

# NE OPS Guidance

## 3. Milestones, Outputs & Risk

**NORTH  
OF TYNE**



**COMBINED  
AUTHORITY**

**North East**  
Local Enterprise Partnership



## 1. Introduction

This guidance provides an overview of the **Milestones**, **Outputs** and **Risk** blocks in NE OPS. These sections influence the management and economic assessments of potential projects.

## 2. Overview of Milestones

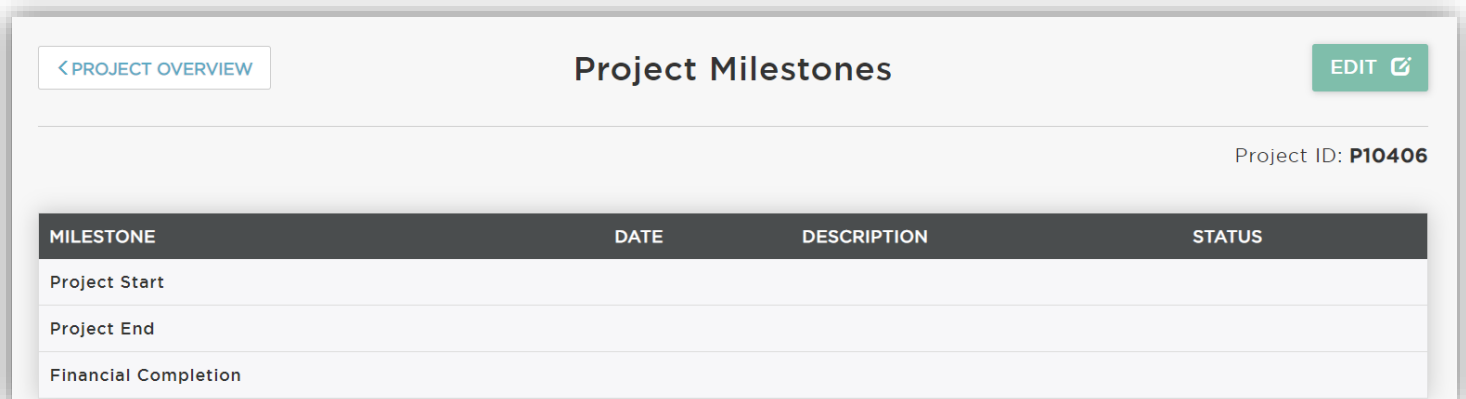
All applicants must have a clear delivery plan that outlines the milestones required for successful delivery of their project. Complete the milestone table to demonstrate the key actions related to your project.

In the Block you will see three mandatory milestones for completion. Please also input additional milestones that apply to your project and enter the estimated date you expect each milestone to be achieved.

When adding your milestones, the system will automatically put them in chronological order based on dates. You will also note the **Status** column updates to say **Forecast** for future dates. All milestones you submit within your bid will automatically be given this status.

There are three milestones that all projects must complete:


- Project Start - The date on which project activity will start and expenditure can be incurred.
- Financial Completion - The date by which activity is complete and all eligible expenditure has been defrayed (left the bank account).
- Project End – The date by which all outputs have been achieved and verified. This can be after the financial completion date as verification evidence for some outputs (e.g. Direct Jobs Created), may not be in place by the Financial Completion Date.



The screenshot shows a web interface for "Project Milestones". At the top left is a navigation link "< PROJECT OVERVIEW". At the top right is an "EDIT" button with a pencil icon. Below the header, the "Project ID: P10406" is displayed. The main content is a table with the following structure:

MILESTONE	DATE	DESCRIPTION	STATUS
Project Start			
Project End			
Financial Completion			

### 3. Mandatory Milestones

To edit these milestones, select  and then type information directly in the table for each of the mandatory milestones that appear by default.

MILESTONE	DATE	DESCRIPTION	STATUS	ACTIONS
Project Start	DD / MM / YYYY	Enter milestone description		
Project End	DD / MM / YYYY	Enter milestone description		
Financial Completion	DD / MM / YYYY	Enter milestone description		

### 4. Adding Additional Milestones

To input additional project milestones, select



You will see a new window appear:

**Add new milestone** ✕

Enter milestone name  
  
Required

Enter milestone date

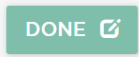
Enter milestone description

New milestone will be added in date order

Enter the relevant information for each additional milestone (name, date, and short description).

Applicants are encouraged to provide as much milestone detail as possible. Providing only limited detail for each milestone may negatively impact the assessment of your project's deliverability.

Once all milestones have been added click



Then click

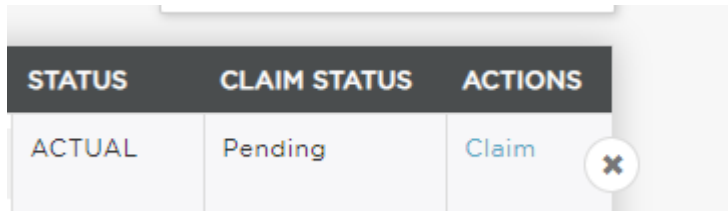


to return to the main application block screen.

## 4.1 Claiming a milestone

*N.B – This step only appears on certain templates where CLAIM STATUS is a column in the milestones block table.*

When you have achieved a previously entered milestone, you should select the claim button viewable in the screenshot below to confirm that this milestone has been achieved.



STATUS	CLAIM STATUS	ACTIONS
ACTUAL	Pending	Claim <input type="button" value="x"/>

## 5. Updating Previously Entered Data

Progress against milestones and any amendments to forecast dates is captured by updating the entries in the table. Follow the same instructions as explained in section 2. Mandatory Milestones above.

This will be done as a part of the quarterly monitoring process for all approved projects.

Please note that whilst progress against milestones can be updated as part of the claims process, acceptance of these updates does not constitute a formal variation of the terms of the Grant Funding Agreement. Any amendments to key dates, such as extension of the Financial Completion Date, must be undertaken through a formal project change request. This should be discussed with your NTCA or NELEP lead.

## 6. Overview of Outputs

*Please note, it is essential you read through the Output Definitions applicable to your selected funding stream. Output guidance for all North of Tyne Combined Authority projects can be found [here](#). Please contact the North East Local Enterprise Partnership for guidance relating to those projects.*

Please also refer to any specific additional guidance for the funding stream you're applying to, e.g. inclusive economy indicators.

This section allows you to identify the anticipated effect of your project by selecting appropriate outputs to quantify the level of potential project impact. This information will be used to assess the contribution of your project to strategic outputs and evaluate value for money.


- To establish adequate and consistent metrics and targets, it is important to have a clear definition for the outputs you will report to us. See linked guidance above.
- Output projections must represent additionality – in other words, the figures you forecast are based upon the difference between the baseline

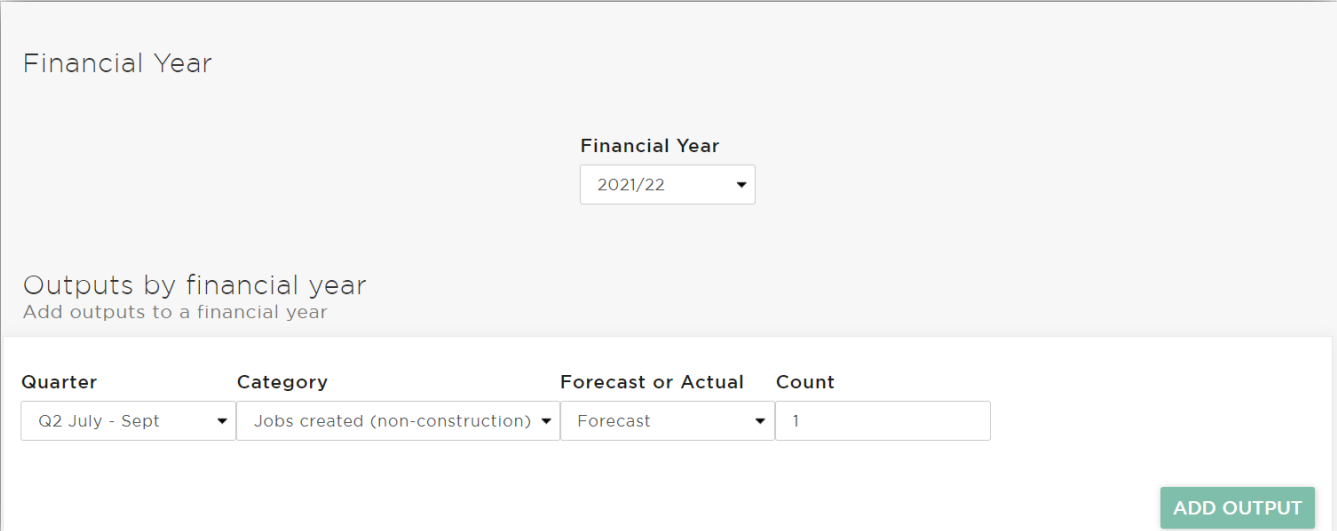
(what would happen anyway), and the position if the project were to be implemented.

- **NELEP projects only**: To illustrate additionality, we may require you to share a baseline (See section 7. Inputting a Baseline below). This represents the outputs that you would have delivered for a three-year period without the project taking place.

Outputs quantify the benefits that specific projects deliver, e.g. jobs created. A comprehensive list of the specific outputs we are looking to capture, and their definitions are available in guidance linked in the opening paragraph of this section.

## 7. Adding an Output

To enter an output, select  and scroll down to the table called **Outputs by financial year**. First ensure you are in the right **Financial Year** using the drop-down menu. Please check output reporting requirements in the selected funding stream guidance for the length of time you will be required to report outputs.



Financial Year

Financial Year  
2021/22

Outputs by financial year  
Add outputs to a financial year

Quarter	Category	Forecast or Actual	Count
Q2 July - Sept	Jobs created (non-construction)	Forecast	1

ADD OUTPUT

Then use the dropdown menu to select the **Quarter** within that year when your outputs will be delivered. Then select the relevant output from the **Category** dropdown menu. This list of outputs is aligned to the guidance document above. Your project is expected to deliver against some or all of outputs listed. Next select **Forecast** and use the **Count** column to enter the number of outputs that you expect the project to deliver within that **Quarter** of the chosen **Financial Year**.

Then click 

Repeat this process for each quarter of the project and each year that the outputs are forecast to be delivered. This should be done for each output category relevant to the project.

## 8. Inputting a Baseline



(optional - please check guidance for your selected funding stream)

Dependent on the funding stream you are applying to, you may need to submit a **Baseline**. This baseline should represent the quantity of a particular output that you would expect to deliver over a three-year period without the project taking place. This information helps us better understand the context of the intervention and assess the difference grant funding would make to outputs.

For example, if the project is enabling an entirely new education intervention to be delivered then you can baseline the output with a zero. If it is enhancing existing provision, you should cite the number of learners you would expect to enrol or complete the course for the three-year period without the additional capacity, equipment, or improved facilities in place. This same principle can be applied to all outputs in the guidance provided such as jobs created, or homes brought forward.

To input the baseline for an output for the three-year period, scroll to the table called **Baseline for output category type**, select the relevant output from the **Category** dropdown menu, then insert the number you would have delivered over three years without the project investment.

Once done, select 

Once the Block is complete, select  then select  to return to the main application screen.

## 9. Updating Already Entered Data

Reporting achievement against outputs and making any amendments to the outputs forecast is captured by updating each table. These changes will be made a part of the quarterly monitoring process for all approved projects.

To update an output, select the  button in the block.

For updated forecasts simply amend the number given in the **Count** column.

To report actual outputs delivered, select **Actual** from the dropdown menu, and input the number of an output that has been achieved in that delivery quarter in the **Count** column. Repeat this for all listed outputs each quarter. If no outputs have been achieved, please enter zero into the **Count** column. When a project has underperformed against outputs, please reprofile forecast outputs for future delivery quarters to show how contracted outputs will still be achieved. If this is not possible, please consult with your lead officer.

## 10. Overview of Risk

In this section, applicants set out the key risks that might affect project delivery, as well as the issues that are already impacting your project. A risk is an event that has not yet happened but could have a negative impact on the project if it did occur. An issue is anything which has already occurred and is having a negative impact on the project.

Be specific when describing the impact of any risk or issue on your project. If you are describing general or generic risks that would apply to most projects, e.g. not receiving planning permission for building works then you should describe the reasons for that risk being relevant to your project, e.g. not receiving planning permission for building works due to listed building consent issues, as well as the specific impact it will have on your project.

## 11. Overall Project Risk Rating

You should supply an **Overall Project Risk Rating** using the Red-Amber-Green system (RAG rating), along with a high-level explanation as to why you have selected that status. Red is high risk; amber is medium risk and green is low risk.

### Risks and Issues

DONE   
Project ID: **P10558**

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#### Project Risk Rating

**Overall Project Risk Rating**

Not provided▼

**Explanation of Risk Rating**

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#### Manage Project Risks

A risk is an event which has not yet happened but could have a negative impact on the project if it did occur.

CREATE NEW RISK +

Not provided

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#### Manage Project Issues

An issue is anything which has already occurred and is having a negative impact on the project.

CREATE NEW ISSUE +

Not provided




To input your risks and issues select  and then scroll down and select either



or



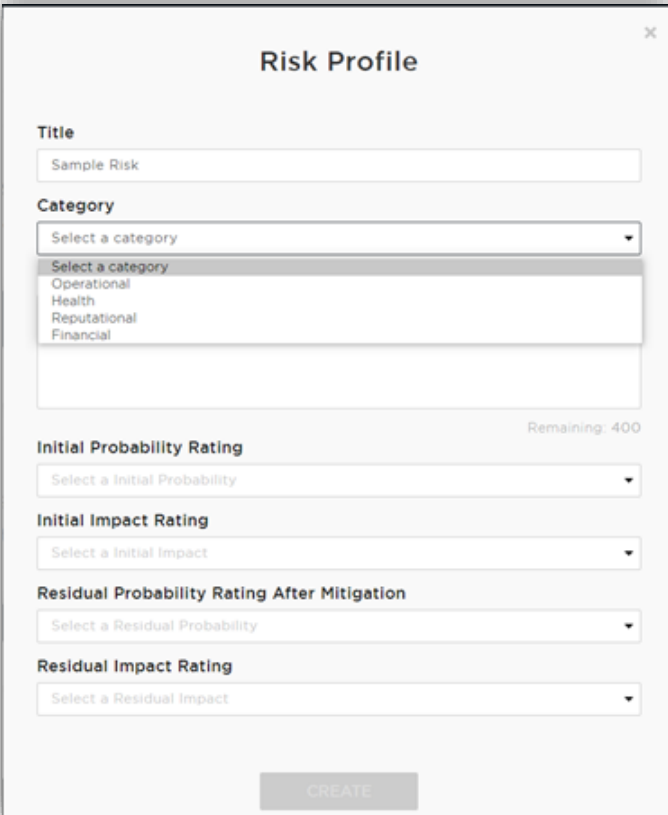
## 12. Entering Risks

Select  and then scroll down and select



When creating a **Risk**, enter the name of the risk. You will be asked to assign a **Category** to your risk from a dropdown menu along with selecting **Initial Probability** and **Impact Rating**.


**Don't** enter **Residual Probability Rating** and **Residual Impact Rating** ratings at this time.



The screenshot shows a 'Risk Profile' form with the following fields:

- Title:** A text input field containing 'Sample Risk'.
- Category:** A dropdown menu with 'Select a category' selected. The dropdown list is open, showing options: 'Operational', 'Health', 'Reputational', and 'Financial'.
- Initial Probability Rating:** A dropdown menu with 'Select a Initial Probability' selected. A 'Remaining: 400' label is visible to the right.
- Initial Impact Rating:** A dropdown menu with 'Select a Initial Impact' selected.
- Residual Probability Rating After Mitigation:** A dropdown menu with 'Select a Residual Probability' selected.
- Residual Impact Rating:** A dropdown menu with 'Select a Residual Impact' selected.

A 'CREATE' button is located at the bottom of the form.

Once all information is added to a new Risk, select  and your risk will then appear in the **Risk** section of the block, as shown below.

TITLE	DESCRIPTION OF CAUSE AND IMPACT	CATEGORY	INITIAL RISK RATING	RESIDUAL RISK RATING	STATUS
▲ Test Risk	Test Risk description	Operational	12 Significant	4 Low	Open
MITIGATION			OWNER		
Not provided					

[Add Mitigation & Owner](#)

You can now enter the **Mitigation** measures, if there are any, and a risk **Owner** by selecting this option. A new window will appear:

**Add Mitigation** ✕

**Mitigation**

Provide a description of the mitigation raised, max 200 characters.

**Owner**

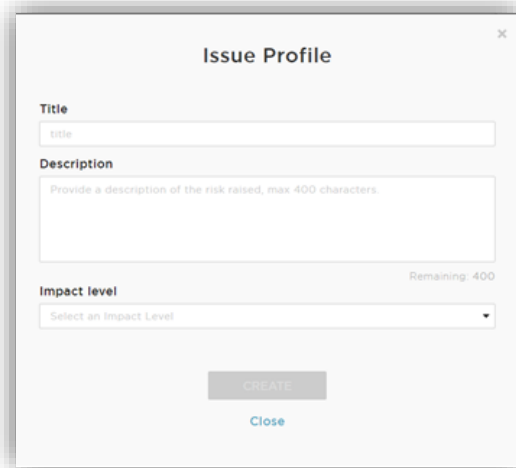
[Close](#)

A mitigation measure is any action you can take to reduce the likelihood of a risk occurring or reduce the severity of its impact if it did occur. You can then provide updated probability and impact ratings for the risk after mitigation by selecting the risk to re-open the risk profile.

### 13. Entering Issues

Select EDIT  and then scroll down and select CREATE NEW ISSUE +

When creating an **Issue**, enter the name and description of the issue.




The 'Issue Profile' form contains the following fields:

- Title:** A text input field with a placeholder 'title'.
- Description:** A text area with a placeholder 'Provide a description of the risk raised, max 400 characters.' and a 'Remaining: 400' indicator.
- Impact level:** A dropdown menu with the placeholder 'Select an Impact Level'.

At the bottom of the form are two buttons: a grey 'CREATE' button and a blue 'Close' button.

You will be asked to assign an **Impact level** from the dropdown menu using the RAG system as outlined in section 10. Overall Project Risk Rating above.

Once all information is added to a new Issue, select  and your issue will then appear in the **Issue** section of the block, as shown below:

Manage Project Issues  Hide closed issues

An issue is anything which has already occurred and is having a negative impact on the project. [CREATE NEW ISSUE +](#)

TITLE	DESCRIPTION OF ISSUES AND IMPACT	IMPACT LEVEL	STATUS
▲ Test Issue	Test Description	Amber - Moderate	Open
ACTIONS		OWNER	
Not provided			

[Add Action & Owner](#)

You can now enter the mitigation measures, if there are any and an **Action** and **Owner** by selecting this option.


You can then provide an update on actions taken to resolve the issue and an **Owner**. Please note, you must add this detail after creating the issue in the system. Following the same process as used for inputting risks above.

## 14. Risk Assessment Considerations

The assessment of your project will take a balanced view of risk, considering the relevance and effectiveness of your proposed mitigation. Failing to declare likely delivery risks will not benefit your application. Our assessors are experienced and not declaring key risks will suggest that you are unable to identify and mitigate key risks. This may impact the deliverability assessment of your project.

## 15. Updating Already Entered Risk and Issue Data

Risks and issues status should be updated during project delivery and captured in the quarterly monitoring process for all approved projects.

Risk and issues can be updated by selecting the  button in the block and editing any relevant sections of the tables.