

**Rural Access Programme
Risk Event Register**

 Office location:
 Kathmandu

S. No.	Event type and description	Geographical Location	Cause	Impact		Implication on									Likelihood			Action taken	Action required	Incident status						
						Programme			Health & Safety			Cost								Start date	Settled	Live				
				LT	ST	H	M	L	H	M	L	H	M	L	H	M	L									
36	Extortion and intimidation for donation to operate party programmes by Biplav led CPN Maoist party	Kalikot, Achham and Dailekh	Political move of the party		√		√				√					√	√				RAP3 DTA explicitly communicated to the party commander that neither the programme nor individual staff are allowed to provide donation to any of the political party. And suggested to follow the BOGs on it. Communicated DFID and RMO on security threats received by DTAs.	RMO to communicate DFID's policy (BoGs) with high level party cadres in coordination with UN security staff.	May-16		Yes	
35	RAP3 staff and contractor's representatives engaged in road improvement works in MOR manhandled by local gangsters	Pathari Bhutani Shivar road improvement works in Morang	Objected on road traffic diversion route		√			√			√						√	√				Improvement works suspended until staff security is ensured by the local community	Local community to take staff security responsibilities to continue works Resumed works after 3 days of stoppage	Apr-16	Apr-16	No
34	Hand drills used for road breaking works to expedite construction in new road corridors is stopped due to fuel shortage	RAP3 new construction districts - Bajura, Kalikot, Humla and Mugu	Fuel for hand drill operations is not available due to unofficial Nepal-India border blockage by Indian Government	√				√			√						√	√				Despite support of local administration offices of new construction districts upon RAP3's requests, fuel from Tarai districts of the region too have not been available. Waited until situation backed to normal.	No further actions required.	Dec-15	Feb-16	No

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16 March – 15 July 2016

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33	National and regional level Bandhs, unofficial blockade by India and violent demonstrations and agitations of political party cadres and ethnic groups against Constitution of Nepal enacted on 20 September 2015 by Constituent Assembly.	All programme districts	Dissatisfaction of Madesh based and ethnic based political parties on demarcation of proposed federal states and provision for greater level of inclusion of dalits, janjatis in main streams of politics and other sectors in the new constitution of Nepal.	√			√				√					√			Staff stranded scheduled to participate for LRN training and inhibited transport of goods and materials in districts. Organised LRN training and internal annual review workshop on rescheduled dates. Rescheduling of material procurements supplies and time extension on some contracts. Constrained staff movement for programme business in Kathmandu and monitoring and supervision of district activities. Abandoned Mugu Humla link road remaining survey works due to shortage of fuel for operation of generator used to recharge batteries of survey equipment	To assess local situations and follow RMO's advice on staff movement and travel and transport of goods and construction tools and materials. To continue field works in coordination with and feedback of local community and beneficiaries after assessment of local situations.	Aug-15	Feb-16	No
32	Stoppage of RMG maintenance works in some road corridors of Terai districts	Morang	RMG engagement in 16 DRCN of Morang district discontinued due to Terai strike has compelled to lessen RMG road maintenance length.	√				√						√	√				Waited for normalising the situation	Continue monitoring local situation	Sep-15	Jan-16	No

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31	Earthquakes of 25 April and 12 May blocked DRCN of SIN with landslides and damaged houses of RAP3 staff	SIN and other earthquake hit districts	Natural disaster - Earthquake	√			√		√									Office in KTM shut from 25 April to 4 May following aftershocks. Emergency maintenance team sent to SIN 6 th May to clear DRCN blockages. Some 103km of DRCN opened by the end of May 2015.	Emergency road maintenance works to be continued throughout the monsoon and RMGs setup on 240km of DRCN	Apr-15	Oct-15	No
30	DTMP preparation works of additional 20 districts by national consulting firms	Arghakhanchi, Baglung, Banke, Bara, Dang, Dhanusha, Gorkha, Gulmi, Kanchanpur, Mahottari, Nuwakot, Parsa, Pyuthan, Rasuwa, Rautahat, Rupendehi, Salyan, Sarlahi, Tanahun, Udayapur	Natural disaster - Earthquake and strikes by agitating political parties against new Constitution of Nepal		√			√		√							Terai DTMPs delayed due to strike and fuel crisis. Final reports of 15 districts are submitted and 5 more reports (Udayapur, Dhanusha, Mahottari, Sarlahi and Tanahun) are expected to be finalised after presentation of draft proposals in respective DDCs soon.	Continue monitoring and supervision of DTMP preparation works of local consultants.	Jun-15		Yes	
29	Variations in DRCN size under RMG road maintenance	RAP3 maintenance districts	RAP DRCN is likely to shrink due to transfer of some sections of existing roads from DDCs to newly formed municipalities in districts	√			√			√				√	√		Waited for impacts	No immediate action is required	Feb-15		Yes	

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28	Non-responsive bid submissions from contractors	S'sabha	Despite briefings during the pre-bid meeting from the district team, none of the contractors properly filled bid forms at the time of submission of their bids.		√			√												All bids invited for 9 work packages were cancelled due to submission of substantially non-responsive bids and decided to readvert.	Procurement process cycle has to be repeated	Jan-15	Mar-15	No
27	Disturbance in RBG works on new construction road corridors due to harsh weather conditions due to repeated snowfall in mountain districts	Humla, Mugu, Kalikot and Bajura new construction road corridors	Repeated snowfall and rainfall during winter		√			√												Other preparatory works such as Phase 2 survey and design, procurement of tools and materials were taking place as planned.	RBGs to be fully mobilised	Dec-14	Feb-15	No
26	Contractor under bidding	Maintenance districts	In several districts (notably Jhapa and Dailekh) extreme under-bidding has resulted in lengthy evaluation delays, unnecessary re-bidding in several cases and under spend of budget		√			√												Fund balance added to IYR-2 ARAMP planning process and reassigned	Allocated IY2 funds based on performance of districts	Jul-14	Feb-15	No

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25	Festival and LRN training stoppages	All programme districts	LRN and road safety training course between Dashian and Tihar caused interruptions to other works		√			√			√			√	√			Remobilisation of staff substantially completed	No further action is required	Sep-14	Oct-14	No
24	Ban on gravel and sand mining from river beds and other areas affect road maintenance works	10 road maintenance districts	GoN decision to ban on gravel and sand mining activities from river beds and other areas for at least 3 months		√		√				√					√		GoN lifted restrictions on extraction of river gravels for construction materials. But Jhapa suffered for quite long and is recently settled.	No further action is required	Jul-14	Mar-15	No
23	Damage of DRCN in maintenance districts due to heavy rainfall during monsoon	6 RTI pilot and 4 core districts	Damage of roads due to continuous and heavy downpour towards the end of monsoon 2014		√			√			√		√		√			Preliminary assessment of damage of DRCN and preparation of work plan to carry out emergency maintenance works of damaged section of roads. Undertaken emergency maintenance works to reopen the road before festivals with DFID and DDC funds	No further action is required for this year	Aug-14	Oct-14	No

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22	General poor performance of Consultants (Design and Support)	Programme districts	Low level of exposure, lack of hands-on experience of technicians, brain drain of experienced manpower due to limited career development opportunities and weak private sector organisations in Nepal	√		√											√			Private Sector workshop held in KTM on 5 th June with all RAP3 consultants (15 firms) to review and derive action plans to tackle shortcomings In the critical case of Morang (Support Consultant) RAP decided to replace the Consultant district team management by an in-house task-force from beginning of July 2014. Organised one-week training programme to project Engineers in Sept-14 Despite all efforts from the programme, some of the consultants could not satisfactorily completed design works and terminated assignments and contracts.	Training programmes for Consultant staff to be organised regularly. Incomplete design works of some new construction road corridors are to complete by RAP in-house team of experts and interns/graduate Engineers engaged under the programme.	Mar-14	Nov-14	No
21	Low contract bids: 52-53% below the Engineer's estimates on 3 small contract packages and alter item of works while uploading of information for e-bid submissions	Sindhu palchowk	Mistakes during uploading of item of works by DDC staff Local contractors with no works at hand Not serious on timely completion and delivery of quality works		√		√											√	√	RAP3 management declined for issuance of non-objection letters to the DDC proceed with contracts and asked to explore alternative options which ensures quality of works	DDC implemented the work through re-bidding process as suggested	Mar-14	Sep-14	No

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20	Payment request for the defective gabion walls constructed by one of the contractors Received complain (audio clip) eith corruption allegation against the district team by the contractor	Dadeldhura	Greed	√																The contractor rectified defective works following standard method of gabion wall construction Technical specialist from TMO verified the work rectified by the contractor and met him who accused corruption charge against the team independently. From the report it is revealed that the contractor was compelled to make the false statement by then IOW who was dismissed from the job for trying to do malpractices in construction in the district.	Payment was released to the contractor after rectification of defective works No further action is required	Jun-14	Jul-14	No
19	Cost estimate based payment to UC works	Sankhuwa sabha	Greed led to establish wrong working practise.	√																DDC is informed for field verification of works before payments and suggested to comply with the provisions of tripartite agreement	DDC to investigate the case and correct it after findings	Jun-14	Feb-15	No
18	NGO staff while travelling to the field was stopped on his way by 2 unidentified people and threatened life, snatched the bag and started beating him with no reason. The staff hardly managed to escape unhurt	Dailekh	Not known. No threats received prior to the incident	√																The staff immediately reported the incident to the nearest police station and requested to take action against culprits.	To beef up police patrolling to improve security situations The project team to regularly review and analyse risk and threats and travel in the team	Jun-14	Jun-14	No

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17	Scheduled field visits of staff postponed due to unavailability of flight seats in remote districts	Humla	Due to the Indian tourist season for trips to Mt. Kailash and Lake Mansarovar in Tibet couple with bad weather conditions, flight seats to Humla could not be managed to RAP		√		√											Internal audit programme is postponed	No further action is required	Jun-14	Dec-14	No												
16	Drop in number of RBGs engaged in Sanighat Siphana district road construction works showing dissatisfaction on allocation of work sites by project affected households	Kalikot	In contrary to the construction approach of engaging RBGs, project affected households have demanded to allocate construction works for	√			√											DTA organised series of meetings with LRCCs, projected affected households and RBGs and communicated them on approach and scope of programme implementation.	Remove Kalikot from list of districts from result based.	May-14	Jul-14	No												

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			them who owns that section of land																										
15	Consequences of GoN official holiday on the last day of bid submission thru electronic and hard copy submissions due to lack of a day of an automatic time extension provision on e-submission arrangements	Jhapa and Doti	Responsible staff having authority of security key for e-bid submission in DDC/DTO not fully aware with the consequences of disclosure of bids submitted electronically.		√			√									√			√					DDC Jhapa and Doti cancelled all bids and readvertised for the new bids	No further action is required	May-14	Settled	No
14	Low contract bids: 55-64% below the Engineer's estimates on 5 small contract packages (<NPR 6 million	Dailekh	Local contractors with no works at hand Not serious on timely completion and delivery of quality works		√		√												√	√					RAP3 management declined for issuance of non-objection letters to the DDC proceed with contracts and asked to explore alternative options which ensures quality of works	DDC Dailekh cancelled all bids and readvertised for the same in May-14	Jan-14	Settled	No

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13	Two separate provisions of bid submissions for maintenance works by contractors and documents not submitted as provisioned for e-bid submission	Achham	The lowest bid submitted through e-submission declined to produce hard copy documents as per the provision allowing opportunity to other higher bid submission		√			√			√			√			√	DDC Achham as advised by RAP3 management forfeited bank guarantees of all bidders who declined to submit the original documents on time and awarded to the lowest bid from amongst the responsive bidders.	No further action is required	Jan-14	Mar-14	No
12	Dispute on chainage based sequential timing of RBGs' engagement in construction works	Kalikot	Demand of Sanighat Shipkhana district road corridor RBGs to engage for construction through out corridor at once.		√			√			√			√			√	RAP3 continued dialogue for a month (Mid Mar - Mid Apr) and convinced RBGs the difficulty providing works to all through out corridor at once	No further action is required	Mar-14	Apr-14	No
11	Humla Mugu road	Humla and Mugu	With DoR estimating many years to complete southern Karnali north south corridor, Simkot link via Mugu link option is growing at the local level	√		√					√	√					√	Learnt that DFID-N has forwarded the proposal for approval from its head office RAP3 in-house technical team is fielded for engineering survey and EIA study is underway. Detailed design of survey completed section of the road on-going. Also bridge expert fielded for feasibility study of 2 bridges	Detailed engineering survey, design and EIA study works are on-going after DFID's approval	Dec-13	Still on-going	Yes

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10	User Committee modality through DDF	DRCN maintenance districts	Some DDCs are accustomed to loose procedures on UC works such as use of heavy equipment, sub-contracting and lack of safety gears	√			√			√				√					RAP3 is suing advise to influence and improve procedures	Continue suing advise to influence improve procedure Ensure procedure s are complied on UC works	Dec-13	No	Yes
9	Disputes over starting point of the 2nd road corridor (5km) proposed for new construction. The case sued in the district court.	Kalikot	Conflicted opinion of local community people on the starting point than perviously proposed.	√		√						√		√		√			The district court issued notice to DDC/RAP on the case. Political party representative meeting has passed a resolution to take the case back. The court quashed the case with a fine of NPR 50.00 to the applicant	Road construction works to be started after RBGs formation in the next working season	Nov-13	Jun-14	No
8	Dispute over road alignment in Humla	Humla	The local community objected on Galfagad Srinagar Kalika, 12km road alignment and requested to stop construction works until the alignment is significantly changed.	√		√						√		√		√			RBG formation and other activities on hold on this road. Hence RAP3 has informally requested to swith over the length equivalent to the other. Later the community agreed to start road construction works following the alignment as delineated in the DTMP	RAP agreed the request of DDC and political party representatives to start the construction process in the road corridor as planned	Nov-13	Jun-14	No

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7	LRN contingency issue	Programme districts	As per the LSGA, DDC has a practice for 3-5% of work budgets to be put in a contingency heading that is used for field monitoring, logistics and to cover other recurrent costs.	√			√				√			√	√				DOLIDAR has instructed all districts to submit detailed proposals for addressing this issue so that all genuine costs are covered by RAP3 in a way that ensures transparency and accountability of all funds.	Proposals received from districts to submit SC considerations. RAP3 to inform all DTAs to maintain details of such expenditure in a separate ledger with prior approval of DTLs.	Nov-13	Yes	No
6	International staff visas - all long term staff now working with no visa	Kathmandu	DFID letter and RAP3 MOU submitted but not accepted as adequate under new GON rules	√			√				√			√	√				RAP3 and DOLIDAR consultation with all relevant GON agencies opened the way for a temporary solution through the issuance of work permits. The new umbrella MOU signed between DFID and GON will help obtain non-resident visa for subsequent years.	DFID to reimburse costs for work permits and fines charged against issuance of visas. To initiate visa extension process for long term staff	May-13	Sep-14	No
5	Overall programme - delayed start to implementation phase	Programme districts	Extension of Programme Inception Phase for a month		√		√				√			√	√				Implementation plan prepared and submitted to DFID for approval	DFID to authorise start by 31 Oct-13	Nov-13	Nov-13	Settled

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4	Dispute over NGO selection in Kalikot and Mugu	Kalikot and Mugu	Unsuccessful NGOs for getting jobs put complains for not following transparent and unbiased selection processes by implementation partners		√			√			√			√		√	Interaction meetings with delegates held at district and central levels and clarified on the NGO evaluation processes. Selected NGOs keep continue working with no complains afterwards	No further action is required	Oct-13	Jan-14	No	
3	Election code of conduct - prevents activity that maybe politically biased	Programme districts	Scheduled 2nd Constituent Assembly Election on 19 November 2013.		√		√			√			√	√			As DTMPs were signed before so no impact of LRN component. However, it stopped SED related activities in districts	Field mobilisation will happen after election	Oct-13	Nov-13	No	
2	Kalikot - dispute over location and level of LRN support	Kalikot	Agitators with the backing of some local politicians demanded for taking up of the low priority DTMP road corridor in parallel with the 1st ranked one by the RAP3.		√		√			√	√			√			Continued communications and negotiations between RAP3, DoLIDAR, DDC and representatives of agitators - within limits of signed DTMP. 5km length of the 2nd road corridor will be constructed in parallel with the 1st road corridor	DDC to review and approved the present DTMP. But road corridors selected based on DTMP for construction with DFID support are agreed to proceed with RAP3 works has started moving smoothly since Dec-14 in both road	Oct-13	No	Yes	

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1	Parbat SAME - editing and falsifying signatures on payment certificate	Parbat	Voilation of code of conduct by the individual staff		√			√				√						√			Supended from the job till the detailed investigation from the central level audit team. After verification of the case the overpaid amount recovered and dismissed form the job.	No further action is required	Oct-13	Nov-13	No