

Date written: 7th September 2017

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Date of meeting where the report is being considered: 15th September 2017

Appendices attached: Overview of proposed changes.

Issue: Proposed Changes To The Risk Register

Summary

1. The consortium has a risk management policy to ensure that risk is identified and managed appropriately.
2. Changes in staff had resulted in a lack of clarity regarding policy and process.
3. A review of policy and process has led to increased staff awareness and engagement with the process.
4. This has led to the identification of a number of proposed changes to the risk register.
5. It is the Joint Committee that determines whether or not changes to the risk register should be made.

Recommendation

6. Members of the Joint Committee to approve the changes to the risk register identified by the senior leadership team.

Background

7. Whilst existing systems ensured that risk was identified and recorded on the risk register, there was a need to ensure that every member of SLT fully understood the process and took an active part in it.
8. Following discussion at the most recent meeting of the Joint Committee, the managing director reviewed the risk management policy with the senior leadership team and ensured that all understood the associated process.
9. SLT then worked through the process and identified a number of risks that they felt should be amended on the risk register.
10. Proposed changes were presented to Directors on 7th September. They agreed to the proposed changes with the exception of number 13 and 15. Their suggested changes are recorded on the attachment for members' consideration.
11. These risks are now presented to members for their consideration. Please see attached.

Options

12. Members of the Joint Committee may choose to approve the changes or recommend that the proposed changes be reconsidered.

Implementation issues – cost, timescale etc.

13. No associated cost.

Links to CSC Business Plan and Risks

14. Updating of risk register

Background papers

None

Central South Consortium Proposed Changes to Risk Register July 2017								
Risk No.	Risk	Likelihood	Impact	Actions	Residual Risk Level	Owner	Comment on changes	
1	WG/LAs cuts funding to consortia in grant removing capacity building	H	H	Continue to work with Local Authorities and Welsh government on long term funding proposals to ensure delivery of business planning over 3 years.	H/C	MG	CSC SLT 17th July review recommended risk level upgraded to critical based on the current position and required funding clarity. Changed due to need to match with CSC risk matrix.	
2	Curriculum and qualification change especially at secondary level masks improvement, or creates turbulence or has a negative impact on outcomes and the ability to compare performance with previous years unless delivered effectively	H	H/M	Work with WG and other consortia to implement successful futures effectively and communicate and changes to performance measures that arise. Implement secondary strategy across region to manage risk tightly. Linked to Estyn recommendation and need to demonstrate progress at KS4 particularly.	H	LM	Following discussion and review of risk in CSC SLT 17th July recommendation to reduce impact to medium based on external developments relating to curriculum change as system prepared for 'reset' year. Residual impact remains as high to match with CSC risk matrix.	
3	The debate about LG reform and footprints creates instability and uncertainty in staffing and future planning	H	H/M	Working with Chief Executives and Directors in the region to put forward proposals which work best for children across the region and engaging proactively in the debate about the right structures and models to build on momentum.	H	MG	Owner changed to MG, impact recommended be reduced to medium following CSC SLT 17th July review due to consortium being well established accustomed to working within uncertainty. Impact can be controlled through adopting policy and practice. Residual impact remains as high to match with CSC risk matrix.	
4	Uncertainty about performance measures and assessment affect schools ability to set and monitor targets.	H	H/M	Target setting process refined with a paper produced to outline issues and solutions.	H	MG	Impact recommended reduced to medium following CSC SLT 17th July review. Based on discussions over impact in forthcoming academic year. Residual impact remains as high to match with CSC risk matrix.	
5	Difficulty recruiting to core subject posts in schools.	H/M	H	Posts in place in the region to address. School activity action centred and incentives in place to support recruitment.	H	LM	Recommend amending risk likelihood from high to medium due to action centred school activity and incentives, put in place to support recruitment. Residual impact remains as high to match with CSC risk matrix.	
6	Delay in funding clarify from Welsh Government 17/18 financial year	H	H	Indicative budgets are being implemented in conjunction with business plan delivery. Delay is impacting on decision making and providing budget leads with a lack of clarity going forward.	C	LB/MG	New risk, recommend inclusion within risk register following discussion in CSC SLT 17th July	
7	Under-Development of Governance/Scrutiny means decision making is unclear	M	M	Implement governance review. Continue to work with scrutiny committees to develop best practice and deliver effective high quality engagement/reporting and discussion	L/M	MG	Significant work completed however changes to scrutiny chair means that this work needs to be refreshed. This will be reviewed during the next iteration of the risk register in September 2017. Residual impact amended to medium to match with CSC risk matrix.	
8	Continue to quality assure challenge and strategic advisers' direct work with schools. Provide professional development for senior challenge advisers, challenge advisers and strategic teams and share effective practice in report writing to improve the accuracy of pre-inspection briefing reports and in how reports evaluate teaching and leadership.	M	M/L	Inconsistencies in evaluation of quality of evaluation of teaching and leadership persist with the result that progress against inspection recommendation 2 is not strong enough.	M/L	MG	SLT recommended impact and residual risk level changed to low due to the progress against the recommendation and resulting evidence. Residual impact amended to low to match with CSC risk matrix.	
9	SCC schools do not make sustained improvement- use of the building capacity element of the grant is ineffective; planning and implementation of the exit arrangements for SCC schools are not well thought through	M	L	Transition planning in place for SCC schools summer term 2017, as 3 year funding will cease. accelerated progress leads recruited and trained to develop the capacity to improve underperforming secondary schools and train CAs	L	MG	Recommendation that owner changed to Mike Glavin	
10	Some reluctance from schools and governors to buy into the vision of a self improving system, Not releasing staff to build capacity within the system	M/L	M	Improve direct communication with governors through briefings and training programme. Use strategy group to inform process and priorities, highlight good examples and the evidence base, use CAs to encourage/enable. As vision for partnership working between schools develops into range of options involve governors in this.	M/L	MG	SLT recommend risk is downgraded to Low. This is due to the development of the culture of school to school working across the region, which has evolved with clear evidence available to support. Residual impact amended to low to match with CSC risk matrix.	
11	The consortium doesn't offer good value for money, quality, challenge and support due to poor processes/quality of delivery	M/L	H/M	Self evaluation process generating judgements regarding impact. VFM reporting has been developed with the other 3 consortia. The consortium has an improved understanding of the impact of its work.	L/M	LB/MG	Self evaluation process generating judgements regarding impact, VFM reporting has been developed with the other 3 consortia. The consortium has an improved understanding of the impact of its work. As a result, likelihood and impact levels reduced to generate a residual risk level of medium.	
12	There is a high turnover of staff or the consortium isn't able to recruit high calibre people because of budget/perception of risk	L	M	Keep senior structure and senior salaries under review in line with review of business plan. Give attention to how the status of senior roles can be innovative and impactful and ensure professional development to promote continuity	M/L	MG	Residual impact amended to low to match with CSC risk matrix.	
13	Estyn monitoring of LAs and regional inspection programme identifies areas for improvement creating a loss of confidence	L	M	Ensure evaluation and planning processes address areas for improvement robustly and provide evidence of progress and impact	M/L	MG	We believe strong progress has been made and risk tool established with approach outlined. Residual impact amended to low to match with CSC risk matrix.	
	Directors suggested that as the new inspection arrangements for local authorities are yet to be implemented, that likelihood or risk should be medium (M) with impact also medium leading to a residual risk level of medium	M	M		M			
14	We move too quickly away from the challenge adviser model, towards a school led model for all schools exposing some schools to risk	L	M	Develop careful plan to move towards self-improving schools model which has risk assessment at its heart. Ensure that the responsibilities relating to accountability and meeting the requirements of external regulation are a part of the decision making	M/L	MG	Challenge adviser model well established within the region, residual impact amended to low to match with CSC risk matrix.	
15	The new information management systems phase 1 development not delivered on schedule and/ or is not implemented effectively	L	L	Ensure project plan is established with a governance board assigned to approve and monitor progress and regular progress reports to SLT. Plan and implement support sessions with staff to ensure effective implementation.	L	GV/LB	Recommend removing risk from next risk register as Cronfa system is now fully embedded within CSC processes and practices.	
	Directors suggested that as Phase 1 has been completed that the risk should be reworded as below; Cronfa is not sufficiently developed to become an effective school improvement tool for schools, consortium and local authorities	L	L		L			