

Central South Consortium Corporate Risk Register

Risk No.	Description of Risk	Risk Cause	Risk Impact on Delivering the Consortium's Business Plan Objectives.	Risk Impact on the Organisation (View Sources of Strategic Risks for examples)	Current / Existing Controls to Manage the Risk	Assessment of Risk for 2022/23			Response to Risk	Action(s) Required to Manage the Risk (Mitigate/Reduce/Increase Risk to an Acceptable Level)	Start Date	End Date	Risk Owner
						Impact (1 to 5) Trivial - Major	Likelihood (1 to 5) Highly Unlikely - Almost	Risk Score (Impact x Likelihood)					
1	Lack of clarity around short/medium term funding from WG	Delay in receiving confirmation of funding from WG & Local Authority Contributions	Inability to fund planned projects and deliver objectives to meet agreed outcomes.	POLITICAL • Failing to set a balanced budget. • Failing to deliver the Consortium's priorities as set out in the business plan	Continue to work with Welsh Government on long term funding proposals to ensure delivery of business plan over 3 years. Ongoing discussions with WG on the impact of removing EIS from consortia and routing via LAs in 2024/25. Currently awaiting revised indicative funding figures from WG due to proposed changes in the methodology of Regional Consortia funding, early indications are a significant reduction in retained funding. Joint Committee agreed to indicative three-year funding model for CSC in January 2020 with respect of LA contributions however, this was revised in the MTFP report December 23 due to financial austerity cuts in LAs with proposed further cuts to core contributions from 2023/24 to 2025/26 Further discussions on going with Directors and Chief Executives to inform proposals for MTFP to be considered by Members in December 2023. Modelling of additional cuts and the impact of any further cuts have been shared with both Directors and Chief Executives	4	4	16	Tolerate	Awaiting confirmation from WG on the proposed changes to regional grant funding from 2024/25-2026/27 which will have an impactful effect on the affordability of CSC's business plan in the next financial year. Early conversations are being held with service leads to manage expectations on the future of the CSWC model and other CSC funded activities identified in the operational plan.	1st April 2022	31st March 2024	Deputy Managing Director
2	Implementation of Curriculum for Wales: Schools' capacity, knowledge and experience, and confidence to plan a curriculum that ensures progression in knowledge and skills across the 3-16 continuum.	Extensive reform across all areas of education. Impact of COVID in recent years for ongoing pressures in schools to engage in professional learning. Staffing capacity in schools. Expectation of all teachers as curriculum designers. ASOS and lack of engagement with surveys affecting CSC's ability to know the development and quality of the curriculum in some schools. Lack of clarity in the system of 'standards'. Some Secondary schools lack of commitment to development of KS3 curriculum to meet the CFW requirements due to qualifications reform and concerns on standards.	Inability to deliver aspects within the Business Plan Priority 1 as well as obligations within grant terms and conditions	POLITICAL Failing to deliver: • UK, Welsh Government and/or Local Government Policy. • The Consortium's priorities as set out in the business plan • Projects on time, to cost and to the right quality. • The public perception of the organisation's efficiency and effectiveness.	<ul style="list-style-type: none"> Regional professional learning opportunities informed by intelligence to meet the needs of schools and the system in curriculum design, including: <ul style="list-style-type: none"> Schools' improvement priorities Bespoke support analysis - requests and evaluations Regional surveys and intelligence, e.g. CFW survey, SIFLS WG intelligence/ grant T&Cs National network conversations Regional professional learning opportunities further developed to focus on curriculum design and school sharing their practice, e.g. Curriculum Design Programme, CSC CFW Conference. Restructure of identified areas of the CSC curriculum and professional learning team to ensure expertise and capacity in all areas of the curriculum. <ul style="list-style-type: none"> Refinement of the Central South Wales Challenge (CSWC) including: <ul style="list-style-type: none"> Collaboration funding for all schools to enable collaborative working within and beyond their school. Lead Practitioners to increase capacity and expertise to support PL and bespoke support for all schools in the region. 	3	3	9	Treat	<ul style="list-style-type: none"> Further recruitment in identified areas of the CSC school improvement team and CSWC lead practitioners to ensure expertise and capacity to meet the needs of schools and the system in curriculum design. From Sept 23, implementation of refined system of bespoke support to further meet the needs of school and clusters in curriculum design development and delivery. Revision and relaunch of national CFW PL programme, including sharing of practice from schools. Introduction of regular drop-in sessions and/or network meetings related to CFW and priority areas, e.g. leaders of learning and curriculum, RSE, foundation learning, etc. Further refinements to communications on CSC PL and support opportunities to ensure all schools know available CSC support, e.g. video for cluster support offer, special bulletins, networking booklet. Further strengthen partnership working with and reporting to LAs on CFW. Production of CSC PL compendium hard copies and online to ensure the PL opportunities are better known and understood by staff and schools. Ongoing discussion with WG and LAs on 'standards'. CSC continue to work with WG regarding communication their expectations of CS Curriculum. CSC staff. 	1st April 2023	31st March 2024	Assistant Director Curriculum & Professional Learning
3	Implementation of Curriculum for Wales: Engagement of all schools within a cluster in curriculum design to ensure progression across the 3-16 continuum	Reluctance of small amount of schools to engage with their cluster. Staffing capacity in schools. Impact of COVID School pressures in recent years for schools to engage with their cluster. Qualifications reform. ASOS and lack of engagement with surveys and evaluations, affecting CSC's ability to be aware of cluster working in some schools.	Inability to deliver aspects within the Business Plan Priority 1	POLITICAL Failing to deliver: • UK, Welsh Government and/or Local Government Policy. • The Consortium's priorities as set out in the business plan • Projects on time, to cost and to the right quality. • The public perception of the organisation's efficiency and effectiveness.	<ul style="list-style-type: none"> Regional and national professional learning opportunities further developed to focus on assessment and school sharing their practice, e.g. Curriculum Design Programme, CSC CFW Conference. CSC staff PL programme for all school improvement staff develops knowledge, skills and confidence in understanding and supporting assessment. CSC staff to continue partnership working with WG, regional consortia, local authorities and schools on assessment PL, guidance and resources. CSC staff and schools' participation in CAMAU project. Development of further PL opportunities related to assessment, including school's sharing their emerging practice. 	3	2	6	Treat	<ul style="list-style-type: none"> From Sept 23, implementation of refined system of bespoke support to further meet the needs of schools and clusters. Further refinements to communications on CSC PL and support opportunities to support cluster working, e.g. video for cluster support offer. Refinements of methods of evaluation for cluster working. 	1st Sept 2023	31st March 2024	Assistant Director Curriculum & Professional Learning
4	Implementation of Curriculum for Wales: Schools' understanding of assessment within Curriculum for Wales, and their capacity, knowledge and experience and confidence to plan for assessment	Extensive reform across all areas of education, including Curriculum for Wales and assessment and accountability arrangements. Impact of COVID School pressures in recent years for schools to engage in professional learning. Staffing capacity in schools. Secondary schools understanding of and capacity to fulfil revised reporting arrangements. Uncertainty around some national policy and processes - revised standardization of OPAs, comparative judgement pilot.	Inability to deliver aspects within the Business Plan Priority 1 and 4 as well as obligations within grant terms and conditions	POLITICAL Failing to deliver: • UK, Welsh Government and/or Local Government Policy. • The Consortium's priorities as set out in the business plan • Projects on time, to cost and to the right quality. • The public perception of the organisation's efficiency and effectiveness.	<ul style="list-style-type: none"> Regional and national professional learning opportunities further developed to focus on assessment and school sharing their practice, e.g. Curriculum Design Programme, CSC CFW Conference. CSC staff PL programme for all school improvement staff develops knowledge, skills and confidence in understanding and supporting assessment. CSC staff to continue partnership working with WG, regional consortia, local authorities and schools on assessment PL, guidance and resources. CSC staff and schools' participation in CAMAU project. Development of further PL opportunities related to assessment, including school's sharing their emerging practice. 	3	3	9	Treat	<ul style="list-style-type: none"> CSC staff and schools' participation in CAMAU project. Development of further PL opportunities related to assessment. Revision and relaunch of national CFW PL programme, including modules for senior and middle leaders on assessment and progression. Introduction of regular drop-in sessions and/or network meetings related to CFW, including assessment. Further strengthen partnership working with LAs to ensure system understanding of assessment in CFW. Further discussions with WG related to quality/content of some published resources, e.g. CAMAU. Further sharing of school's emerging practice in regional PL events and resources. 	1st April 2023	31st March 2024	Assistant Director Curriculum & Professional Learning
5	Progress and attainment of eFSM pupils compared to non eFSM pupils particularly more able pupils. Availability and reliability of data. Impact of covid on eFSM pupils including: Literacy Numeracy Well-being Attendance Exclusions	Failing to meet the needs of disadvantaged learners in the region	This will not effect what CSC are doing in terms of objective 3 and its objectives.	SOCIAL	Professional learning linked to teaching and learning and improving outcomes for all learners. Writing revolution Reading reconsidered Rady project Improvement partner support and PDG summary (OECD- DAC) Attendance/ Exclusion leads LA partnership working Price of pupil poverty guides PDG guidance for schools and improvement partners is available PL opportunities available for all schools Bespoke support for schools and clusters in relation to vulnerable learners - specifically addressing the impact of poverty	4	4	16	Treat	An area of the CSC BP is dedicated to addressing this risk in partnership with LAs	April 2021	September 2023	Assistant Director Curriculum & Professional Learning
6	Difficulty recruiting to posts within CSC	Capacity within the system and uncertainty around the future of regional working	Inability to deliver aspects within the Business Plan as well as obligations within the legal agreement & grant terms and conditions	REPUTATIONAL & PARTNERSHIP	Succession planning within CSC Examined alternative provision (finance support from host authority) External translation increased to support reduced internal capacity	4	4	16	Treat	Review of advertising strategy Apprenticeship for Admin Further engagement with democratic services SLA in place with RCT to cover finance vacancy in the short term Investigate Graduate recruitment placements within RCT programmes	March 2022	September 2023 - March 2024	Managing Director

	SOURCES OF STRATEGIC RISKS
POLITICAL	<p>THOSE ASSOCIATED WITH A FAILURE TO DELIVER ON WELSH GOVERNMENT POLICY</p> <ul style="list-style-type: none"> • Failing to set a balanced budget. • Failing to deliver: <ul style="list-style-type: none"> • UK, Welsh Government and/or Local Government Policy. • The Consortium's priorities as set out in the business plan • Projects on time, to cost and to the right quality. • Failing to properly communicate with the community, stakeholders, customers and employees the appropriate and timely information relating to projects. • Failing to properly engage and consult with the community, stakeholders, customers and employees. • Failing to protect and maintain the organisation's reputation. • The public perception of the organisation's efficiency and effectiveness.
ECONOMIC	<p>THOSE AFFECTING THE ABILITY OF THE CONSORTIUM TO MEET ITS FINANCIAL COMMITMENTS</p> <ul style="list-style-type: none"> • General/regional economic problems • Missed business and service opportunities • Failure of major projects • Failure to prioritise, allocate appropriate budgets and monitor • Inadequate control over expenditure or income • Financial planning and being able to make adequate savings in order to set a balanced budget, meet financial challenges and manage increasing pressures on public spending. • The organisation's ability to meet its financial commitments (financial sustainability). • The risks relating to project overspends and sufficient finance to deliver proposed projects, internal budgetary pressures, adequate financial controls, the failure to purchase adequate insurance cover/inability to obtain insurance cover, external macro level economic changes, • Competitiveness of the service (in terms of cost and/or quality) and/or its ability to deliver value for money.
SOCIAL	<p>THOSE RELATING TO THE EFFECTS OF CHANGES IN DEMOGRAPHIC, LA AND SCHOOL SOCIO-ECONOMIC TRENDS ON THE CONSORTIUM'S ABILITY TO DELIVER ITS PRIORITIES</p> <ul style="list-style-type: none"> • Failing to meet the needs of disadvantaged learners in our region • Failures in partnership working with our stakeholders • Problems in supporting learning • Impact of demographic change • Effects of changes in demographic, residential and/or socio-economic trends. • Failing to meet the current and changing needs and expectations of stakeholders • Capacity, recruitment and retention, health, safety and welfare of people, sickness rates and personal development.
TECHNOLOGICAL	<p>THOSE ASSOCIATED WITH THE CAPACITY OF THE CONSORTIUM TO DEAL WITH THE PACE / SCALE OF TECHNOLOGICAL CHANGE, OR IT'S ABILITY TO USE TECHNOLOGY TO ADDRESS CHANGING DEMANDS</p> <ul style="list-style-type: none"> • Capacity of the organisation to deal with the pace/scale of technological change and/or its ability to use technology to address changing demands. • Breach of confidentiality • Failure in communications • Insufficient disaster recovery for key data/systems • Failure and/or unavailability of hardware/software. • Failing to ensure that Data Privacy Impact Assessments are completed. • Failure of technology related project • Breach of security of networks and data • Failure to comply with IT Security Policy

LEGISLATIVE	<p>THOSE ASSOCIATED WITH CURRENT OR POTENTIAL CHANGES IN NATIONAL OR EUROPEAN LAW</p> <ul style="list-style-type: none"> • Inadequate response to new legislation (including failure to consult) • Not meeting statutory duties/deadlines • Failure to implement legislative change • Misinterpretation of legislation • Breach of confidentiality / Data Protection Act • Corporate governance failure(s).
ENVIRONMENTAL	<p>ENVIRONMENTAL RISKS THAT COULD IMPACT UPON THE WELLBEING OF OUR COMMUNITIES AND FUTURE GENERATIONS</p> <ul style="list-style-type: none"> • Fire, security, accident prevention, health and safety, business continuity and disaster recovery e.g. hazards/risks associated with buildings, vehicles, plant and equipment, etc. • Terrorism/disasters/emergencies/incidents. • Climate change. • Environmental consequences of progressing or not progressing a project e.g. in terms of energy efficiency, pollution, recycling, landfill requirements, emissions, etc. • Pollution, noise and/or energy efficiency of ongoing service operation.
COMPETITIVE	<p>THOSE AFFECTING THE COMPETITIVENESS OF THE SERVICE (IN TERMS OF COST OR QUALITY) AND / OR ITS ABILITY TO DELIVER BEST VALUE</p> <ul style="list-style-type: none"> • Takeover of services by government • Failure of bids for government funds • Failure to show value for money • Accusations of anti-competitive practices
STAKEHOLDER	<p>THOSE ASSOCIATED WITH THE FAILURE TO MEET THE CURRENT AND CHANGING NEEDS AND EXPECTATIONS OF CUSTOMERS AND CITIZENS</p> <ul style="list-style-type: none"> • Lack of appropriate consultation • Bad public and media relations
REPUTATION	<p>THOSE RELATING TO PUBLIC CONFIDENCE</p> <ul style="list-style-type: none"> • Adverse media attention • Estyn publications and inspection reports • Policies misunderstood or misinterpreted • Negative implications identified by other which have not been previously considered • Failure to keep partners on side • Breach of confidentiality • Lack of business continuity plan
PARTNERSHIP	<p>THOSE ASSOCIATED WITH WORKING IN PARTNERSHIP WITH ANOTHER ORGANISATION</p> <ul style="list-style-type: none"> • Noncompliance with procurement policies & financial regulations • Poor contract specification, deficiencies • Failure of partner to deliver Inadequate contract terms & conditions • Bad management of partnership working • Lack of contingency planning in the event of partnerships dissolving

	SOURCES OF OPERATIONAL RISKS
PROFESSIONAL	<p>ASSOCIATED WITH THE PARTICULAR NATURE OF SCHOOL IMPROVEMENT</p> <ul style="list-style-type: none"> • Inefficient/ineffective management processes • Lack of business continuity plan • Inability to implement change • Non achievement of Best Value • Lack of control over changes to service provision • Bad management of partnership working • Inadequate consultation with service users • Failure to manage and retain service contracts • Failure to communicate effectively with employees • Poor management of externally funded projects
FINANCIAL	<p>ASSOCIATED WITH FINANCIAL PLANNING AND CONTROL AND THE ADEQUACY OF INSURANCE ARRANGEMENTS</p> <ul style="list-style-type: none"> • Failure of major projects • Failure to prioritise, allocate appropriate budgets and monitor • Ineffective/inefficient processing of documents • Missed opportunities for income/grants • Inadequate control over expenditure • Inadequate insurance cover • Inadequate control over income
LEGAL	<p>RELATED TO POSSIBLE BREACHES OF LEGISLATION</p> <ul style="list-style-type: none"> • Not meeting statutory duties/deadlines • Failure to implement legislative change • Failure to comply with European directives on procurement of works, supplies and services • Misinterpretation of legislation • Breach of confidentiality/Data Protection Act
PHYSICAL	<p>RELATED TO FIRE, SECURITY, ACCIDENT PREVENTION AND HEALTH AND SAFETY</p> <ul style="list-style-type: none"> • Not meeting statutory duties/deadlines • Failure to implement legislative change • Failure to comply with European Directives on procurement of works, supplies & services • Violence or aggression • Loss of physical assets • Non compliance with Health & Safety legislation • Injury at work
CONTRACTUAL	<p>ASSOCIATED WITH THE FAILURE OF CONTRACTORS TO DELIVER SERVICES OR PRODUCTS TO THE AGREED COST AND SPECIFICATION</p> <ul style="list-style-type: none"> • Non compliance with procurement policies • Over reliance on key contractors/suppliers • Failure of outsourced provider to deliver • Failure to monitor contractor performance • Poor selection of contractor • Poor contract specification, deficiencies • Inadequate contract terms & conditions • Quality issues

<p style="text-align: center;">TECHNOLOGICAL</p>	<p>RELATING TO RELIANCE ON OPERATIONAL EQUIPMENT (E.G. IT SYSTEMS OR EQUIPMENT) OR MACHINERY</p> <ul style="list-style-type: none"> • Failure of big technology related project • Crash of IT systems affecting service delivery • Lack of disaster recovery plans • Breach of security of networks and data • Failure to comply with IT Security Policy • Bad management of intranet / website
<p style="text-align: center;">HUMAN RESOURCES</p>	<p>ASSOCIATED WITH STAFFING ISSUES (E.G. RECRUITMENT / RETENTION, SICKNESS MANAGEMENT, CHANGE MANAGEMENT. STRESS RELATED ANALYSIS).</p> <ul style="list-style-type: none"> • Capacity issues • Over reliance on key officers • Failure to recruit/retain qualified staff • Lack of employee motivation/efficiency • Failure to comply with employment law • Poor recruitment /selection processes • Lack of training • Lack of succession planning

MEASURES OF IMPACT		
SCORE	RISK	EXAMPLE DETAIL DESCRIPTION
5	MAJOR	Failure to provide an adequate mandatory service, resulting in the Consortium becoming a failing regional school improvement service, leading to potential intervention; or resulting in a death
4	HIGH	<ul style="list-style-type: none"> • Significant negative impact on the well-being of our communities and future generations • Failure to provide an adequate mandatory service/poor mandatory service performance • Permanent injuries; long term sickness for a number of individuals • Failure to address the consortium's Corporate Risks • Emergency service disruption 1+ day, or mandatory service disruption 5+ days • Significant adverse national publicity • Litigation almost certain and difficult to defend • Financial loss/overspend in excess of £250,000 • Breaches of law punishable by imprisonment • Long term major public health/environmental incident (1 year +)
3	MODERATE	<ul style="list-style-type: none"> • Moderate negative impact on the well-being of our communities and future generations • Significant reduction in mandatory service/Unsatisfactory mandatory service performance • Failure to provide an adequate discretionary service/poor discretionary service performance • Permanent injuries; long term sickness for an individual • Mandatory service disruption 3-5 days, or discretionary service disruption 5+ days • Adverse national publicity or significant adverse local publicity • Litigation to be expected • Financial loss/overspend between £50,000 and £250,000 • Breaches of law punishable by fines only • Medium term major public health/environmental incident (months up to 1 year)
	MINOR	<ul style="list-style-type: none"> • Minor negative impact on the well-being of our communities and future generations • Marginal reduction in mandatory service/satisfactory mandatory service performance • Significant reduction in discretionary service/unsatisfactory discretionary service performance • Medical treatment required – long term injury • Mandatory service disruption 1-2 days, or discretionary service disruption 3-5 days • Minor adverse local publicity • High potential for complaint, litigation possible • Financial loss/overspend under £50,000 • Breaches of regulations/standards • Short term public health/environmental incident (weeks)
1	TRIVIAL	<ul style="list-style-type: none"> • No impact on the well-being of our communities and future generations • No reduction in mandatory service/good mandatory service performance • Marginal reduction in discretionary service/satisfactory discretionary service performance • No injuries beyond "first aid" level • No significant disruption to mandatory service, or discretionary service disruption 1-2 days • Unlikely to cause any adverse publicity • Unlikely to cause complaint/litigation • Breaches of local procedures/standards • Environmental incident with no lasting detrimental effect e.g. noise, fumes

MEASURES OF LIKELIHOOD		
Likelihood Score	Description	INDICATORS
5	ALMOST CERTAIN	99% likely to happen or has happened on a regular basis over the last 12 months
4	VERY LIKELY	75% likely to happen or has happened at least once or twice in the last 12 months
3	LIKELY	50% likely to happen or has happened once or twice in the last 24 months
2	UNLIKELY	20% likely to happen or has happened once or twice in the last 5 years
1	HIGHLY UNLIKELY	5% likely to happen or has happened within the last 5 years

RISK MATRIX							
IMPACT	MAJOR	5	5	10	15	20	25
	HIGH	4	4	8	12	16	20
	MODERATE	3	3	6	9	12	15
	MINOR	2	2	4	6	8	10
	TRIVIAL	1	1	2	3	4	5
			1	2	3	4	5
			HIGHLY UNLIKELY	UNLIKELY	LIKELY	VERY LIKELY	ALMOST CERTAIN
			LIKELIHOOD				

Colour Coding	Risk	Risk Score
	High	15-25
	Medium	4 - 12
	Low	1 - 3

	RISK RESPONSE GUIDANCE
TOLERATE	<p>The Consortium intends to do nothing different to manage the risk identified above and beyond the normal management routines that are in place. Risks should only be accepted where Officers believe the risk is tolerable.</p> <p>The exposure may be acceptable without any further action being taken. Even if it is not acceptable, the ability to do anything about some risks may be limited, or the cost of taking any action may be disproportionate to the potential benefit gained.</p>
TREAT / MANAGE THE RISK	<p>The risk is identified as unacceptable. Controls need to be put in place that effectively manages the risk and reduces the risk to an acceptable level (or in some circumstances reduce controls to bring the risk exposure to an acceptable level).</p> <p>As part of this thought process consideration must be given as to what action would need to be taken to reduce the Impact and/or Likelihood of an event occurring bearing in mind the costs and practicalities of those actions. The (5 x 5) Risk Matrix will help to determine your views.</p> <p>If the decision made is to Treat the risk then the options available to you include the following:</p> <p>Treat/Manage the Risk - As stated above this can include increasing the controls or reducing controls as considered appropriate bearing in mind the nature of the risk and what is cost effective and feasible.</p> <p>Controls can be:</p> <ul style="list-style-type: none"> o Preventative, such as physically restricting access to hazardous chemicals, insisting on two signatories, ensuring segregation of duties exist within a system, implementing authorisation limits, or restricting levels of access on IT systems. These controls will help to stop the risk from occurring in the first place. o Detective, such as quality checks, alarms, exception reports, accident reports, financial reports such as budget monitoring reports, and reviewing insurance claims. These will show when something has gone wrong - perhaps a trigger event that can then alert you that the risk event is becoming more likely to occur. o Directive, such as procedure manuals, guidance notes, instructions and training. These advise on how to carry out processes safely. o Alternatively, you can Modify the risk as opposed to implementing further controls where you change the activity or the way in which it is carried out because adding control mechanisms would not help to reduce the Impact and/or Likelihood
TRANSFER	<p>The traditional approach is to transfer risks to an insurer e.g. legal liability, property, motor vehicle, etc. There are other examples such as service delivery being transferred to the private sector or delivered jointly with partners. Where this approach is being contemplated the issue of risk needs to be carefully considered, as it is often the case that some risk can be transferred whilst major risks such as responsibility for delivery of the service and the reputational risk remains with the Consortium.</p>
TERMINATE	<p>The risk is so serious that adding controls or modifications do not reduce the risk to an acceptable level. An option at this point could be to withdraw from the activity.</p> <p>However, it is important to highlight that the option of avoiding an activity could be severely limited in the public sector, compared to the private sector, due to the obligation to provide certain services.</p>