFT MINUTES

- 4.10 CS finished by asking UCGAA and IFA to take urgent action to move all work streams forward to keep the projects on track.
- 4.11 Peter May thanked Cynthia for her comments and invited the Governing Bodies to discuss any issues they would like to raise.

5.0 Discussion

- 5.1 PN spoke on behalf of IFA and advised that IFA recognise the points raised in relation to IFA and are currently working with Noel Molloy to resolve all outstanding issues. NM informed members that the outstanding issues include IFA Stadium Development Company (SDC) and secondly, the gap in funding and advised that he is currently liaising with IFA in terms of the IFA SDC and liaising with DFP in relation to the gap in funding.
- 5.2 TD spoke on behalf of UCGAA and advised that UCGAA have been focusing on the procurement of the IST in recent weeks in which the Alcatel period completes on 19th December 2013 and also advised that UCGAA currently await a decision on planning.
- 5.3 TD updated the Sponsor Board in terms of the Gateway Review 3 and advised that an Amber rating has been achieved. It was noted that Gateway Recommendations are in relation to risk management, reassurance of fit for purpose and capacity issues moving from this current stage to the construction stage of the project. TD confirmed that the recommendations are sensible, manageable and there was nothing which would impact on the proposed immediate next steps of finalising the funding agreement and letting the contract. It was noted that as a result of the Gateway Review 3 there will be a workshop held in January 2014 for the personnel working on the Casement Park project to focus on Compensation Event management.

DRAFT MINUTES

- 5.4 DM advised that UCGAA and DCAL are currently working together to resolve any issues in terms of the Funding Agreement for agreement by all parties. It was noted that these issues could be quickly resolved.
- 5.5 SL spoke on behalf of UBIRFU and advised that the Ravenhill project is currently progressing well however there are a number of issues which require attention and are currently being dealt with. These issues include increased rates and demands for policing.
- 5.6 It was noted that all three Governing Bodies share the same concerns in terms of increased rates and demands for policing and therefore NM advised that an Operational Forum would be set up to discuss these issues at a programme level. **Action: Operational Forum to be established (Carl Southern).**
- 5.7 SL advised that the inconsistency of physical and safety management factors and best practice is a concern for UBIRFU. It was noted that the safety European best practice is currently not consistent with local interpretation which raises concerns. Both IFA and UCGAA also raised similar concerns and reiterated the importance of a consistent approach.
- 5.8 DM emphasised the importance of the Safety Advisory Groups taking a consistent approach as to Councils to ensure consistency is achieved and all wished to see the same standards applied here as elsewhere.
- 5.9 The Governing Bodies concerns were noted and NM confirmed that while the guidance is adhered to in accordance with the size and scale of each project, it should be noted that the guidance could be subjective and therefore discussions around these issues are required. It was noted that these issues needed to be addressed at the next stage of the programme and did not impact on immediate next steps being taken.

DRAFT MINUTES

5.10 AMcK further advised that there are different interpretations of the Green/Red Guides and therefore further discussions are required to resolve any issues. **Action: It was agreed that Noel Molloy and Antoinette McKeown would meet to discuss.**

6.0 AOB

6.1 PM wished all in attendance a very happy Christmas and reiterated the importance to the programme of making progress on Casement and Windsor to achieve critical deadlines in the coming days.

7.0 Date of Next Meeting

7.1 It was agreed that the next meeting of the Sponsor Board will take place early 2014. **Action: Dates for 2014 to be circulated (SW).**

**SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON
WEDNESDAY 18TH DECEMBER 2013**

1.0 Programme and Project Progress

- 1.1 The programme is entering a critical phase in the coming days with the anticipated appointment of the contractors for Windsor Park and Casement Park which has been marked by the release of the Alcatel letters for both projects on 9th December 2013.
- 1.2 A number of significant risks and issues have the potential to threaten the programme timelines if they are not proactively managed in the coming days. These include:
- Fit of the Windsor Park project with the project budget; and
 - Sign off of UCGAA Funding Agreement.
- 1.3 The matters are being proactively managed by the Governing Bodies with assistance from DCAL.
- 1.4 The Judicial Review on State Aid was withdrawn by the plaintiff on 14th August 2013. The Department's position is that the Stadium programme funding is not State Aid. However for reasons of legal certainty, DCAL officials through UK REP have issued a pre-notification to EU officials on this matter. The pre-notification will be followed by final notification once EU officials are content that the programme does not represent State Aid or constitutes compatible State Aid. A positive determination on State Aid by the Commission is a Condition Precedent of the Funding Agreements with IFA and UCGAA.
- 1.5 There will still be the potential for Procurement challenges until the final process is completed.

2.0 Spend Profile

- 2.1 In August 2013 the Governing Bodies submitted anticipated spend profiles for 2013/14 which anticipate spend of £16.3m in this financial year.
- 2.2 Actual spend on the Ravenhill project is on target against the budget for the 2013/14 year.
- 2.3 In relation to the Casement Park project, the potential planning issues may increase the risk of slippage against the 2013/14 budget and the potential for slippage beyond the current CSR period.
- 2.4 Similarly, the issue currently threatening delivery of the Windsor Park project in relation to fit with budget may increase the risk of slippage against the 2013/14 budget and the potential for subsequent slippage into the next CSR period.

- 2.5 IFA and UCGAA must proactively manage risks and resolve current issues. There is the potential for slippage of between £3.5m to £4.3m in 2013/14.
- 2.6 Officials have and continue to liaise with DFP with regards to spend profile allocations.

3.0 Communications

- 3.1 A number of informal communication activities are progressing across the three projects.
- 3.2 Discussions are currently ongoing in relation to the potential opening of the UBIRFU venue being pencilled in for their match against Leinster on 2nd May 2014.

PROJECT UPDATES

4.0 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	Delay with appointment of IST due to late submission to DCAL of Funding Agreement.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- i) The project as a whole remains on target with full commitment of the public sector spend expected within the CSR period. Completion of the construction works is anticipated in September 2014. Target dates for key project milestones are outlined in the table above.
- ii) Phase 1 of the project is now complete which involved the construction of new stands at the Aquinas and Memorial ends of the ground. Work is progressing very well with the overall programme remaining on target.
- iii) Phase II works, which involves the demolition and provision of a new Grandstand, commenced in May 2013. Main construction work is ahead of programme with a potential opening of the venue being pencilled in for their match against Leinster on 2nd May 2014.
- iv) The fit out of the Educational and Heritage Centre is still on programme for completion in September 2014.
- v) DCAL are currently considering proposals from UBIRFU with regard to optimising the delivery of the socio-economic returns which are a key component of the overall programme and each individual project.
- vi) Any proposals approved can be funded through additional bids or from easements within the overall Regional Stadium Programme funding envelope.

ISSUES

None at present.

5.0 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
ICT Develops Design to Stage D	21.12.12	Completed	Completed by the target date of 21 st December 2012.
Planning Approval received	22.07.13	Completed	Received on 20 th February 2013 ahead of schedule.
IST Invitation to Tender	19.03.13	Completed	Issued on 7 th March 2013.
DCAL sign off FBC	12.12.13	On Target	Provided this programme can be maintained, IFA deliver a compliant Full Business Case and there is no challenge to the identification of the Most Economical Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement on 19 th December 2013.
Funding Agreement signed off by DCAL & IFA	19.12.13	On Target	
Appoint IST & prepare detailed design	Dates to be confirmed upon resolution of outstanding issues around budget, governance and State Aid.		Risks need to be managed and issues resolved by IFA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Commence Construction			
Complete Construction			

- i) A new programme has been provided by IFA to reflect tenders coming in over budget. The new programme still provides for full commitment of the public sector spend within the current CSR period. However risks and issues exist which threaten delivery of this programme.
- ii) The Independent Governance Review has been completed and makes a number of recommendations which if implemented, will provide enhanced assurance regarding the Governance of the IFA, particularly with regard to the significant funding being potentially awarded. The IFA Board unanimously accepted the recommendations of the FPM Governance Review on 28th November 2013.
- iii) DCAL have been working with the IFA on the Full Business Case and this is now in a position in which it can be agreed.
- iv) DCAL has concluded its drafting of the Agreement. The Funding Agreement was put to the IFA Board for consideration on Thursday 28th November 2013 and has unanimously been agreed, with minor amendments to specific clauses which DCAL are content with.

- v) As the identification of the Most Economical Advantageous Tender (MEAT) for Windsor has been completed, the next step is to inform the various contractors of the intention to award through the release of an Alcatel letter.
- vi) The Alcatel letter was released as the following was completed:
- The Governance Review provides the necessary assurance to DCAL;
 - The recommendations of the Governance Review have been agreed and approved by the IFA Board; and
 - The Funding Agreement has been agreed and approved by the IFA.
- vii) Provided there is no challenge to the identification of the MEAT during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with IFA.
- viii) There will be a number of "condition Precedents" within the funding agreement which will state that grants will only be paid once the following has been completed:
- The EU commission confirm that the Regional Stadium Programme is not State Aid or is permissible State Aid and;
 - That the IFA have implemented the recommendations of the independent governance review.
- ix) Provided this programme can be maintained and IFA deliver a compliant Full Business Case then it would be possible to sign the Funding Agreement on 19th December 2013.
- x) IFA are still in discussions with Belfast City Council around the management of the community facilities block at the West end of the ground as a means of maximising the wider social, economic and community returns from the Windsor Park stadium project. This work has progressed well in recent weeks.

ISSUES

- i) The shortfall between the current estimated project cost and the available funding will need to be addressed in the coming days.
- ii) Belfast City Council are developing a legal agreement with IFA in relation to the likely facility provision within the West end of the ground and the proposed management arrangements of same.
- iii) The detail with regard to SDC need to be resolved.

6.0 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Appoint ICT	25.07.12	Completed	Appointment made on 5 th September 2012 following extension of Alcatel Period.
Submission of Planning Application	19.06.13	Completed	Planning submitted on 19 th June 2013.
ICT Develops Design to RIBA Stage E	27.05.13	Completed	Completed in May 2013.
Planning Approval received	05.11.13	20 week turnaround required on planning approval	Planning submission submitted on 19 th June 2013. Planning approval will need to be turned around in 20 weeks to keep programme on target.
IST Invitation to Tender	03.06.13	Completed.	Invitation to Tender documents were issued to 6 economic operators on 11 July 2013.
DCAL sign off FBC	12.12.13		Provided this programme can be maintained, UCGAA deliver a compliant Full Business Case, accept the Funding Agreement and there is no challenge to the identification of the Most Economical Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement on 19 th December 2013.
Funding Agreement signed off by DCAL & UCGAA	19.12.13		
Appoint IST & prepare detailed design	Dates to be confirmed upon resolution of outstanding issues around a potential Judicial Review in relation to planning and State Aid.		Risks need to be managed and issues resolved by UCGAA in the coming weeks to deliver a programme that fits with the current CSR timeframes.
Commence Construction			
Complete Construction			

- i) The GAA programme remains challenging. The potential planning issues may increase the risk of potential delivery of some of the public funding contribution outside the current CSR period. DCAL are working with DFP on this matter.

- ii) Planning application was submitted on the 19th June 2013. The consultation process is ongoing and therefore a definitive timescale for a decision is not currently available from DOE. However DOE have given a commitment that the application would be turned around within six months. There is a significant possibility that the MORA residents group may seek Leave for a Judicial Review against any decision to approve planning for the Casement Park project. UCGAA will need to carefully monitor this risk in the coming weeks and if this risk crystallises, then UCGAA should ensure that proactive and timely actions are undertaken to minimise any impact on programme timelines.
- iii) A legal challenge had been taken by Lagan Somague JV against UCGAA in relation to short listing of contractors for the IST competition. This has now been withdrawn.
- iv) The IST tender packs were released to the economic operators on 11th July 2013. The tenders for Casement Park have been assessed. The Tender Report was completed on Monday 9th December 2013.
- v) As the identification of the Most Economical Advantageous Tender (MEAT) for Casement Park has been completed, the next step is to inform the various contractors of the intention to award through the release of an Alcatel letter.
- vi) Provided there is no challenge to the identification of the MEAT during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with UCGAA.
- vii) DCAL has been working with UCGAA on the Full Business Case and significant work is ongoing. Approval of the Full Business Case is critical to project delivery.
- viii) DCAL have been working with UCGAA on the Funding Agreement to the UCGAA and significant work needs to be completed in order to have this agreed for 18th December 2013. The approval of the Funding Agreement is on the critical path for the project. Significant progress has been made on this document in recent weeks.
- ix) Provided there is no challenge to the identification of the Most Economically Advantageous Tender (MEAT) during the Alcatel period which prevents the awarding of the contract, DCAL will be in a position to sign the Funding Agreement with UCGAA.
- x) There will be a number of "condition Precedents" within the Funding Agreement which will state that grants will only be paid once the following has been completed:
 - The EU commission confirm that the Regional Stadium Programme is not State Aid or is permissible State Aid;
 - That UCGAA have valid planning permission and;
 - That there is no legal challenge which prevents the awarding of the contract.

- xi) Provided this programme can be maintained, UCGAA deliver a compliant Full Business Case and agree the Funding Agreement then it would be possible to sign the funding agreement on 19th December 2013.

ISSUES

- i) The final elements of drafting in relation to the Funding Agreement need to be closed out.

**SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON
THURSDAY 13 MARCH 2014**

1.0 Programme and Project Progress

- 1.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. Therefore all three stadium projects are either on site or at pre-construction design. The programme continues to make good progress but challenges remain.
- 1.2 Noel Molloy left his role as Stadium Programme Director and the Department in January 2014. The appointment of contractors for Casement Park and Windsor Park projects were secured before Christmas and Noel Molloy played a huge role in delivering the stadium projects to this key milestone stage.
- 1.3 DCAL have secured additional support in construction expertise and project management through Rory Miskelly from the Strategic Investment Board and Rory will provide support to the Stadium team on an ongoing basis.
- 1.4 As the GAA and IFA projects have now entered a new phase where the paramount vehicle for delivery of the project is the NEC contract between the Governing Body and the IST contractor, each of the Governing Bodies need to ensure that it has the appropriate governance arrangements, structures and suitably skilled project teams in place to allow for effective delivery of the stadium projects. Roles and responsibilities will need to be clearly defined going forward.

2.0 State Aid Issue

- 2.1 The Department is liaising regularly with EU officials on the matter of State Aid and are confident of receiving an appropriate response, within a timeframe that will keep all projects on programme.
- 2.2 The European commission have confirmed that no further information is required from the Department in relation to the case.

3.0 Spend Profile

- 3.1 Actual spend on the Stadium Programme is on target against the budget for the 2013/14 year which was revised through January monitoring round.
- 3.2 Officials have and continue to liaise with DFP with regard to spend profile allocations. Now that contractors have been appointed for Windsor and Casement, much more certainty can be provided around spend profiling.

3.3 The programme timelines for Windsor and Casement are currently being finalised and this will allow revised profiles to be submitted to the Department identifying spend to the end of the programme.

4.0 Social Clauses

4.1 Contractors have now been appointed on the Windsor and Casement projects.

4.2 The contractor for the Casement project has submitted a draft Employment Plan which is currently being reviewed by the Department.

4.3 The draft Employment Plan for Windsor project is due back by 13th March 2014.

4.4 The Department intends to launch an intensive period of public awareness around the opportunities available for the long-term unemployed and apprenticeships in late March/early April. A number of events will take place during these months to promote opportunities to sectors of society facing the greatest inequalities within areas of greatest objective need.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

5.1.1 Ravenhill is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete and the grandstand nearing completion.

5.1.2 Completion of the remaining phases of construction work around the education and heritage facilities is planned for September 2014.

- 5.1.3 Ulster have qualified for the Heineken Cup quarter final stages and will take on Saracens at the newly redeveloped Ravenhill in April 2014. Gilbert Ash report that they remain on target for the completion of all match critical spectator facilities for this fixture.
- 5.1.4 UBIRFU have received safety certification from Belfast City Council to host a crowd of up to 18,198 at the Heineken quarter-final fixture.
- 5.1.5 The Ravenhill project is making rapid progress towards becoming a world class facility and is currently ahead of schedule. The official opening of the stadium will take place on the 2nd May 2014 with the Rabo Pro Direct league fixture versus Leinster.

Issues

- 5.1.6 The report on delivery of social clause requirements is now overdue.
- 5.1.7 UBIRFU to ensure that the Department is kept fully abreast of all arrangements for the Stadium opening in May 2014.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Comment
Funding Agreement Signed	20.12.13	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway.
Commence Construction	April 2014	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with commencement of the construction works in April 2014 and completion of the construction works planned for September 2015.
Complete Construction	30.09.15	

- 5.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.
- 5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014.

- 5.2.4 The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance and therefore IFA will be required to comply with these conditions for a period of 25 years post construction. A number of the Funding Agreement conditions precedent relate to governance and therefore the IFA will be required to provide evidence of compliance with these conditions by early April.
- 5.2.5 The department wishes to maximise the community & socio- economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of May 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 5.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.
- 5.2.7 Any potential issues with regard to State Aid and governance issues are dealt with by way of Conditions Precedent in the Funding Agreement to the IFA.

Issues

- 5.2.8 IFA need to ensure that all 'conditions precedent' including governance conditions are tracked and managed to ensure full sign-off before the construction notice is issued.
- 5.2.9 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Comment
Funding agreement signed	20.12.13	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	April 2014	Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with commencement of construction works in April 2014 and completion of the construction works planned for early 2016.
Complete Construction	28.02.16	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014.
- 5.3.3 Local residents have raised concerns around the development of the Casement Park Stadium. Meetings have been held on a number of occasions between the Department, UCGAA and MORA.
- 5.3.4 An extensive community consultation process which has already run for 22 months was extended by the UCGAA by a period of four weeks to enable the full views of the local community to be heard.

DCAL are aware that UCGAA and the contractor are fully committed to continuing to engage with residents in the coming weeks and DCAL will continue to support this approach.

- 5.3.5 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement. The constructive approach to resolving this issue is welcomed.
- 5.3.6 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for early 2016.
- 5.3.7 Any potential issues with regard to State Aid and any potential legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Issues

- 5.3.8 Budgets need to be monitored on a monthly basis and claims made in a timely manner.
- 5.3.9 GAA need to ensure that any remaining issues around the Casement Social Club and the Antrim GAA are resolved before issue of the construction notice.
- 5.3.10 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.
- 5.3.11 GAA response to Gateway 3 report is long overdue.

**Minutes of the Stadium Programme Sponsor Board held on
Thursday 10 April 2014, 4.15 at Causeway Exchange**

Present (Members):

DCAL: Cynthia Smith (CS)
IFA: Jim Shaw (JS)

In attendance:

GAA: Tom Daly (TD)
Michael Hassan (MH)
IFA: Les Caul (LC)
UBIRFU: Shane Logan (SL)
Cecil Watson (CW)
SNI: Nick Harkness (NH)
DCAL: Peter May (PM) - Chair
Ciaran McGurk (CMcG)
Rory Miskelly (RM)
Maura McGreevy (Minutes)

1.0 Welcome

1.0 PM welcomed all to the meeting and passed on the Minister's sincere apologies as she was unable to attend today's meeting of the Sponsor Board.

1.1 In addition, PM welcomed Rory Miskelly (RM) to his first meeting and provided an overview of his role as SIB Advisor.

1.2 Apologies were received from Minister Caral Ni Chuilin, Sir Nigel Hamilton, Danny Murphy, Patrick Nelson, Antoinette McKeown and Mick Cory.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 **Minutes of previous meeting of 18 December 2013**

3.1 Members were content with the minutes of the last meeting and therefore the minutes of 18 December 2013 were agreed.

4.0 **Programme Update Report**

4.1 PM referred the Sponsor Board to the Update Report previously circulated and noted that significant progress has been made since Christmas across the programme. Pre-construction design work for IFA and UCGAA projects is progressing. There has been significant progress with Rugby – the hosting of the Heineken cup quarter final was a great achievement. The recent decision by the European Commission that public funding for the redevelopment of the regional stadia was consistent with EU State Aid rules was a significant step forward for the Programme.

4.2 PM invited CS as Programme SRO to comment on the Programme Update Report.

PROGRAMME AND PROJECT PROGRESS

4.3 CS began by reiterating what PM had said about the significant progress which has been made since Christmas across the programme, and noted that the focus now needs to concentrate on what needed to be done now in order to enable the release of the construction notice for the IFA and UCGAA projects. It was therefore of utmost importance that all conditions precedent were addressed to the satisfaction of the Department before approval to issue the construction notice could be given.

4.4 The key relationship moving forward was the relationship between the IST and the Governing Body and the management of the NEC contract. The establishment and implementation of appropriate governance structure was essential to ensure effective and timely decisions can be taken as and when required. It was critical that the processes which operated efficiently for Rugby were also adopted and operated by the other GBs.

4.5 More accurate spend profiles from each GB for 2014/15 were required for June monitoring. Each GB needed to liaise directly with their appointed IST to ensure accurate figures were submitted within the deadline set.

UPDATE ON ULSTER RUGBY PROJECT

4.6 CS provided an update on the UBIRFU project:

- Great progress has been made with the completion of the spectator facilities in time for the hosting of the Heineken Cup Quarter Final.
- UBIRFU have received a safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- The official opening of the stadium is scheduled to take place on the 2nd May 2014. The First Minister and Deputy First Minister will be present at the opening.
- Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- The project remains on target with full commitment of the public spend expected within the current CSR period.
- No issues to report at present on the UBIRFU project.

UPDATE ON IFA PROJECT

4.7 CS provided an update on the IFA project:

- Design development by the contractor is currently underway and it is anticipated that works will commence on site in mid April 2014, subject to all conditions precedent being met.
- IFA need to ensure that all conditions precedent including governance conditions are tracked and managed to ensure they have been addressed to the satisfaction of the Department before the construction notice is issued. A deadline of Monday 14th April has been agreed.
- Discussions with BCC regarding the inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development are ongoing. It is important that a decision is reached and concluded by the end of May 2014 to ensure there is no adverse effect on the project.
- An update spend profile to the end of the programme needs to be provided following the release of the construction notice. Budgets need to be monitored on a monthly basis going forward.

UPDATE ON UCGAA PROJECT

4.8 CS provided an update on the UCGAA project:

- The outstanding issue in relation to the agreement between Antrim GAA and the Social Club Committee was resolved on 1 April 2014.
- Residents concerns around the development of Casement Park remain including planning issues. There have been a number of engagements over recent weeks between the residents and UCGAA/the contractor who are committed to resolving these issues.
- Design development by the contractor is currently underway and it is anticipated that works will commence on site in mid April 2014, subject to all conditions precedent being met.
- UCGAA need to ensure that all conditions precedent including governance conditions are tracked and managed to ensure they have been addressed to the satisfaction of the Department before the construction notice is issued. A deadline of Monday 14th April has been agreed.
- The development of an Emergency Evacuation Plan for Casements Park to meet GAA's need for a 38,000 capacity stadium is on-going.
- The Department and UCGAA are currently discussing the on-going implementation of the recommendations of the Gateway 4 review with a view to closing out the recommendations.
- An update spend profile to the end of the programme needs to be provided following the release of the construction notice. Budgets need to be monitored on a monthly basis going forward.

5.0 Discussion

- 5.1 SL advised that BCC has issued a Safety Certificate for 18,000 for Ravenhill. SL expressed concern regarding clear role definition between the Overseeing Body, SNI, and BCC and was concerned that this has not been addressed.

SL also advised that a meeting is being scheduled with representatives from the other Governing Bodies in coming weeks to clarify issues of joint concern in relation to the

effective management of their respective stadiums. Issue likely to be discussed include: Policing, Rates, Certifications etc

Agreed Action: *Representatives from the 3 Governing Bodies are to meet to agree issues and report back to DCAL.*

5.2 TD acknowledged the leadership, and the clear and consistent advice, given to the GB's by DCAL.

5.3 In relation to the IFA conditions precedent tracker, JS advised that the IFA are not entirely clear in terms of what information is required and who is to receive the information.

CMcG advised that this process was being led between the two firms of solicitors. An updated Tracker was issued today to Patrick Nelson and Geoff Patterson and a further meeting with the Solicitors had been scheduled for tomorrow. CMcG requested IFA representation at this meeting.

Agreed Action – *DCAL to issue copy of current Tracker to Jim Shaw and Les Caul.*

5.4 TD spoke on behalf of the UCGAA and advised that the GAA team are actively working on all outstanding issues:

- *Residents* - The residents are seeking extension to deadline for submission of JR, and their legal team are of the opinion that any such request could be approved.
- *Gateway Review* – the recommendations have now been addressed.
- *Conditions Precedent* – There are 37 CP's in total. 31 have been dealt with. 6 remain. There are a number of CP's which cannot be fully addressed until the construction notice has been issued – these will form part of a separate 'deed of amendment'.

RM advised that these CP's are outside the control of the GAA but should be addressed by the contractor within a month of being on site. The 'deed of amendment' will be issued today for signature.

Agreed Action – *DCAL to issue 'Deed of Amendment' to the UCGAA.*

5.5 SL spoke on half of UBIRFU and advised as follows:

- *Social Clauses* – the contractor has exceeded the targets in terms of student placements and apprenticeships, however is currently short of the LTU target. SL advised that work is on-going in terms of achieving the LTU target.
- *Official Opening* – Preparations for the official opening on 2 May 2014 are currently underway. UBIRFU are liaising daily with DCAL in terms of guest list, agenda, publicity etc.
- *Project Management* - Project Board system worked very well as it ensured that all key players were aligned in order to make clear, concise and timely decisions. SL passed on his thanks to Rory, Noel, Ciaran, Maura and the full Stadium team for advice and guidance over the course of the project.

6.0 **Any Other Business**

6.1 The Sponsor Board thanked Noel Molloy for all his hard work and guidance during his time with DCAL and welcomed Rory Miskelly and wished him well in his role going forward.

7.0 **Date of Next Meeting**

7.1 It was agreed that the next meeting of the Sponsor Board will take place on at 2:00pm on Wednesday 4th June 2014 at Parliament Buildings, Stormont (as per the meeting schedule).

**SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON
THURSDAY 10 APRIL 2014**

1.0 Programme and Project Progress

- 1.1 Significant progress has been made recently across the programme with the appointment of the contractors for the Windsor Park and Casement Park projects in December 2013. The Ravenhill project continues to make excellent progress with the completion of all match critical facilities now in place for the Heineken Cup Quarter-Final fixture.
- 1.2 Provided that the State Aid issue is resolved and provided that no legal challenges arise in the coming days, it is anticipated that contractors will commence construction work on the Casement and Windsor projects in mid-April.
- 1.3 If target dates around mid-April are to be met, it is vital that GAA and IFA ensure that all conditions precedent are addressed to the satisfaction of the Department before anticipated release of the construction notices. Project boards for IFA and GAA need to satisfy themselves that all appropriate assurance has been provided to them in consideration of their decision to enter into the main element of these very significant construction contracts.
- 1.4 As the GAA and IFA projects have now entered a new phase where the paramount vehicle for delivery of the project is the NEC contract between the Governing Body and the IST contractor, each of the Governing Bodies needs to ensure that it has the appropriate governance arrangements and protocols in place to allow for effective delivery of the stadium projects. Roles and responsibilities will need to be clearly defined going forward.

2.0 State Aid Issue

- 2.1 The Department is liaising regularly with EU officials on the matter of State Aid and are confident of receiving an appropriate response, within a timeframe that will keep all projects on programme.
- 2.2 The European commission have confirmed that no further information is required from the Department in relation to the case.

3.0 Spend Profile

- 3.1 Required spend in 2013/14 is £12,831,000. This includes an additional amount of £1.2m identified as a pressure post January monitoring round. Spend is currently on target with the full amount of £12,831,000 expected to be accrued by the year end.

3.2 Each Governing Body has been asked to profile spend across the remainder of the CSR and to the end of the programme. If the construction notices for Casement and Windsor can be released by mid-April, then a strong degree of accuracy around spend profiles can be reached, which can be immediately provided to DFP in time for deadlines around June monitoring round.

4.0 Social Clauses

4.1 Contractors have now been appointed on the Windsor and Casement projects.

4.2 Draft Employment Plans for the Windsor and Casement projects have been submitted by the respective contractors and are currently being reviewed by the Department with a view to sign-off in May 2014.

4.3 The Department issued a status report on its Social Clauses Strategy on the 2nd April at Coláiste Feirste. This event will kick start a series of other events in the coming weeks and months aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor. In addition, events will be run to promote opportunities for sub-contractors and suppliers in the coming weeks.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
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Phase 2 Completion (Grandstand)	05.05.14	On target	Early indications are that potential exists for early delivery.
Completion of testing, handover and float period	01.09.14	On target	
Complete Construction	01.09.14	On target	

- 5.1.1 Ravenhill is progressing very well with phase one construction of the Aquinas Stand and Memorial Stand now complete and the grandstand nearing completion.
- 5.1.2 Ulster have qualified for the Heineken Cup quarter final stages and will take on Saracens at the newly redeveloped Ravenhill on 5th April 2014. Gilbert Ash report that they remain on target for the completion of all match critical spectator facilities for this fixture.
- 5.1.3 UBIRFU have received safety certification from Belfast City Council to host a crowd of up to 18,198 at the Heineken quarter-final fixture.
- 5.1.4 Completion of the remaining phases of construction work around the education and heritage facilities is planned for September 2014.
- 5.1.5 The Ravenhill project is making rapid progress towards becoming a world class facility and is currently ahead of schedule. The official opening of the stadium will take place on the 2nd May 2014 with the Rabo Pro Direct league fixture versus Leinster.
- 5.1.6 UBIRFU has submitted an interim report on the delivery of social clause requirements. This report is currently being reviewed by the Department. Whilst the majority of targets have been met or exceeded, some work remains to be done to achieve targets relating to employment of LTUs.

Issues

- 5.1.7 UBIRFU to ensure that the Department is kept fully abreast of all arrangements for the Stadium opening in May 2014.

5.1.8 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTUs before completion of stadium in September 2014.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Comment
Funding Agreement Signed	20.12.13	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway.
Commence Construction	April 2014	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with commencement of the construction works in April 2014 and completion of the construction works planned for September 2015.
Complete Construction	30.09.15	

- 5.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in mid April 2014, subject to all conditions precedent being met.
- 5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. A number of the Funding Agreement conditions precedent relate to governance and therefore the IFA will be required to provide evidence of compliance with these conditions by early April.
- 5.2.4 The Department wishes to maximise the community & socio- economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of May 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 5.2.5 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for September 2015.
- 5.2.6 Any potential issues with regard to State Aid and governance issues are dealt with by way of Conditions Precedent in the Funding Agreement to the IFA.

Issues

- 5.2.7 IFA need to ensure that all 'conditions precedent' including governance conditions are tracked and managed to ensure that they have been addressed to the satisfaction of the Department before the construction notice is issued.
- 5.2.8 Budgets need to be monitored on a monthly basis going forward.
- 5.2.9 Updated spend profile to the end of the programme to be provided.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Comment
Funding agreement signed	20.12.13	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	April 2014	Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with commencement of construction works in April 2014 and completion of the construction works planned for early 2016.
Complete Construction	28.02.16	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 Design development by the contractor is currently underway and it is anticipated that works will commence on site in April 2014, subject to all conditions precedent being met.
- 5.3.3 The outstanding issue in relation to agreement between Antrim GAA and the Social Club Committee was resolved on the 1st April 2014.
- 5.3.4 Local residents have raised concerns around the development of the Casement Park Stadium including planning issues. Meetings have been held on a number of occasions between UCGAA and MORA. Significant progress has been made recently with regard to these issues. DCAL are aware that UCGAA and the contractor are fully committed to continuing to engage with residents in the coming weeks and DCAL will continue to support this approach.
- 5.3.5 Work continues by UCGAA on the development of an Emergency Evacuation Plan for Casement.
- 5.3.6 Provided that significant delays around any legal challenges are avoided, then the Casement Park development can remain on programme with completion of the construction works planned for early 2016.
- 5.3.7 The Department and UCGAA are currently discussing completion of implementation of the recommendation arising from the Gateway 4 review.
- 5.3.8 Any potential issues with regard to State Aid and any potential legal challenges on planning are all dealt with by way of Conditions Precedent in the Funding Agreement to UCGAA.

Issues

- 5.3.8 Budgets need to be monitored on a monthly basis going forward.
- 5.3.9 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure that they have been addressed to the satisfaction of the Department before the construction notice is issued.
- 5.3.10 Updated spend profile to the end of the programme to be provided.
- 5.3.11 Review of the Project Budget to be undertaken pre-release of the construction notice.
- 5.3.12 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

DRAFT MINUTES

Minutes of the Stadium Programme Sponsor Board held on Wednesday 4 June 2014, 2pm at Causeway Exchange

Present (Members):

DCAL: Cynthia Smith (CS)
Nigel Hamilton (NH)

In attendance:

GAA: Tom Daly (TD)
Michael Hasson (MH)

IFA: Les Caul (LC)
Geoff Patterson (GP)

UBIRFU: Shane Logan (SL)

SIB: Brett Hannam (BH)

SNI: Antoinette McKeown (AMcK)

DCAL: Caral Ní Chuilín (Minister) – Chair
John McDermott (SpAd) (JMcd)
Peter May (PM) - Chair
Ciaran McGurk (CMcG)
Rory Miskelly (RM)
Chris McConaghy (Minutes)

1.0 **Welcome**

1.0 The Minister welcomed all to the meeting with quick round the table introductions.

1.1 Apologies were received from Danny Murphy, Patrick Nelson, Jim Shaw.

2.0 **Declaration of Interests**

2.1 No interests were declared.

3.0 **Minutes of previous meeting of 10 April 2014**

- 3.1 Members were content with the minutes of the last meeting and therefore the minutes of 10 April 2014 were agreed.
- 3.2 CS referred to the outstanding action points from the previous meetings minutes advising that 2 action points have been cleared while the outstanding action point in relation to representatives from the 3 Governing Bodies meeting with DCAL to discuss operational issues had been delayed due to time constraints.

4.0 Programme Update Report

- 4.1 The Minister remarked that the opening of Ravenhill was a huge success in relation to what we should be aspiring to achieve. The Minister stated that work at Windsor Park had commenced and while the Judicial Review of Casement Park is to take place in September, there should be no bar to the preliminary work that can be carried out in the interim. The Minister commended the effort that the GAA has already input into the programme.
- 4.2 The Minister emphasized the importance of Social Clauses, as they are a condition of the Grant funding and must continue to be of interest and not an afterthought to the programme. Also, the Minister highlighted the effort that DCAL have put into social clauses and the fact that the Department's approach has been referred to as an exemplar model to other departments.
- 4.3 Minister invited CS as Programme SRO to comment on the Programme Update Report.

PROGRAMME AND PROJECT PROGRESS

- 4.4 CS began by declaring that excellent progress has been made with key milestones being achieved with the official opening at Ravenhill and work commencing at Windsor Park. CS underlined the critical importance of the relationship between the Governing Bodies and their contractors and reflected on the positive outcome of the State Aid Decision.
- 4.5 CS stressed the importance of ensuring that budget is monitored stringently and accurate spend profiles provided to ensure that the Department and associated Governing Bodies maintain credibility with DFP for in year budget monitoring rounds. The €35m easement declared in June monitoring for 2014-15 will create a corresponding pressure in 2015-16.
- 4.6 CS give a brief overview of Social Clauses underlining the importance of managing social clauses effectively. The event held at Coláiste Feirste had been very successful as were the

events held in the Olympia Leisure Centre for potential employees and the 'meet the buyer' event held in Belfast City Hall. Further events will be held as required.

- 4.7 CS noted that draft employment plans for Casement Park and Windsor Park are currently being developed.

UPDATE ON ULSTER RUGBY PROJECT

- 4.8 CS provided an update on the UBIRFU project:

- Excellent Opening Ceremony attended by the DCAL Minister and First and Deputy First Ministers.
- UBIRFU have received a safety certificate from Belfast City Council to host a capacity crowd of up to 18,000 people.
- Education and Heritage centre project continues to progress well.
- UBIRFU to continue to work with Gilbert Ash to ensure that Long Term Unemployed targets are achieved.

UPDATE ON IFA PROJECT

- 4.9 CS provided an update on the IFA project:

- On 2nd May the Minister attended the sod cutting at Windsor Park as construction work commenced.
- IFA need to ensure that all the conditions subsequent are signed off going forward.
- Discussions with BCC regarding the inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development are ongoing, with the critical path date now agreed as September.
- It was highlighted that budgets need to be monitored on a monthly basis going forward.

UPDATE ON UCGAA PROJECT

- 4.10 CS provided an update on the UCGAA project:

- The Judicial Review hearing has been scheduled for September.

- During this time any work that can be progressed should be progressed.
- UCGAA need to ensure that all conditions precedent are tracked and managed to the satisfaction of the Department before the construction notice is issued.
- The development of an Emergency Evacuation Plan for Casement Park to meet GAA's need for a 38,000 capacity stadium is on-going.
- It was highlighted that budgets need to be monitored on a monthly basis going forward.

5.0 Discussion

5.1 SL thanked DCAL for the ongoing help and advice provided throughout the project, noting that the social returns were a key priority for Rugby as demonstrated by the upcoming 'Wooden Spoon' Disability Event to be held on Saturday 7th June at Ravenhill. This was the World's largest event of its kind. SL stated that it was only possible due to the fact that the facilities at Ravenhill were the best in Europe for such an event.

Minister remarked that this was excellent news and that Ravenhill was an exemplar stadium.

SL also advised that a meeting was being scheduled with representatives from the other Governing Bodies in the coming weeks to clarify issues of joint concern in relation to the effective management of their respective stadiums. Issues likely to be discussed include: Policing, Rates and Health and Safety at sports grounds.

5.2 MH also highlighted the importance of social returns as demonstrated by the GAA outreach programme.

5.3 NH, on behalf of Ulster Rugby wanted to express his thanks to all involved with the project, noting the major contributions of DCAL and SIB.

5.4 TD remarked at the disappointment of having to wait on the Judicial Review which is scheduled for 9th – 12th September, which was the earliest possible date available. However, there is no injunction in place and therefore work can continue on site clearance and demolition. Positive news was that the Social Club issue had been settled with all parties now working to secure new temporary premises for the social club.

TD congratulated IFA on getting to the starting line and UBIRFU on the success of the opening ceremony.

- 5.5 GP remarked that the Long Term Unemployed event in the Olympia Leisure centre had a great turnout. He also advised that the IFA were working closely with Belfast City Council and Sport NI to ensure that the safety certificate would be available when required and confirmed that this would transfer from Linfield Football Club to the IFA. GP appreciated the help and support that the IFA have received throughout the programme to date.

The Minister mentioned that she was impressed with the turnout at the Olympia event and that a good turnout had been achieved from training providers.

- 5.6 The Minister noted her disappointment at the lack of coverage that the sod cutting event at Windsor Park received and advised that DCAL Communications Officer, Brian McAvoy, would liaise with IFA to look at further opportunities to promote Windsor Park and the Stadia Programme benefits.

- 5.7 AMcK acknowledged the positive media around the Irish Cup Final, highlighting that Windsor Park was open to all with the Sporting Ambassador programme, which invited athletes from Football, Gaelic and Rugby to participate in the event. AMcK recognised the support that GAA and IRFU provided and thanked IFA for hosting the event.

6.0 **Any Other Business**

- 6.1 The Sponsor Board thanked Noel Molloy for all his hard work and guidance during his time with DCAL and welcomed Rory Miskelly and wished him well in his role going forward.

7.0 **Date of Next Meeting**

- 7.1 To be confirmed

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD ON WEDNESDAY 4 JUNE 2014

1.0 Programme and Project Progress

- 1.1 The programme continues to make excellent progress but challenges remain.
- 1.2 The Ravenhill project is now almost complete with world class spectator accommodation now available at Ravenhill. The official opening of the Stadium took place on 2nd May 2014 with only work on the education & heritage centre and community facilities yet to be completed by early 2015.
- 1.3 Significant progress also has been made recently on the Windsor Park project with the appointment of the contractors (O'Hare & McGovern). Construction work commenced on site on 6 May 2014 with a planned completion date of October 2015.
- 1.4 In relation to the Casement Park project, progress has also been good with the appointment of the contractors (Heron Buckingham JV) in December 2013. Design development by the contractor is complete. However construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's decision to grant planning approval for the Casement Park project.
- 1.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

2.0 State Aid Issue

- 2.1 The issue of state aid has been resolved.
- 2.2 Confirmation was received from the European Commission on the 14th April 2014 that aid to the Stadium Programme represents 'compatible state aid'.
- 2.3 It was important for the Stadium Programme and wider Executive funded projects that this legal certainty has been obtained, and this now allows all three projects within the programme to proceed with the planned government aid of £110m.

3.0 Spend Profile

- 3.1 A total spend of £12.7m has been achieved against the Stadium Programme in 2013/14. Total spend to date against the Stadium Programme as of 31 March 2014 is £20.3m.

3.2 This leaves a balance of £89.7m across the programme. As a result of the JR against the Casement Park planning approval decision, it is likely that the spend estimate would be £49.7m in 2014/15 and £40.0m in 2015/16. This would require an easement of £35.3m in 2014/15 with a corresponding pressure in 2015/16.

3.3 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise impact of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

4.0 Social Clauses

4.1 Provision of social clauses in the construction contracts for the Stadium projects have been a huge priority for the Department.

4.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This has kick-started a series of other events in the coming weeks and months aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor. In addition, events are being run to promote opportunities for sub-contractors and suppliers in the coming weeks.

4.3 With the appointment of the contractors for Casement and Windsor, the contractors have submitted draft Employment Plans which are currently being reviewed by the Department and will form the basis of ongoing monitoring by DCAL to ensure targets are met in relation to apprentices and long-term unemployed.

5.0 PROJECT UPDATES

5.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion	05.05.14	Completed	Target met.

(Grandstand)		(05.05.14)	
Completion of testing, handover and float period	01.09.14	On target	Early indications are that potential exists for early delivery.
Complete Construction of Spectator Facilities	01.09.14	On target	
Complete Construction of work around education and heritage facilities	31.01.15	On target	

5.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.

5.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.

5.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.

5.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.

5.1.5 The Ravenhill project is now a world class facility and remains on target with full commitment of the public spend expected within the current CSR period.

Issues

5.1.6 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.

5.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

- 5.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 5.2.2 Design development by the contractor is complete and works commenced on site on 6 May 2014 after the Irish Cup Final.
- 5.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014.
- 5.2.4 The Funding Agreement conditions for the Windsor Park project apply throughout the construction contract and for 25 years post construction. A number of the Funding Agreement conditions relate to governance. The Department is now satisfied that sufficient progress has been made against all of the governance recommendations and this has allowed the release of the construction notice.
- 5.2.5 The department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of September 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 5.2.6 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

- 5.2.7 IFA need to ensure that all ongoing 'conditions precedent' including governance conditions are tracked and managed to ensure full sign-off before first payment of grant.
- 5.2.8 Budgets need to be monitored on a monthly basis going forward.

5.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is currently underway. It is anticipated that works will commence on site in April 2014.
Commence Construction	May 2014	Delayed	JR hearing against planning approval set for September 2014. Construction works will not be fully able to commence until October 2014 at the earliest. GAA considering further site clearance and demolition work through an options and risk appraisal.
Complete Construction	28.02.16	Delayed	

- 5.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 5.3.2 Design development by the contractor is complete.
- 5.3.3 The JR hearing against the DOE's decision to grant planning approval for the Casement Park project has been set for September 2014. GAA are considering further site clearance and demolition work as an option but the construction works in relation to the new Stadium will be delayed until the JR is heard.
- 5.3.4 The JR hearing will significantly impact on the spend figure in 2014/15 and create a further pressure in 2015/16. The impact on spend is currently being estimated by the GAA's Integrated Consultancy team and contractors.
- 5.3.5 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.
- 5.3.6 It is envisaged that, subject to the JR hearing being heard in September 2014, that the Casement Park project could commence construction work in October 2014 with planned completion by Spring 2016.

Issues

- 5.3.6 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.
- 5.3.7 Updated spend profile to the end of the programme to be provided to reflect delay to the programme brought about by the JR.
- 5.3.8 Review of the Project Budget to be undertaken pre-release of the construction notice.
- 5.3.9 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

**Minutes of the Stadium Programme Sponsor Board held on
Wednesday 3 September 2014, 10am at Causeway Exchange**

Present (Members):

DCAL: Caral Ní Chuilín (Minister) – Chair
Cynthia Smith (CS)
UBIRFU: Nigel Hamilton (NH)
GAA: Michael Hassan (MH)
IFA: Jim Shaw (JS)

In attendance:

GAA: Tom Daly (TD)
Danny Murphy (DM)
IFA: Patrick Nelson (PN)
UBIRFU: Shane Logan (SL)
Cecil Watson (CW)
SIB: Brett Hannam (BH)
SNI: Andrew Sloan (AS)
DCAL: Peter May (PM)
Ciaran McGurk (CMcG)
Rory Miskelly (RM)
Chris McConaghy (Minutes)

1.0 Welcome

1.0 The Minister welcomed and thanked all for accommodating the time change to the meeting.

1.1 Apologies were received from Antoinette McKeown with Andrew Sloan attending on her behalf.

2.0 Declaration of Interests

2.1 No interests were declared.

3.0 Minutes of previous meeting of 4 June 2014

3.1 CS advised the minutes of the last meeting require minor changes, but have no bearing on the content of what was agreed at the last meeting. Therefore, the minutes of 10 April 2014 were agreed.

3.2 CS referred to the outstanding action points from the previous meeting. Advising that, 2 action points have been cleared while the outstanding action point in relation to representatives from the 3 Governing Bodies meeting with DCAL to discuss operational issues had been delayed due to time constraints.

4.0 Programme Update Report

4.1 The Minister remarked that the programme continues to make excellent progress, highlighting that important challenges remain.

4.2 The Minister gave a brief update on each project;

- *IFA – Windsor Park* – Project remains primarily on target with construction of the pitch complete and demolition of the south stand having commenced. The impact of asbestos being discovered in the south stand is currently being assessed.
- *UCGAA – Casement Park* – progress very much dependent on the outcome of the Judicial Review and its timing, a favourable outcome should see work commence in late October.
- *UBIRFU – Ravenhill* – project is almost complete with work on the heritage centre and community facilities progressing. Regarding social clauses, some effort is still required to ensure the target relating to long-term unemployed is met.

4.3 Minister invited CS as Programme SRO to comment on the Programme Update Report.

PROGRAMME AND PROJECT PROGRESS

4.4 CS referred to the update report that had already been circulated and highlighted the key messages within the report.

4.5 CS stressed the importance of ensuring that spend profiles are constantly monitored, noting that £35m had already been eased in the June monitoring round with the likelihood that more will be eased in October monitoring round following the Judicial Review. CS remarked that the Department will be working closing with both the GAA and Department of Finance

and Personnel to redefine the project profile as the easements made through in year monitoring will create a pressure in relation to the 2015/16 budget.

- 4.6 CS gave a brief overview of Social Clauses underlining the importance of managing social clauses effectively and commented that a report on delivery of the social clause requirement at Ravenhill is to be used as a 'lessons learnt' report for Windsor and Casement.

UPDATE ON ULSTER RUGBY PROJECT

- 4.7 CS provided an update on the UBIRFU project:

- UBIRFU need to continue to work with Gilbert Ash to ensure that the Long Term Unemployed targets are achieved.
- Education and Heritage centre project remains on target and on budget for completion with the current CSR period.

UPDATE ON IFA PROJECT

- 4.8 CS provided an update on the IFA project:

- Work is progressing positively on project.
- Asbestos has been found in the South Stand and has impacted on the demolition. The overall impact on the programme is being assessed by the ICT and the ICT are exploring mitigating strategies with the contractor to minimise delay to the overall programme.
- Discussions with BCC regarding the inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development are ongoing and progressing well with a target date of 30th September 2014 for reaching agreement.
- CS emphasised, again, that budgets need to be monitored on a monthly basis.

UPDATE ON UCGAA PROJECT

- 4.9 CS provided an update on the UCGAA project:

- The Project is dependent on the Judicial Review hearing scheduled for September, with the outcome likely to be known by October/November.

- During this period work that can progress should be proceeded with, including:
 - Relocation of the Social Club.
 - Resolution of the emergency evacuation issues in consultation with the Safety Technical Group.
 - All Conditions Precedent sign-off.

- CS emphasised, again, that budgets need to be monitored on a monthly basis.

5.0 Discussion

5.1 DM advised that the Judicial Review has caused areas of concern regarding the budget profile, with the Contractor currently constrained. DM also highlighted the fact that the Judicial Review has lost the project 6 months and therefore the GAA are mindful of the budget pressures that this will cause to the NI Executive. DM indicated that the Conditions Precedent have been progressed with 1 outstanding issue now a Condition Subsequent which should be resolved on the outcome of the Judicial Review.

The Minister acknowledged that she is mindful of the issues that have faced the GAA and advised that the Department in conjunction with Department of Finance and Personnel will continue to work with the GAA to re-profile the budget. The Minister then advised that she is fully focused on achieving completion of the project within the timescale, remarking that if a positive outcome to the Judicial Review is received the project must hit the ground running immediately thereafter.

5.2 NH queried what the course of action would be if a positive outcome to the Judicial Review was achieved only for the residents to submit an appeal. DM advised that the legal position is that an appeal is unable to prevent work from progressing. The Minister stated that the Department has considered various scenarios and the risks associated with such scenarios. However, the Department is hopeful of a positive outcome to the Judicial Review.

5.3 PN offered support to the GAA as IFA experienced legal challenges as part of the Windsor Park project. CS and Minister acknowledged the offer of support. PN thanked RM and CMcG for the help they provided with the asbestos issue and the Departments Stadium team's continued efficient and effective resolution of key issues.

5.4 TD advised that GAA were continuing to seek to make progress in the interim, whilst waiting for the outcome of the Judicial Review.

5.5 SL acknowledged the support that the Stadium Team had provided to the Ravenhill project and this had an overall benefit to the programme.

5.6 Minister advised that DCAL are doing all within the Department's control to support the programme and appreciates all the effort that has been put in to date.

6.0 **Any Other Business**

6.1 No issues raised.

7.0 **Date of Next Meeting**

7.1 To be confirmed

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD
on
WEDNESDAY 3 SEPTEMBER 2014

1.0 Programme and Project Progress

- 1.1 The programme continues to make excellent progress but significant challenges remain, particularly in relation to the Casement Park project
- 1.2 The Ravenhill project is now almost complete with first class spectator accommodation now available at Ravenhill. The official opening of the Stadium took place on 2nd May 2014 with only work on the education & heritage centre and community facilities yet to be completed by early 2015.
- 1.3 Significant progress also has been made recently on the Windsor Park project with the appointment of the contractors (O'Hare & McGovern). Construction work commenced on site on 6 May 2014 with a planned completion date of October 2015.
- 1.4 In relation to the Casement Park project, the contractor (Heron Buckingham JV) was appointed in December 2013 and design development by the contractor is complete. However construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's decision to grant planning approval for the Casement Park project. This will significantly impact on the spend profile in 2014/15 and create a further pressure in 2015/16, with a possible tail in 2016/17.
- 1.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

2.0 Spend Profile

- 2.1 A total spend of circa £11.8m has been achieved against the Stadium Programme in 2013/14. Total spend to date against the Stadium Programme as of 31 March 2014 is circa £19.4m.
- 2.2 Based on receipts submitted by UCGAA there is an under-spend of £786k against the agreed UCGAA budget for 2013/14. UCGAA have indicated that they still have a need for that funding and the Stadium team are currently working with finance Branch to identify the progress required to reinstate this amount of the UCGAA budget.
- 2.3 This leaves a balance of £90.6m across the programme. As a result of the JR against the Casement Park planning approval decision, it is likely that the spend estimate would be £49.8m in 2014/15 and £40.8m in 2015/16. An easement of £35.3m has been declared in June monitoring for 2014/15 resulting in a corresponding pressure in 2015/16.

2.4 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise impact of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

3.0 Social Clauses

3.1 Provision of social clauses in the construction contracts for the Stadium projects have been a high priority for the Department.

3.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This kick-started a series of other events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor, and events to promote opportunities for sub-contractors and suppliers.

3.3 The Stadium team are carrying out an evaluation of the Ravenhill project in relation to delivery of the social clause requirements. This evaluation will address 'lessons learnt' from Ravenhill and will help inform the approach to delivery of social clause requirements at Windsor and Casement.

4.0 PROJECT UPDATES

4.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Early indications are that potential exists for early delivery.
Complete Construction of Spectator Facilities	01.09.14	On target	
Complete Construction of work around education and heritage facilities	31/01/15	On target	

- 4.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.
- 4.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 4.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 4.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 4.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 4.1.6 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

- 4.1.7 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.
- 4.1.8 Operational Plan for the venue to be submitted to the Department for review.

4.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

- 4.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 4.2.2 Design development by the contractor is complete and the release of the Construction Notice by the IFA was made on 2 May 2014. Construction works commenced on site on 6 May 2014 after the Irish Cup Final.
- 4.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. The IFA Board has now implemented all of these recommendations. This has allowed DCAL to be assured that appropriate governance has been maintained and meet the needs of DCAL.

- 4.2.4 O'Hare and McGovern have finalised their Employment Plan and this has been agreed by all parties.
- 4.2.5 The department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The IFA and Belfast City Council must reach agreement by the end of September 2014 to ensure the development has no adverse impact on the programme timeline for the Windsor Park stadium development. These discussions are progressing well.
- 4.2.6 Some asbestos has been found in the demolition of the South Stand. This is being handled by specialist contractors with full oversight by statutory agencies. Impact on programme is still being considered.
- 4.2.7 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

- 4.2.8 Budgets need to be monitored on a monthly basis going forward.

4.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR hearing against planning approval set for September 2014. GAA considering further site clearance and demolition work through an options and risk appraisal.
Complete Construction	28.02.16	Delayed	

- 4.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 4.3.2 JR hearing against planning approval set for 9-12 September 2014.
- 4.3.3 Pre-construction services have been completed by the contractor.
- 4.3.4 Construction Notice will be held until the outcome of the JR is known in September/October 2014.
- 4.3.5 If a favourable outcome to the JR is achieved, it is likely that the contractor could commence construction on site in mid to late October subject to the Social Club re-location being achieved successfully by that date.
- 4.3.6 If a start for construction is achieved in October 2014, planned completion of construction would be September 2016. The contractor is currently considering the feasibility of achieving an earlier completion date for the Ulster Final in July 2016 but this may involve acceleration costs and may only be achievable with a reduced capacity.
- 4.3.7 It is now viewed that the commencement of demolition works at the site would present a risk in relation to the potential for these works to be perceived adversely bearing in mind that the JR is only a matter of a few weeks away.
- 4.3.8 As pre-construction services are now complete, the ICT are currently reviewing the NEC3 contract to establish whether indexation is now applicable against the tender price and the potential magnitude of any increase in the project cost.
- 4.3.9 UCGAA and the Social Club Committee have reached agreement around the re-location of the Social Club to temporary premises for two years and the subsequent move of the social club back into the new Casement Park Stadium.

4.3.10 Further work is now required around securing planning approval, building control and the necessary construction and fit-out of the temporary facilities.

4.3.11 The Department has already eased £35.3m for 2014/15 (through June monitoring) to reflect the delay to the Casement project brought about by the JR. This will create a corresponding pressure in 2015/16.

4.3.12 Any potential further easement can only be quantified after the JR is heard in September.

4.3.13 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

4.3.14 The Department and UCGAA have highlighted to all relevant parties the implications of delay to the project to protect the dates set for the JR in September 2014.

4.3.15 GAA need to ensure that all 'conditions precedent' are tracked and managed to ensure full sign-off before the construction notice is issued.

4.3.16 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

4.3.17 UCGAA project needs to respond more quickly to critical path issues to ensure protection of the programme timeline.

MINUTES

Minutes of the Stadium Programme Sponsor Board held on
Wednesday 22 October 2014, 3pm at Causeway Exchange

Present (Members):

DCAL: Peter May (PM) – Chair

Cynthia Smith (CS)

IFA: Jim Shaw (JS)

In attendance:

GAA: Tom Daly (TD)

IFA: Patrick Nelson (PN)

UBIRFU: Cecil Watson (CW)

SIB: Brett Hannam (BH)

SNI: Nick Harkness (NH)

DCAL: Ciaran McGurk (CMcG)

Rory Miskelly (RM)

Chris McConaghy (Minutes)

1.0 **Welcome**

1.0 PM welcomed all to the meeting.

1.1 PM noted apologies on behalf of the Minister who had been called away on Executive business. Apologies were also received from Nigel Hamilton, Shane Logan, Michael Hasson and Danny Murphy.

2.0 **Declaration of Interests**

2.1 No interests were declared.

3.0 **Minutes of previous meeting of 3 September 2014**

3.1 The minutes of 3 September 2014 were agreed by all as a true and accurate record.

4.0 Programme Update Report

4.1 PM noted that whilst the overall Programme continues to make good progress, some critical challenges remain.

4.2 PM gave a brief update on each project;

- *UBIRFU – Ravenhill* – operational readiness for matches was achieved in April 2014 and the final phase of work delivering the education and heritage centre offering is progressing well. Focus also remains on concluding the final social clause targets as some effort is still required to meet the long-term unemployed targets.
- *IFA – Windsor Park* – Project is progressing well and remains on target in respect of both cost and time.
- *UCGAA – Casement Park* – the Judicial Review hearing has been concluded after 18 days and is currently awaiting decision. All parties hope that an early decision can be reached and whilst this is outside of the control of the Programme the project teams are planning on the basis of an outcome in mid November 2014.

4.3 PM invited CS as Programme SRO to comment on the Programme Update Report.

PROGRAMME AND PROJECT PROGRESS

4.4 CS referred to the SRO update report that had already been circulated and highlighted the key messages within the report.

4.5 CS stressed the importance of ensuring that spend profiles are constantly monitored, noting that £21.5m had been eased in the October monitoring round, £16m and £5.5m of the GAA and IFA budgets respectively. Total in year easements equal circa £56m. As this will create a corresponding pressure in future years, the Department will be working closing with both Governing Bodies to provide accurate budget profiles to ensure that credibility is maintained with DFP.

4.6 CS highlighted Social Clauses are an important aspect to the programme noting an evaluation is currently being carried out at Ravenhill, with the intention of supporting the projects at Windsor Park and Casement Park.

UPDATE ON ULSTER RUGBY PROJECT

4.7 CS provided an update on the UBIRFU project:

- Overall the project continues to progress well.
- The Education and Heritage centre element of the project remains on target and on budget for completion with the current CSR period (prior to March 2015).

Discussion on Kingspan:

CW noted that since the Stadium has been completed for match purposes as a functioning venue, attendance targets have been exceeded and a key objective will be to maintain and sustain this success. CW indicated that although Kingspan has a safety cert for just over 18,000 spectators, the plan is to maintain capacity at 17,000 for this year progressing to the capacity limit next year when all aspects of the transitional change have bedded in. A key part of this has been the training and development of the stewarding. CS remarked that UBIRFU had developed a good marketing strategy and this appears to have been very effective.

Benefits Realisation

The Stadium Programme has introduced a Community Officer, Stephen McGlew, to monitor and support social clause aspect of the programme. A priority will be to capture the tangible benefits of the programme and collate the evidence base of the good work delivered. The Department is keen to ensure that the lessons learned can be shared and implemented across all aspects of the Department on other future large scale projects and that the opportunity for benefits to be supported on a cross project basis is taken.

UPDATE ON IFA PROJECT

4.8 CS provided an update on the IFA project:

- Work is progressing positively on project.
- The Contractor's Employment Plan has been agreed.
- An agreement is in place with BCC regarding the inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development, with only the mechanics of the agreement to be finalised. **Action point: CMcG to liaise with BCC and IFA to ensure final sign off.**
- CS emphasised that budgets need to be monitored on a monthly basis.
- Asbestos update – cleared by the HSE with project remaining on track, RM commented that the IFA's project team and contractor had responded well to address this issue.

Discussions on Windsor Park:

The completion date of October 2015 was highlighted as being the date that the stadium with a safety cert of 18k will be in a state of readiness for use. The Education and Heritage centre would need to be developed further and a completion date for this should be known within a month. PM noted it would be prudent to have clarity on this for the purposes of future PR and media communications.

UPDATE ON UCGAA PROJECT

4.9 CS provided an update on the UCGAA project:

- The Project is dependent on the current Judicial Review process which is currently awaiting decision. It is hoped that the outcome will be known by mid November.
- A review is being carried out on the cost impact under the construction contract and the associated impact of delay on the project budget. The current assessment is that a positive outcome which allows the project to commence prior to the end of December 2014 is likely to have an increased cost of £2.7m. That could be contained within the current financial envelope, but it is likely that any further cost increase could not.
- RM noted the Construction Contract included a mechanism to allow for cost increases in the event of delay: this allows for an extended period whereby the Contractor's price can be held, albeit adjusted for increased costs.
- CS advised that as with State Aid, the Department is working and planning on the basis of a positive outcome.
- PM queried the time needed from JR outcome issued to work commencing.
 - With a positive ruling in early to mid November work can commence immediately on the Social Club, site mobilisation of huts and welfare facilities to support initial works.
 - However if the outcome is negative or indeed if the outcome is not known for a further period post December, the impact of further delay would need to be reviewed against budget affordability. The potential for appeal also need to be factored in.
- CS emphasised, again, that budgets need to be monitored on a monthly basis; the Department has profiled that a further £7.9m will be spent this year and this is predicated on a positive outcome to the Judicial Review process in mid November 2014.

Discussion on Casement Park

In planning for a successful outcome, it is important that all Conditions Precedent are signed and that the Deed of Amendment is agreed to ensure that the project is able to proceed if a positive outcome is delivered. Safety Technical Group discussions remain ongoing.

TD advised that the Social Club issue has been addressed and work can commence as soon as possible. Also, TD acknowledged the effort made by all to bring the project to the current position and advised that during the period of the JR work has been ongoing to make sure that when the project can commence no further delays can be expected. He highlighted that GAA team had issued affidavits to support the DOE case.

TD queried what the likely timeline would be for the issue of the Safety Certificate i.e. during construction or upon completion. As with Ravenhill, it was noted that it is normal for a final safety cert to be issued on completion with operational readiness (eg final staffing, stewarding plans etc) in place.

5.0 **Any Other Business**

5.1 PM informed the Board that CMcG will be leaving the Department and expressed his thanks for all the energy, skill and determination that CMcG had given to the programme, adding that the experience and knowledge will be an enormous loss to the Department. All members agreed with this statement with CS also adding a personal thank you for the tremendous energy that CMcG put into the programme.

5.2 PN acknowledged the loss of experience to the Department and enquired how the programme team plan to address this. RM agreed CMcG had played a critical role and noted the process to seek a replacement team member has commenced.

5.3 CMcG acknowledged all good wishes given by all and thanked all for their support during his time with the programme. CMcG extended his best wishes looked forward to the successful conclusion of the programme.

6.0 **Date of Next Meeting**

6.1 It was agreed that the date of the next meeting will be advised in due course as final timings of the outcome of the Judicial Review become apparent.

SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD
on
WEDNESDAY 22nd OCTOBER 2014

1.0 Programme and Project Progress

- 1.1 The programme continues to make good progress but significant challenges remain, particularly in relation to the Casement Park project
- 1.2 The Ulster Rugby Kingspan Stadium is now almost complete with only work on the education & heritage centre and community facilities yet to be completed by early 2015.
- 1.3 The Windsor Park project is currently under construction. Work is progressing well. The European Championship qualifier against the Faroe Islands was hosted at Windsor on 11th October with a safety certificate of circa 10,500.
- 1.4 Construction work at Casement Park is currently delayed temporarily due to a Judicial Review against DOE's decision to grant planning approval for the Casement Park project, with a decision expected in November.
- 1.5 DCAL will continue to monitor all outstanding issues to ensure successful delivery.

2.0 Spend Profile

- 2.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.
- 2.2 The initial spend target for 2014/15 was £85.1million.
- 2.3 A reduced capital requirement of £35.3million was declared in June monitoring due to the delay to the programme brought about by the Crusaders Judicial Review/State Aid Notification and the Judicial Review against the DOE's approval of the planning application for Casement Park.
- 2.4 As a result of the Judicial Review brought by MORA having not yet reached conclusion and the discovery of asbestos being discovered in the South Stand at Windsor Park a further reduced requirement of £21.5million has been declared in October monitoring.
- 2.5 The new spend profile for 2014/15 is therefore £28.2million, as detailed below:

	2014/15
IFA – Windsor Park	£17,252,702
UCGAA – Casement Park	£ 7,939,366
UBIRFU – Kingspan Stadium	£ 3,056,990
TOTAL	£28,249,058

- 2.6 The remaining spend of £7.9million on the Casement Park project assumes a successful outcome to the Judicial Review in November 2014.
- 2.7 Officials have and continue to liaise with DFP with regards to spend profile allocations. Once the precise impact of the JR on spend profiling is known, the Department will arrange further dialogue with DFP to manage this issue.

3.0 Social Clauses

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects have been a high priority for the Department.
- 3.2 The Department issued a status report on its 'Social Clauses Strategy' on the 2nd April at Coláiste Feirste. This kick-started a series of other events aimed at promoting the availability of opportunities for the long-term unemployed and apprenticeships at Casement and Windsor, and events to promote opportunities for sub-contractors and suppliers.
- 3.3 The Stadium team are carrying out an evaluation of the Ravenhill project in relation to delivery of the social clause requirements. This evaluation will address 'lessons learnt' from Ravenhill and will help inform the approach to delivery of social clause requirements at Windsor and Casement.
- 3.4 The Stadium team will be procuring a contract for service in the coming weeks to provide support to the Governing Bodies and contractors in relation to implementation of the social clause requirements. This resource will help ensure that 'work ready' LTU's and apprentices are available to contractors and will promote sustainability of the posts.

4.0 PROJECT UPDATES

4.1 UBIRFU / RAVENHILL

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	On target	Target met.
Complete Construction of Spectator Facilities	01.09.14	On target	Target met.
Complete Construction of work around education and heritage facilities	28.02.15	On target	On target for completion within CSR.

- 4.1.1 The Ravenhill project is progressing very well with all 3 stands now complete.
- 4.1.2 The official opening of the Stadium took place on 2 May 2014. This coincided with Ulster's Rabo Direct game against Leinster at Ravenhill. The First Minister and Deputy First Minister attended the opening.
- 4.1.3 Completion of the remaining phases of construction work around the education and heritage facilities is planned for early 2015.
- 4.1.4 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.
- 4.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.
- 4.1.6 The Department are undertaking a review of the delivery of the social clause requirements at Ravenhill with a view to establishing performance against the targets and identifying key 'lessons learnt' for the other projects within the programme.

Issues

- 4.1.7 UBIRFU to liaise with Gilbert Ash to ensure achievement of targets relating to employment of LTU's before completion of stadium in early 2015.
- 4.1.8 Operational Plan for the venue to be submitted to the Department for review.

4.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete, in growing in period now
Construction of South Stand/Frame/Roof/Terracing/Accommodation	08.05.15	On target	On target for completion by specified dates
Refurbishment of the North Stand & Infill Corners	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	30.10.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.10.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

- 4.2.1 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 4.2.2 Design development by the contractor is complete and the release of the Construction Notice by the IFA was made on 2 May 2014. Construction works commenced on site on 6 May 2014 after the Irish Cup Final.
- 4.2.3 In the latter part of 2013 the IFA changed their Articles of Association without informing the Department. An independent review of governance was completed and recommendations were accepted by the IFA Board in January 2014. The IFA Board has now implemented all of these recommendations. This has allowed DCAL to be assured that appropriate governance has been maintained and meet the needs of DCAL.

- 4.2.4 O'Hare and McGovern have finalised their Employment Plan and this has been agreed by all parties.
- 4.2.5 The Department wishes to maximise the community & socio-economic returns associated with the Windsor Park development and has entered into discussion with Belfast City Council and the IFA around the potential for inclusion of community and leisure facilities adjacent to the West Stand of the new Windsor Park development. The Department is likely to issue the Funding Agreement to Belfast City Council for the Olympia development before the end of October 2014, which will allow the Windsor and Olympia programmes to remain on track.
- 4.2.6 Some asbestos has been found in the demolition of the South Stand. This is being handled by specialist contractors with full oversight by statutory agencies. As a result an easement of £5.5m has been declared through October monitoring. This will create a corresponding pressure in 2015/16.
- 4.2.7 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for October 2015.

Issues

- 4.2.8 Budgets need to be monitored on a monthly basis going forward.

4.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	JR decision expected in November 2014 which will allow new programme timeline to be developed.
Complete Construction	28.02.16	Delayed	

- 4.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 4.3.2 JR hearing against planning approval started on 9th September and completed on 13th October and is currently in the ruling period. A decision is expected in November 2014.
- 4.3.3 Pre-construction services have been completed by the contractor. The Construction Notice will be held until the outcome of the JR is known in November 2014. If a start for construction is achieved in November/December 2014, planned completion of construction would be September 2016.
- 4.3.4 As pre-construction services are now complete, the ICT are currently reviewing the NEC3 contract to establish the indexation applicable against the tender price. It is likely that the increase in cost arising from indexation is approximately £2.7m. This will obviously put significant pressure on the GAA budget but it is anticipated that the project is still affordable if the JR issue is resolved pre Christmas. If the JR issue is not resolved before Christmas, the affordability of the project would be in doubt.
- 4.3.5 UCGAA and the Social Club Committee have reached agreement around the re-location of the Social Club to temporary premises for two years and the subsequent move of the social club back into the new Casement Park Stadium. Further work is now required around securing planning approval, building control and the necessary construction and fit-out of the temporary social club facilities.
- 4.3.6 The Department has already eased £51.3m for 2014/15 (through June & October monitoring) to reflect the delay to the Casement project brought about by the JR. This will create a corresponding pressure across 2015/16 and 2016/17. Any potential further easement can only be quantified after the JR ruling which is expected in November.

4.3.7 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

4.3.8 GAA need to ensure that any outstanding issues preventing release of the construction notice are resolved in the coming weeks to allow the construction notice to be issued pending a favourable outcome to the JR.

4.3.9 GAA need to ensure that all 'conditions precedent' are signed off and the 'Deed of Amendment' agreed with the Department before the construction notice is issued.

4.3.10 Emergency evacuation plan to be further developed to meet GAA's need for a 38,000 capacity stadium.

4.3.11 GAA to present a revised project budget to the Department to reflect all known cost factors.

**SRO UPDATE REPORT FOR STADIUM SPONSOR BOARD
ON THURSDAY 19TH MARCH 2015**

1.0 REGIONAL STADIUM PROGRAMME AND PROJECT PROGRESS

- 1.1 The programme continues to make good progress.
- 1.2 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by March 2015.
- 1.3 The Windsor Park project is currently under construction. Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014. Demolition of the South Stand is now complete and construction of new stand has commenced. Construction of the East Stand commenced in September 2014. Work is progressing well.
- 1.4 Construction work at Casement Park is currently delayed. On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project. There is strong resolve within the Department and Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 1.5 The redevelopment of Casement Park is an Executive Programme for Government pledge and therefore remains a key priority. The funding cannot be used by the Department for other capital projects. DCAL remain committed to the re-development of Casement Park and will work with all parties to facilitate this becoming a reality.
- 1.6 Socio-economic opportunities around the three stadia are being maximised. Very positive work is delivering real feasible benefits to local communities and to sectors and areas of need.
- 1.7 The construction notice for the Olympia Leisure Centre project has now been secured and this project was launched in partnership with Belfast City Council and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the West stand at Windsor Park.
- 1.8 Discussions arising from the Olympia Leisure Centre project have facilitated the development of a partnership between Belfast City Council and the three Governing Bodies of GAA, Soccer and Rugby to create a 'Community Benefits Fund' post construction that will deliver extensive programmes of sport, physical activity, mental health initiatives and employment & learning opportunities for a range of groups across Belfast including those facing social exclusion and those experiencing long-term unemployment. Belfast City Council has committed one hundred thousand pounds (£100k) a year to this fund for up to a ten year period. Further contributions are expected from the Governing Bodies and other potential funders.

2.0 PROJECT UPDATES

2.1 UBIRFU / KINGSPAN STADIUM

Progress Against Programme Milestones (UBIRFU / RAVENHILL)

Milestone	Proposed Date	Update	Comment
Funding Agreement signed off by DCAL & UBIRFU	12.10.12	Completed (6.11.12)	IST appointed 06.11.12.
Appoint IST & prepare detailed design	12.10.12	Completed (6.11.12)	
Commence Construction	09.11.12	Completed (26.11.12)	Construction commenced 26.11.12.
Phase 1 Completion (Aquinas + Memorial Stands)	22.09.13	Completed	Phase 1 completion of the Aquinas and Memorial Stands is complete.
Phase 2 Completion (Grandstand)	05.05.14	Completed (05.05.14)	Target met.
Completion of testing, handover and float period	01.09.14	Completed	Target met.
Complete Construction of Spectator Facilities	01.09.14	Completed	Target met.
Complete Construction of work around education and heritage facilities	31.03.15	On target	On target for completion within CSR.

2.1.1 The Ulster Rugby Kingspan Stadium is now almost complete and the current work on the education & heritage centre and community facilities will be completed by March 2015.

2.1.2 The official opening of the Stadium took place on 2 May 2014.

2.1.3 UBIRFU have received safety certification from Belfast City Council to host a capacity crowd of up to 18,000 people.

2.1.4 Ulster Rugby Kingspan Stadium has been selected to host the 2015 final of the Guinness PRO12 competition.

2.1.5 The project remains on target with full commitment of the public spend expected within the current CSR period.

Issues

2.1.6 Operational Plan for the venue to be submitted to the Department for review.

2.2 IFA/ WINDSOR PARK

Progress Against Programme Milestones (IFA/WINDSOR PARK)

Milestone	Proposed Date	Update	Comment
Funding Agreement Signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013
Appoint IST & prepare detailed design	20.12.13	Completed (20.12.13)	Detailed design completed.
Commence Construction	April 2014	Completed (02.05.14)	Construction Notice Issued
Construction of Pitch	15.08.14	Completed (24.07.14)	Pitch works complete
Construction of South Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	On target for completion by specified dates
Refurbishment of the North Stand	30.07.15	On target	
Construction of East Stand/Frame/Roof/Terracing/Accommodation	30.10.15	On target	
Refurbishment of the West Stand	20.07.15	On target	
Completion of External Works	30.10.15	On target	
Complete Construction	30.11.15	On target	Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

- 2.2.1 The Windsor Park project is currently under construction and work is progressing well.
- 2.2.2 The European Championship qualifier against the Faroe Islands was hosted at Windsor Park on 11th October with a safety certificate of circa 10,500.
- 2.2.3 The Funding Agreement was issued to the IFA and the successful contractor (O'Hare and McGovern) was appointed in December 2013.
- 2.2.4 Reconstruction of the pitch, which commenced in May 2014, was completed in August 2014.
- 2.2.5 Demolition of the South Stand is now complete and construction of new stand has commenced.

- 2.2.6 Construction of the East Stand commenced in September 2014 and is progressing well.
- 2.2.7 The construction notice for the Olympia Leisure Centre project has now been secured and works commenced on site in January 2015. This project is an exciting partnership between the Department and Belfast City Council which will provide a new leisure centre and sports village at the rear of the west stand at Windsor Park.
- 2.2.8 Provided that significant delays around any legal issues are avoided, then the Windsor Park development can remain on programme with completion of the construction works planned for November 2015.

Issues

- 2.2.9 Budgets need to be monitored on a monthly basis going forward.
- 2.2.10 IFA and Windsor Park Steering Group to liaise with OHMG to ensure achievement of targets relating to employment of LTU's before completion of stadium in November 2015.

2.3 GAA/ CASEMENT

Progress Against Programme Milestones (UCGAA/CASEMENT PARK)

Milestone	Proposed Date	Update	Comment
Funding agreement signed	20.12.13	Completed (20.12.13)	Funding agreement signed on 20 th December 2013.
Appoint IST	20.12.13	Completed (20.12.13)	IST was appointed on 20 th December 2013 and design development by the contractor is complete.
Commence Construction	May 2014	Delayed	On 18 th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project, resulting in a delay to the construction works. There is strong resolve within the UCGAA to submit a new planning application in 2015.
Complete Construction	28.02.16	Delayed	

- 2.3.1 The Funding Agreement was issued to the UCGAA and the successful contractor (Heron Buckingham JV) was appointed in December 2013.
- 2.3.2 Planning permission for a 38,000 all-seater stadium at Casement Park was granted by the Department of Environment in January 2014.
- 2.3.3 A local residents group, Mooreland and Owenvarragh Residents' Association, (MORA) applied for a Judicial review into the decision and this was granted by Mr Justice Treacy.

- 2.3.4 The case was heard over 13 days between 9 September and 13 October 2014.
- 2.3.5 On 18th December 2014 Mr Justice Horner quashed the existing planning approval for the Casement Park project.
- 2.3.6 There is a strong resolve within the Ulster GAA to submit a new planning application in 2015 to develop a regional stadium in Ulster at Casement Park.
- 2.3.7 Any new planning application will take account of the learning points raised in the judgment.
- 2.3.8 As a result of the quashing of the planning approval on the Casement Park project an easement of £6.25 million has now been declared through January monitoring for 2014/15.
- 2.3.9 Work continues by UCGAA and the Safety Technical Group on the development of an Emergency Evacuation Plan for Casement.

Issues

- 2.3.10 UCGAA working on developing a robust Action Plan which includes the sourcing and procurement of any specialist expertise, cost implications and timelines.
- 2.3.11 UCGAA need to fully assess the technical implications of Judge Horner's ruling and ensure any new planning application takes account of the learning points raised.
- 2.3.12 Emergency evacuation plan to be further developed to meet GAA's need for new capacity stadium.
- 2.3.13 GAA to present a revised project budget/plan to the Department to reflect the proposed changes to the project timeline.

3.0 SOCIAL CLAUSES

- 3.1 Provision of social clauses in the construction contracts for the Stadium projects has been a high priority for the Department. Over 150 opportunities for Long Term Unemployed, Apprentices, and Student Placements have been created across the programme.
- 3.2 The Stadia team has evaluated current progress of the Ravenhill project in relation to delivery of the social clause requirements. Project completion by March 2015 will enable final evaluation and conclusions. Lessons learnt through this evaluation formed recommendations that have been layered throughout the Stadia Programme's approach to social clause delivery, informing the approach taken within the Windsor and Casement projects.

3.3 Social Clause Delivery, Project Progress:

3.3.1 Kingspan Stadium – An additional 5 LTU workers have been employed on-site for the final months of the project. This means that all social clause targets have now been met in full. Final target achievement will be reported in full upon completion, with many of the categories having already doubled or tripled their targets.

3.3.2 Windsor Park – Social clause delivery remains on target for all aspects except for LTU employment. Delivery remains a contractual obligation, and the project steering group has expressed concern both informally on several occasions and now formally through a letter to the contractor. The Stadium Team is working regularly with the contractor to aid delivery, and measures have been taken to provide support throughout the delivery process.

Improvements have however been seen in recent months and the situation will be monitored closely.

3.3.3 Casement – Social clause delivery will await project commencement of construction.

3.4 Under Ministerial Direction, the Stadia team is in the process of procuring a contract for a service to support the Governing Bodies and contractors in the implementation of social clause requirements. The tender submission deadline falls within the first week of April.

3.5 This resource is widely considered by stakeholders to be the key missing component to social clause delivery. By implementing this service, and demonstrating its need, DCAL will continue to lead in the development of social clause delivery. This service will help ensure that 'work ready' LTU's and apprentices are available to contractors when needed, and will promote sustainability of posts by enabling a natural mobilisation across capital projects.

4.0 SPEND PROFILE

4.1 Total spend to date against the Stadium Programme as of 31 March 2014 is circa £20.4m. This leaves a balance of £89.6m across the programme.

4.2 The spend profile for 2014/15 is therefore circa £21.6 million.

4.3 The spend profile for 2015/16 is £13.3m. £11.3 million is required to complete Windsor Park project and £2m to progress Casement Park and ancillary projects. No further funding is required at Kingspan Stadium as it will be completed. Anticipated spend on the Casement Park project beyond 2015/16 is currently under review and will be linked to the new project schedule which is currently being developed.

4.4 Officials have and continue to liaise with DFP with regards to spend profile allocations.