



European Union

The Scottish Government
Riaghaltas na h-Alba

EUROPE & SCOTLAND

European Social Fund

Investing in a Smart, Sustainable and Inclusive Future



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The Scottish Government
Riaghaltas na h-Alba

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European Regional Development Fund

Investing in a Smart, Sustainable and Inclusive Future

MANAGING AUTHORITY RISK RATING SHEET

The Managing Authority should complete and retain a copy of this form for each Operation submitted by a Lead Partner (LP).

Checklist to be completed by the Portfolio & Compliance Manager, and reviewed by the Senior Portfolio & Compliance Manager. **The scores from this sheet should be entered in to the Overall Risk Rating and Assessment Sheet.**

Submission Date:	<Enter Submission Date>.
Submission Number	<Choose an item>

OPERATION DETAILS	
Strategic Intervention (SI) Title	
SI Lead Partner (LP)	
Delivery Agent (DA) Name	
Operation Title	
Operation No.	<Choose an item>
Programme	<Choose an item>
Programme Area	<Choose an item>
Thematic Objective	<Choose an item>
Investment Priority	<Choose an item>

Please enter evidence that the risk has been considered and addressed in the box on the left and enter evidence that risk has **not** been considered and addressed in the box in the right.

*See Marking Scale at the end of this document for an explanation of what the marking scale 1 to 5 means. Where a question is N/A then you must score it a 1 (lowest risk) i.e. Question 14, Challenge Fund.

RISK RATINGS	
Programme	
1. Operation may not be aligned with SG Policy	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
2. Operation may not be aligned with EU2020 targets	Select Score

Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
3. Operation may not be a good fit with relevant Priority	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
4. Operation may not complement other relevant SIs or the YEI	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
Legal	
5. Operation may not comply with State Aid regulations	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
6. Operation may not comply with Procurement rules	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
Financial	
7. Match Funding commitments may not be fulfilled	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
8. Lead Partner has poor record of compliance	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
Performance	
9. Operation may not contribute effectively to Programme targets	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
10. Operation may not achieve forecast outcomes and results	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.
11. Operation is not effectively focussed on proposed targets	Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.

12. Lead Partner may not meet audit requirements		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
13. Management of the SI requires review and may be under-resourced		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
14. Operations may not manage the challenge fund in an open, transparent and compliant manner.		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
15. Operations may have an insufficient level of 3rd Sector involvement		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
Specific Operation Risks		
16. Operation's value is significant compared to the overall value of the SI		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
17. Size and experience of the Operation's management structure is insufficient		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
18. Operation being delivered through a number of intermediaries		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
19. Operation may not comply with publicity requirements		Select Score
Click here to enter evidence that risk has been considered and addressed.	Click here to enter evidence that risk has not been considered and addressed.	
P&C Manager Overall Comments		
P&C Manager Signature		
Full Name		
Date Rating Sheet Completed		Click here to enter the date.

Senior P&C Manager Signature	
Full Name	
Date Rating Sheet Completed	Click here to enter the date.
Any Changes made to scores or comments should be indicated here, along with any feedback to the P&C Manager	

Marking Scale	
1	
	Comprehensive evidence that Risk has been considered and Addressed.
2	
	Sufficient evidence that Risk has been considered and Addressed.
3	
	Some evidence that Risk has been considered and Addressed.
4	
	Minimum evidence that Risk has been considered and Addressed.
5	
	Little or no evidence that Risk has been considered and addressed.

Low score = Low risk