


Appendix 2

 www.tmbc.gov.uk		RISK ASSESSMENT FOR: T&M UKSPF Programme (including REPF)			ASSESSORS NAME AND DEPARTMENT: Jeremy Whittaker, Executive Services						
		NOTE : (S) SEVERITY X (L) LIKELIHOOD = (RR) RISK RATING			DATE OF INITIAL ASSESSMENT: April 2023			REVIEW DATE: November 2023			
No.	ACTIVITY/ PROCESS/ OPERATION	HAZARDS AND PERSONS AFFECTED	RISK RATING (before control measures)			EXISTING CONTROL MEASURES	RISK RATING (after control measures)			ADDITIONAL CONTROL MEASURES (ACM) REQUIRED	DATE OF ACM IN PLACE
			S	L	RR		S	L	RR		
1.	Overall Programme Management resources for the UKSPF Programme.	Loss of staff due to illness or resignation. Insufficient funds to maintain level of staffing resource.	5	3	15	Ensure workloads remain reasonable and work rewarding. Funding identified to ensure EDO extension – still to be approved.	5	2	10		

2.	Reporting Process to DLUHC	<p>Incorrect information or information gaps provided to DLUHC in returns.</p> <p>Information emailed by DLUHC is missed.</p> <p>Deadlines missed in submitting reports to DLUHC.</p>	4	2	8	<p>System set in place for projects to provide requested detail.</p> <p>Information goes both to JW and SW.</p> <p>Process in place working back from deadlines to ensure submissions in time.</p>	4	1	4		
3.	Local Elections/ Change of Leadership	Change in priorities means resources need to be focussed on amending the Investment Plan and funding new initiatives.	4	3	12	Mitigate through having early discussions with new administration and providing information on existing commitments.	4	2	8		
4.	Local Group	<p>Does not engage with the Programme.</p> <p>Established members of the group move on.</p>	3	2	6	<p>Attendance to date has been good. Need to continue to ensure meetings are easy to attend (virtual) and efficient.</p> <p>Review ToR regularly to ensure good level of representation.</p>	3	1	3	Chaired by Director, with inclusive agendas.	January 2023

5.	Communications	UKSPF publicity requirements are not met.	4	2	8	Project leads have all been given the publicity guidance.	4	1	4		
6.	Procurement	UKSPF procurement requirements are not met.	5	2	10	Procurement rules have been shared with Project Leads and are discussed at the bi-monthly Project Leads meetings.	5	1	5		
7.	Fraud	<p>Applicants attempt to access grant funding through fraudulent activity.</p> <p>Project delivery organisations falsely claim work undertaken.</p>	5	3	15	<p>Our grant schemes have numerous checks during the application process to ensure they are genuine and provide correct information, and pay out only on evidence of completion and payment.</p> <p>Regular meetings with organisations undertaking delivery with monitoring and evidence of delivery required.</p>	5	2	10		

8.	<p>Projects do not deliver.</p>	<p>Project Leads leave their current roles and limited capacity from other staff to deliver.</p> <p>Any recruitment into positions required to support the programme is unsuccessful</p> <p>Project Leads have to prioritise other workloads.</p> <p>Unforeseen obstacles occur that severely delay delivery.</p>	4	3	12	<p>Staff resources discussed at project lead meetings and managed.</p> <p>Ensure adverts are shared amongst partner organisations in order to encourage wide circulation.</p> <p>Due to early investment in time setting up the programme, project leads have had significant time to prepare and manage delivery.</p> <p>Project Lead meetings to identify and discuss issues at an early stage. Contact DLUHC to discuss at the earliest opportunity.</p>	4	2	8		
9.	<p>Take up of Grant Schemes is limited.</p>	<p>No interest in schemes due to no longer addressing a priority, the application forms are too complicated or inability to raise match-funding.</p>	3	2	6	<p>Advisers have been provided in some schemes to provide free support and intervention rates have been increased to help businesses.</p>	2	2	4		

10.	Disruption caused by Covid-19 (or similar)	Further outbreaks of Covid (or a similar virus) require a change of focus and a disruption to staffing.	5	2	10	The Borough Council has built up its business resilience measures in recent years and is now in a strong position to maintain business continuity through any future outbreaks.	3	2	6		
11.	Economic Issues	Inflation increases further and gives rise to higher costs than currently envisaged	4	3	12	Realistic costs have been sourced and in the event of such a change the Borough Council would look to work closely with DLUHC to tweak the programme or specific projects accordingly.	2	3	6		