

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



October 2015 (Final)

School Improvement - Swansea



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	Estyn visits result in high proportion of schools being placed in follow up / special measures	Chief Education Officers and Heads of Hub	possible	High	6	Treat and Transfer Analysis of data and effective support from Challenge Advisers; programme of school improvement ; building capacity of schools to support others. Work programme of Quality Manager and review of schools causing concern.		Training and professional development opportunities provided and clear guidance and systems. National accuracy of TA.	Swansea	Estyn have named Swansea as highest outside of Cardiff with 4/17 in statutory category. By October 2016 there are no longer any schools in a statutory category. There is an emerging increase of schools in Estyn monitoring follow-up category at October 2016.	Possible	Medium	4	March 2015	
2	School categorisation results in increasing numbers of amber / red schools	Managing Director	Unlikely	Medium	2	Treat Analysis of data and effective support from Challenge Advisers; programme of school improvement. Common consistent training for Advisers.		More Challenge Advisers required. Red Schools occur beyond categorisation criteria. Sufficient CAs in place from September 2016. Amber plans in place. Pre-inspection support required in amber schools facing inspection.			Unlikely	Medium	2	March 2015	
3	National Model for Regional Working non compliance by external party	Managing Director and Executive Board	Unlikely	Medium	2	Treat Engage proactively with WG and communicate messages on successes		Asking CAs to work outside regional strategy. Duplication of effort still apparent. By October 2016 there is greater understanding of the CA role. However, evidence suggests that headteachers are now less sceptical of regional			Possible	Medium	4	March 2015	
4	Challenge advisers unable to carry out monitoring visits because trade unions are aware that guidance for visits is not followed	Lead HR Officer	Likely	Medium	6	Treat where possible, tolerate Communication arrangements strengthened and inform TUs of work. Changing strategies led by new HR Lead.		Wider conceptions or challenge Adviser work apparent. More resistance in Swansea than NPT. Problems seem to have arisen from central talks. Individual conversations have been helpful to aid clarity. Central talks reported as much improved.			Likely	Medium	6	March 2015	
5	Inconsistency in support to schools through variability in work of individual challenge advisers	Head of Quality and Standards & Head of Hub	Likely	High	9	Treat and Transfer New arrangements to recruit HTs to support additional capacity. Clear agreed arrangements set out with consistent entitlement to schools. Revised ladder of support 2015-16. Comprehensive Training Programme. Performance management harmonisation.		QA process is strong and should be preserved at different levels. Individual coaching of staff proves to be beneficial. New recruits require better induction than currently on offer. Challenge adviser handbook and stop the clock activities support improved quality. Part-time challenge advisers need to adhere to guidance. Too much time taken to write reports.	Behaviours and communication needs to be reiterated and risks noted. And high risk of not working within agreed boundaries. New CAs require good induction. Evidence in October 2016 suggests that there are schools receiving less support than required and that green schools do not always influence their sector sufficiently.	Likely	Medium	6	March 2015		
6	Failure to address key areas of ERW business plan	Chairs of Strategic Groups	Unlikely	High	3	Treat Action - focus on bringing pace to groups. Target additional support for Support for Learning Groups. LA tend to focus on own business plans. Filter effect down can result in individuals working outside of plan.		Operational plans in Swansea now refer to the ERW business plan. There needs to be a note of instruction from Swansea to identify the particular key priorities for ERW to deliver on. The new annexe to business plan 2017-2020 will feature Swansea's priorities. HOH has shared with lead CAs.			Possible	Medium	4	March 2015	

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7	Local School Improvement risks not fully mitigated at LA level as a result of interim arrangements in the secondary sector.	Heads of Hub	Possible	High	6	Transfer	Hub level risk assessment reviewed at Hub QA Meeting. Communication with schools now less of a risk. A better understanding of consortia functions has been achieved but will need to be maintained by the incoming CEO.				Slow progress schools need finer focus. The new LA action plans for red and amber schools should be considered at Hub QA and the consideration of warning letters or statutory notices needs specific attention during Hub QA.	Possible	Medium	4	March 2015	
8	Insufficient monitoring of schools causing concern action plans or amber support school action plans	Head of Hub and Chief Education Officers	Possible	Medium	4	Treat and Transfer	Standing item on Hub QA. Highly coordinated with best practice shared. Best practice needs to be shared regionally. Monitoring questions now feature in action plans for amber schools but this needs to be consistent. Intended outcomes in amber plans must be measurable.				This is a key priority for KS4 in Swansea as progress has stalled. Interschool practice is now shared in order to maximise fsm learner potential.	Unlikely	Medium	2	May 2015	
9	Poor quality report to Estyn, with limited QA	Directors	Likely	High	9	Treat	Chief Education Officer provides rigorous QA of grammar, punctuation as well as clear writing. Head of Quality and Standards remit. Reports are now more consistent and of a good quality. Best practice bank of reports in place.					Possible	High	6	July 2015	
10	necessarily undertaking activity outside	Possible	Medium	4	Treat	All challenge advisers have a MSCW in place to ensure that core business is prioritised.					Local discussion to ensure appropriate capacity. Challenge advisers and subject specialists generally understand core business so LA specific work is not undertaken at the detriment of this.	Unlikely	Medium	2	July 2015	
11	Failure to raise standards, specifically for	Directors	Likely	Medium	6	Treat	Targeted interventions and sharing most effective practice. Commissioned research.					Possible	Medium	4	July 2015	
12	Heightened risk of budgetary constraints c	Directors	Likely	Extreme	12	Treat	Ringfenced school improvement levels preserved for FY 2017-2018 and split into primary, secondary and curriculum units to ensure best value for money and closer budget monitoring.								October 2015	