

# Levelling Up Programme - Risk Register

## January 2024

Profile of Current Risk Scores:

Red	1, 9
Amber	3, 4, 6, 7, 10
Green	2, 5, 8



1. Best start in life for children and young people



2. People live well and age well



3. Strong resilient communities





4. Quality homes in thriving neighbourhoods







5. A strong and inclusive economy







6. A connected and accessible Sandwell

Risk Ref	Risk Title and Description	Link to business plan objective	Previous score	Direction of travel (up arrow: risk increase, down arrow: risk decrease)	Current risk score (Nov 2023)	Target risk score and date	Progress to Date (incl. current risk mitigating controls and further actions to be taken to manage risk and action date)
01	<p><b>Grant Conditions: Delivery Timeline &amp; S151 project sign-off</b></p> <p>If programme delivery cannot be completed by 2024-25 financial year (March 2025) and/or there are concerns around project delivery from S151 assurance, there is a risk of grant clawback, reputational damage and missed opportunities to deliver the benefits of the programme</p> <p><b>Risk Owner</b> Programme SRO, Project SROs and Programme Manager</p>		Red		Red	Amber (March 24)	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>Grant Determination Letter Received</li> <li>Submission of project profile information to DLUHC Sep 2023</li> <li>Monthly reporting on project delivery progress, financial spend and projections</li> <li>Capital appraisals completed for 3/6 projects</li> <li>S151 sign-off of pre-appraisal spend</li> <li>Monthly monitoring conversations with DLUHC area lead</li> <li>Raised with DLUHC request for year 2 allocation to run to Mar'26 and agreement to capital swaps.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Capital appraisals completed for all projects</li> <li>Feedback from DLUHC around request for year 2 allocation and capital swaps</li> <li>Options for internal management of capital progressed</li> </ul>
02	<p><b>Capital Programme</b></p> <p>If agreement isn't received from DLUHC to Sandwell managing the capital allocation within the capital programme, or that the capital programme does not allow for accountancy treatment to enable the LUP projects, then there will be an inability to deliver the full LUP programme resulting in grant clawback, reputational damage and missed opportunities to deliver the benefits of the programme</p>		Amber		Amber		<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>Initial exploration of options for internal management of capital to enable project funding to carry forward to 25/26 financial year</li> <li>Raised with DLUHC request for year 2 allocation to run to Mar'26 and agreement to capital swaps.</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Discussion with DLUHC around parameters of year 2 grant due to be issued at start of 2024-25 financial year</li> </ul>

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							<ul style="list-style-type: none"> <li>Feedback from DLUHC around request for year 2 allocation and capital swaps</li> </ul>
03	<p><b>Programme and Project Management</b></p> <p>If appropriate arrangements are not made to manage the programme and its related projects, benefits will be delayed or not achieved. The risk includes consideration of matters concerning capability and capacity to manage the programme and the availability of technical support</p> <p><b>Risk Owner</b> LUP Programme SRO LUP Programme Manager</p>		Amber		Amber	Green (Jan 24 – linked to SRO confirmation)	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>Project level SROs and Project Managers in place</li> <li>Programme Manager in place</li> <li>Project Group in place and meeting monthly including technical support reps (finance and procurement)</li> <li>Project progress reporting in place (monthly)</li> <li>Updates to LT quarterly</li> <li>Programme Support Officer in place</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Programme SRO to be confirmed following Snr Mgmt Restructure</li> <li>EqIA, EnIA, Health Impact screening / assessments conducted</li> </ul>
04	<p><b>Governance</b></p> <p>If there are unclear lines of decision making, or insufficient involvement of stakeholders in the LUP governance this will lead to miscommunication, delays, missed opportunities and stakeholder dissatisfaction / disengagement</p> <p><b>Risk Owner</b> LUP Programme Manager</p>		Amber		Amber	Green (Mar 24 -linked to WLUB board first quarter of meetings completed)	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>Cabinet approval of governance arrangements</li> <li>Internal Project Group in Place</li> <li>WLUP Board appointments made</li> <li>1<sup>st</sup> WLUP Board held 18/12</li> <li>WLUP Board forward plan in place</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>WLUP Board Member induction and return of Code of Conduct and Register of Interests</li> </ul>

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05	<p><b>Programme Benefits, Monitoring and Evaluation</b></p> <p>If the programme progress and delivery of benefits (outcomes) and outputs are not robustly monitored and evaluated then there will be a failure to take corrective action or to fully understand the impact of interventions in addressing Levelling Up Challenges</p> <p><b>Risk Owner</b> LUP Programme Manager</p>		Green		Green	Maintain Green	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>• Programme outcome measures drafted and shared with DLUHC</li> <li>• Output measures submitted to DLUHC with project profile</li> <li>• Arrangements for project progress reporting in place</li> <li>• Baseline outputs reported to WLUP Board alongside approvals made 18/12 for community Safety and Greenspaces projects</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>• Outputs reported to WLUP Board</li> <li>• Programme outcome measures to be reviewed in light of PH led work around levelling up framework</li> <li>• Baseline outcome measures captured and data sources agreed</li> <li>• Change control process in place</li> </ul>
06	<p><b>Communication and Engagement:</b></p> <p>If consultation and engagement activity does not engage with key stakeholders, build on existing insight from consultation and engagement activities, or there is a lack of engagement in consultation and engagement activities, this will result in interventions not being acceptable to the community, leading to challenge to proposals, reputational damage, delays in implementation and/or grant clawback.</p> <p>This risk includes consideration of proactive communication to share LUP programme achievements and milestones</p>		Amber		Amber	Green (May 24)	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>• DLUHC conducted engagement with key stakeholders as part of initial deep dive activity</li> <li>• Interventions identified align to evidence base of past consultation and engagement including Residents' Survey, and FP Masterplan</li> <li>• Project Plans include consultation and engagement activity</li> <li>• Consultation and Engagement Activity updated monthly as part of monthly project progress reporting</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>• Plans for consultation and engagement activity discussed with WLUP Board</li> </ul>

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	<p><b>Risk Owner</b> LUP Programme Manager</p>						<ul style="list-style-type: none"> <li>• Outcomes of consultation and engagement reported to WLUP Board include any objections</li> <li>• Internet presence to be created</li> <li>• Creation of programme level communication tools</li> <li>• Scrutiny consideration of LUP Programme during 24/25 Municipal Year to include communication and engagement strategy</li> </ul>
07	<p><b>Elected Member Involvement and Engagement</b> If Elected Members are not sufficiently involved in shaping LUP proposals or represented through LUP governance arrangements there will be missed opportunities to use insight from Elected Members to shape LUP proposals resulting in dissatisfaction, resistance to the programme and scrutiny call-in leading to programme delivery delays</p> <p><b>Risk Owner</b> LUP Programme Manager</p>		Amber		Amber	Green Apr '24	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>• Cabinet involved in deep dive activity</li> <li>• Elected Members included in WLUP Board</li> <li>• W'bury Members' discussions Sep '23 &amp; Dec '23</li> <li>• Standing item at W'bury Members' quarterly meeting</li> <li>• Liaison with scrutiny to programme their input as part of 24/25 Municipal Year</li> </ul> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>• Elected Members to be invited to participate in project consultation activity</li> <li>• Scrutiny consideration of LUP Programme during 24/25 Municipal Year to include communication and engagement strategy</li> </ul>
08	<p><b>Levelling Up Partnership Opportunity</b> It the LUP programme and its governance arrangements focus on the delivery of the selected interventions only, this will result in a missed opportunity to build a lasting partnership and address the long term</p>		Green		Green	Maintain green	<p><b>Current and ongoing controls</b></p> <ul style="list-style-type: none"> <li>• WLUP Board Terms of Reference include a role as providing strategic direction across the LUP</li> <li>• Set of programme outcome measures in place</li> <li>• WLUP Board forward plan in place</li> </ul>

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	levelling up challenges for Wednesbury and shape future plans and priorities for investment.  <b>Risk Owner</b> LUP Programme SRO & LUP Programme Manager						<b>Further Actions</b> <ul style="list-style-type: none"> <li>Confirmation of LUP Programme Outcome measures aligned to PH-led levelling up framework development</li> <li>Exploration to take place into WLUP Board role re shaping other plans relating to Wednesbury (e.g. Town Plan)</li> <li>WLUP Board forward plan to include consideration of social value through LUP spend</li> </ul>
09	<b>Delivery of Friar Park Urban Village Project</b>  Delay / Issues in obtaining licence from EA for Friar Park Urban Village Project and overall timescales for delivery by Mar-25 spend deadline resulting in potential clawback of funding/ liability for the council, reputational damage and significant impact on achieving the outputs and outcomes of the LUP.  <b>Risk Owner</b> Friar Park Urban Village Project SRO		Red		Red	Amber	<b>Current and ongoing controls</b> <ul style="list-style-type: none"> <li>Positive liaison with EA facilitated by DLUHC</li> <li>Procurement of developer underway</li> <li>Options identified for managing slippage beyond Mar-25</li> </ul> <b>Further Actions</b> <ul style="list-style-type: none"> <li>Project capital appraisal to be undertaken including project level risk register review</li> <li>Feedback from DLUHC around request for year 2 allocation and capital swaps</li> <li>Options for internal management of capital progressed</li> </ul>
10	<b>Legal: Subsidy Control</b>  If a subsidy applies and this is not identified / not declared within the timescale then a legal challenge could be made resulting in suspension of project activity/ recovery of finance and reputational damage		Amber		Amber	Green Mar'24	<b>Current and ongoing controls</b> <ul style="list-style-type: none"> <li>Approach agreed with Legal Services</li> <li>Specific subsidy control advice is being commissioned for Friar Park Urban Village project</li> </ul> <b>Further Actions</b>

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	<b>Risk Owner</b> Monitoring Officer and Programme Manager						<ul style="list-style-type: none"> <li>• Screening to be undertaken for all LUP Projects and reviewed by Legal Services</li> <li>• Subsidy Control Assessments undertaken and declarations made, if required</li> <li>• Review Subsidy Control position during programme in the event of scheme changes</li> </ul>