

Risk Matrix

Probability	Almost Certain	Low (4)	Medium (8)	High (12)	High (16)
	Likely	Low (3)	Medium (6)	Medium (9)	High (12)
	Possible	Low (2)	Low (4)	Medium (6)	Medium (8)
	Unlikely	Low (1)	Low (2)	Low (3)	Low (4)
		Low	Medium	High	Extreme
Impact					

ERW Risk Register



June 2017

Central

Inherent Risk

Risk Reference	Nature / Description of Risk	Risk Owner	Probability	Impact	Risk Score	Actions to Mitigate Risk	Transfer detail (if necessary and date)	Additional Detail	LA / Hub	Escalation from LA detail (if necessary and date)	Following Mitigation			Date appear on ERW Register	Date taken off ERW Register
											Probability	Impact	Risk Score		
1	Failure to comply or act on Internal Audit recommendations	Managing Director and Section 151 Officer	Unlikely	Medium	2	Treat and Mitigate Further action between PCC and SCC to manage new risks. Further action to receive quarterly assurance from each LA. Better communication between directors and finance staff in own LA.	N/A	Swansea LA qualifications in Audit Report and potential WG claw back 14-19. Swansea underspend for PDG. Internal audit report notes issue continues to be a risk - sample size small in grants testing.	Swansea	N/A	Unlikely	Low	1	March 2015	
2	Local Government Reorganisation may result in LAs being placed in different Consortia	Lead Leader	Unlikely	Medium	2	Tolerate Would require planning to accept a new partner or agree an exit strategy for existing partner. This is long term and preparation time will be sufficient.	Monitor on-going issues in WG	ERW work is planned and monitored with LGR considerations. Suggest taking off register as risk is lower now	N/A	N/A	Unlikely	Medium	2	March 2015	Mar-16
3	Estyn visits result in LAs being placed in follow up / special measures or requiring further attention	Chief Education Officers	Likely	High	9	Transfer to 3rd Party / LA Robust self evaluation and monitoring at LA level, with regional strategies to support. Pembrokeshire support network established by ERW by mutual consent. Review of evidence work reams of concern.	Place on Pembrokeshire Risk Register	Email sent	Pembrokeshire	N/A	Likely	High	9	March 2015	
4	Contributory LAs do not fulfil their commitment as outlined in the Functions Framework	Directors / MD	Unlikely	Medium	2	Treat and Monitor Clear expectations of services and standards to be delivered, in line with Legal Agreement.			N/A	N/A	Unlikely	Low	1	March 2015	Oct-15
5	Inspection of Region or any single LA finds less than adequate standards, provision or leadership	Managing Director and 6 Directors	Likely	High	9	Treat and Mitigate Alternative support lead ChAd for schools causing concern required in LA, all alliance members the ownership on details and accountability. Effective BP in place. Clear plan for improvement as part of improvement planning, but heightened urgency pre inspection. Taken swift effective	All	Risk for all LAs but specifically Pembrokeshire, where pace of improvement has not been good enough and high proportion of secondaries causing concern.	All	N/A	Unlikely	Medium	2	March 2015	
6	Insufficient capacity of Central Team and Challenge Adviser Team to deliver Business Plan to high standard	Directors and Managing Director	Likely	High	9	Treat and Mitigate Effective planning Central Team capacity to coordinate and facilitate change. position remains same and is critical. Discuss with all Directors 24/07/15. All agreed capacity and restructure of Central Team. Improved planning and training on key workload issues. Challenge adviser capacity agreed to maintain at full Sept 2015	N/A	Review leads to need to reaffirm from all LAs the commitment as set out in legal agreement Joint committee paper on comparing regions is likely to raise issue and further action is likely. Central team capacity discussion with LD 14/10/16	Pembrokeshire; Carmarthenshire, Swansea, Ceredigion	N/A	Likely	High	9	March 2015	

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											Probability	Impact	Risk Score		
7	Governance and Legal footing of ERW found to be ineffective at securing consistent improvement across all LAs by Estyn / WAO / WG / Self Evaluation	Managing Director, Directors and Monitoring Officer	Possible	High	6	Treat and Mitigate	Evidence of effective communication, planning and accountability. Impact on outcomes is clear. Remaining risk is system knowledge by external stakeholders. Action by LA to respond to identified risks in Register	Additional comms briefing scheduled. Review paper on effectiveness of governance underway	N/A	N/A	Possible	Medium	4	March 2015	
8	Support and intervention coupled with local plans and strategies do not lead to improvement in PCC	Lead Chief Exec., Lead Director, Managing Director and PCC Corporate Leadership Team	Likely	High	9	Treat and Mitigate	plans agreed and committed to by Exec in Dec 2015. network underway and chaired by Lead Chief exec. Estyn and WG sighted of plans - work to action necessary	agreement between MD and Director as to support for all key schools causing concern. Remains concern n reviewing support provided for key schools. Duplication remains a concern.	Pembs		likely	High		October 2015	
9	Failure to address or implement key areas of ERW BP	MD / Chairs of Priority Boards	likely	High	3	Treat	Focus on bringing pace to groups through effective minutes/actions.increased central capacity to monitor quality and actions/ focus. Target additional support for Support for Learning Groups.	All alliance members should adhere to agreed code of conduct, BP actions and Legal agreement. Capacity issues in central team , and capacity of LAs to respond to Legal Agreement commitment and SLAs	N/A		likely	Medium	2	March 2015	
10	recruitment and retention of teachers and HTs	MD and directors	high	high	9	Treat	lead national prgramme to support engagement and communication on R7R. Also support and provide CPD for HTs and aspiring leaders	awaiting confirmation of progress							
11	Devolved teachers pay and Conditions - trade union activity undermining ERW Support to Schools, morale of workforce and managing change	Welsh Government	Likely	high	9	Treat, tolerate and mitigate	Engage with national developments fully, monitor carefully any emerging changes.	All LA Registers (all LAs will be affected)			likely	high		9 January 2017	
12	The region's limited capacity risks undermining the ability of ERW to respond at the same pace and impact to the requirements of the New National Model and white paper.	Managing Directors, Directors	Likely	High	9		Still in a position of risk - this needs to be reviewed.								
13	The region has received two letters from WG outlining the concerns that ERW is not using its "Regional Grants" within the spirit of the terms and conditions. Risk that funding may be withdrawn	Managing Director, Directors	Likely	High	9										