Risk Register

April 2023 - March 2024

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1.   INTRODUCTION

Partneriaeth's Risk Register contains the strategic business risks (threats) to the achievement of Partneriaeth's Vision and Aims as outlined within the Partneriaeth business plan.

1.1.   Partneriaeth's Vision

Mission Statement
Partnership working to achieve excellence for all.

Our Aims
1) We lead schools and settings to design, develop and deliver a curriculum with equity and excellence at its core.
2) We support schools and settings to become ambitious, self-improving learning organisations.
3) We provide professional learning and opportunities for collaboration in order to develop strong and supportive partnerships.

1.2.   Partneriaeth's Priorities:

Priority 1 – Support all schools and settings to design and deliver their own high quality equitable curriculum.
Priority 2 – Embed principles and processes which underpin educational equity in all schools and settings.
Priority 3 – Support schools and settings to develop a range of research and enquiry skills as a key part of their professional learning.
Priority 4 – Provide career pathways for leaders, practitioners and support staff at all levels of the system.

Partneriaeth's risks (threats) are scored against the risk (threats) evaluation matrix shown on page 5, using the impact and probability criteria shown on pages 6 and 7.

Partneriaeth's Risk Register is a live document which is subject to regular review by Partneriaeth's senior leadership team. New risks identified or escalated are included in the updated Partneriaeth Risk Register and is then formally reviewed on a quarterly basis by the Partneriaeth Joint Committee.

Partneriaeth risks are scored at inherent level (before any control measures are applied) and at residual level (after control measures have been applied).

Although control measures are applied, they may not be sufficient to reduce the residual score if external factors (outside of officer control) still have a high influence on the probability of the risk occurring or the impact should it occur. The heat map on page 8 shows the highest residual risks on Partneriaeth's Risk Register.

Each risk has its own table showing the inherent and residual risk score along with the tolerance for the risk.

To assist with the monitoring of changes to Partneriaeth's Risk Register between reviews, the risk score table for each risk includes a movement column which shows if the residual risk has increased⇧, decreased⇩, or stayed the same⇔.Where there is no arrow icon, this process will commence from the report presented to the next Joint Committee.

The Corporate Risk Register for April 2023 - March 2024 contains 10 business risks (threats), each of which is indexed on page 9 and 10, and shown in detail on pages 13 to 23.

Risks are categorised under one of the four following groupings

1. Central Risks
2. Financial Risks
3. Governance Risks

Every risk is explained in seven steps:
- Event
- Description of Risk
- Background
- Objectives at Risk
- Risk Control Measures
- Risk Owner
- Risk Scores

1.3.   Risk Evaluation Matrix

Threats					
	Very High	Low (4)	Medium (8)	High (12)	High (16)
Probability	**High**	Low (3)	Medium (6)	Medium (9)	High (12)
	Medium	Low (2)	Low (4)	Medium (6)	Medium (8)
	Low	Low (1)	Low (2)	Low (3)	Low (4)
		Low	**Medium**	**High**	**Very High**
		Impact			

1.4.   Impact assessment criteria

(Review the risk against the following criteria, chose the one that best describes the impact and rate accordingly from 1 – 4)

Rating	Description	Financial Capital / Revenue	Political	Service / Operations
4	**Very High**	>40% to <100% budget	• Political intervention required.	• Catastrophic fall in service quality and statutory service standards are not met. • Long term interruption to service provision. • Report from regulator or inspectorate requiring major project for corrective action.
3	**High**	>15% to <40% budget	• Major adverse political reaction.	• Major impact to service quality, statutory service standards are not met, long term disruption to operations, multiple partnerships affected. • Report of breach to regulator with immediate correction to be implemented.
2	**Medium**	>5 % to < 15 % budget	• Significant adverse regional political reaction.	• Significant fall in service quality, major partnership relationships strained, serious disruption to statutory service standards. • Reportable incident to regulator(s).
1	**Low**	< 5% budget	• Minor adverse political reaction and complaints which are quickly remedied.	• Minor impact to service quality, minor statutory service standards are not met.

< = Less than
> =More than

1.5. Probability assessment criteria

(Select one of the ratings from the definitions below)

Rating	Annual Frequency		Probability		
	Description	**Definition**		**Description**	**Definition**
4	**Very High**	More than once in last 12 months		**Very High**	>85 % chance of occurrence
3	**High**	Once in last 2 years		**High**	>45% to <85 % chance of occurrence
2	**Medium**	Once in 3 years up to 10 years		**Medium**	>15% to < 45 % chance of occurrence
1	**Low**	Once in 10 years		**Low**	<15 % chance of occurrence

< = Less than
> =More than

2. CORPORATE BUSINESS RISKS

The heat map below summarises the highest residual risks contained on Partneriaeth's Risk Register.

	High Impact	Very High Impact
High Probability	9	12
Medium Probability	6 • **Lack of clarity regarding functions of Partneriaeth**	8 • **Partneriaeth not found to provide value for money**

3. INDEX AND SUMMARY OF RESIDUAL BUSINESS RISK SCORES

3.1. Central Risks

No.	Risk	Probability	Impact	Residual Risk	Movement ⇧⇩⇔	Page
1	**Failure to deliver the 4 priority areas of Partneriaeth's business plan**	1	4	4	⇔	13
2	**Failure to deliver against LA priorities included in Partneriaeth's business plan**	1	3	3	⇔	15
3	**Failure to support LAs in relevant areas during their engagement with Estyn**	1	3	3	⇔	16
4	**Data Protection**	1	4	4	⇔	17
5	**Partneriaeth found not to provide Value for Money**	2	4	8	⇧	18

3.2. Financial Risks

No.	Risk	Probability	Impact	Residual Risk	Movement ⇧⇩⇔	Page
1	**Timeliness of Welsh Government Funding**	1	3	3	⇩	19
2	**Failure to comply with RCG T&Cs**	1	4	4	⇔	20

3.3. Governance Risks

No.	Risk	Probability	Impact	Residual Risk	Movement ⇧⇩⇔	Page
1	**Lack of clarity regarding functions of Partneriaeth**	2	3	6	⇔	21
2	**Lack of Communication with all stakeholders**	1	3	3	⇔	22
3	**Partneriaeth Governance**	1	4	4	⇔	23

4.   CONTEXTUALISATION

Partneriaeth strives to deliver a consistent school improvement service, focused on challenge and support strategies that improve teaching and learning in classrooms and lead to improved pupil attainment and progress in all schools.

Our aim is to build school capacity through support, challenge and intervention so that schools become self-improving, resilient organisations. We facilitate school led support and intervention programmes at a peer to peer, department to department and school to school level according to the area of need that has been identified within the school.

The region will build school capacity through continuing support, challenge and intervention to become self-improving, resilient organisations which continually improve outcomes for learners. This regional strategy for a self-improving system is well underway and is firmly founded in the principles of school-to-school improvement.

Partneriaeth is committed to the Welsh Language and its prosperity, and the language is an integral part of all the administrative procedures of the organisation. We consider Welsh to be a central element of the identity of the region, and we will continue to do as much as we can to promote the language and its use.

Partneriaeth is governed by a legally constituted Joint Committee whose membership is made up of relevant officers from Partneriaeth and the three partner Local Authorities, with the three Council Leaders being voting members. The Joint committee is advised by scrutiny, strategic, operational and stakeholder groups, as detailed below:

Governance Group	Members
Joint Committee	3 Leaders. Voting member. 3 Cabinet Members for Education. These will be non-voting members. 3 Chief Executives with a Lead Chief Executive, non-voting. 3 Directors of Education with a Lead Director, non-voting. - Lead Officer Partneriaeth - S151 Officer and Monitoring Officer, as required. - External observers and advisers, on request – Estyn, WG, Audit Wales. - Chair of scrutiny Councillors' group, as non-voting observer
Scrutiny Councillor Group	3 Education Scrutiny Chairs 3 Education Scrutiny Vice Chairs 3 Directors of Education to attend together at least once per annum - Lead Officer Partneriaeth - Chair of Joint Committee to attend at least once per annum - External observers and advisers, on request
Strategic Group	3 Directors of Education - Lead Officer Partneriaeth 3 Partneriaeth Strategic Advisers
Operations Group	3 local authority Lead School Improvement Officers - Lead Officer Partneriaeth - Partneriaeth Strategic Advisers, as required according to business plan priorities

Stakeholder Group	• Lead Officer Partneriaeth • 3 Partneriaeth Senior Strategic Advisers linked to each local authority • 9 headteachers covering primary, secondary, special and pupil referral unit sectors

5.   CENTRAL RISKS

1. FAILURE TO DELIVER THE 4 PRIORITY AREAS OF PARTNERIAETH'S BUSINESS PLAN

Description of Risk
The Partneriaeth business plan is not delivered in its entirety and to a sufficiently high standard, against the following priorities: **Priority 1** – Support all schools and settings to design and deliver their own high quality equitable curriculum. **Priority 2** – Embed principles and processes which underpin educational equity in all schools and settings. **Priority 3** – Support schools and settings to develop a range of research and enquiry skills as a key part of their professional learning. **Priority 4** – Provide career pathways for leaders, practitioners and support staff at all levels of the system. There is an increased risk linked to Priority 1 of schools not being sufficiently supported to implement Curriculum for Wales. If schools are not provided with appropriate and targeted support, the implementation will not be in line with national expectations, including supporting secondary settings from September 2023.

Background
The business plan for 2023/24 has been written and co-constructed with LA colleagues. Its structure differs from previous regional business plans with Local Authority priorities being an integral part of the plan. As Partneriaeth is funded by the Regional Consortia Grant, the plan consists of operational delivery plans for each of the funding lines of the grant.

Objectives at Risk
All

Risk Control Measures
- The business plan is co-constructed by Partneriaeth officers and senior LA officers   - A high level business plan is produced setting out main priorities and linking with LA priorities. This is supplemented by detailed operational delivery plans with specific key performance indicators   - These are shared with specific stakeholders including Central Team, LA colleagues, schools and Joint Committee, which includes the detailed operational delivery plans   - Each operational delivery plan will have a named member of SLT to lead on the plan, as well as named officers to deliver the plan. These will include LA officers, where appropriate   - Quarterly monitoring of the business plan, including every operational delivery plan   - Over-sight of every operational delivery plan by a member of Partneriaeth's SLT   - Appropriate levels of officer time are linked to each of the business plan priorities and as such greater resource is allocated to Priority 1

Risk Owner				
Lead Officer, Senior Strategic Advisers, Lead Advisers				
Risk Scores				
Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	1	4	4	⇔
Tolerance			4	

2. FAILURE TO DELIVERY AGAINST LA PRIORITIES INCLUDED IN PARTNERIAETH'S BUSINESS PLAN

Description of Risk
The priorities agreed with the three LAs and included in the Partneriaeth business plan are not supported to a sufficiently high standard.

Background
The relevant priorities of each of the three partner LAs are included in the Partneriaeth business plan. These are mapped against each operational delivery plan included in the business plan.

Objectives at Risk
All

Risk Control Measures
- Quarterly monitoring of the business plan, including every operational delivery plan   - Regular meetings between the Senior School Improvement Adviser and Senior Strategic Adviser linked with each LA

Risk Owner
Lead Officer, Senior Strategic Advisers

Risk Scores				
Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	3	9	⇔
Residual	1	3	3	⇔
Tolerance			4	

3. FAILURE TO SUPPORT LOCAL AUTHORITIES IN RELEVANT AREAS AS THEY ENGAGE WITH ESTYN

Description of Risk
Partneriaeth does not provide the required support in the relevant areas to LAs as they engage with Estyn

Background
Pembrokeshire have successfully been removed from an Estyn category in Autumn 2022. Partneriaeth supported a range of relevant priorities in the Post Inspection Action Plan (PIAP). Swansea Local Authority School Improvement Service was inspected in June 2022. Partneriaeth's on-going support was recognised during the inspection. Carmarthenshire Local Authority School Improvement Service was inspected in July 2023. Partneriaeth's on-going support was recognised during the inspection.

Objectives at Risk
All

Risk Control Measures
- Regular meetings between the Senior School Improvement Adviser and Senior Strategic Advisers linked with each LA   - The 3 Senior Strategic Advisers from Partneriaeth regularly attend relevant LA School Improvement meetings to facilitate a regular two-way conversation between relevant officers   - Regular meetings between Partneriaeth's Lead Officer and the 3 LA Directors of Education

Risk Owner
Lead Officer, Senior Strategic Advisers

Risk Scores				
Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	1	3	3	⇔
Tolerance			4	

4. DATA PROTECTION

Description of Risk
Partneriaeth fails to comply with the Data Protection Act 2018, resulting in action from the ICO

Background

Objectives at Risk
All

Risk Control Measures
Data Protection guidance is detailed in section 25 of the Legal Agreement (p.23) • Data Processing Agreement to be added to Schedule 13 of the Legal Agreement • The Joint Committee shall appoint a Lead Council to assume responsibility for the discharge of functions on behalf of Partneriaeth, including Data Protection Officer Services • Agreement in place between constituent LAs and all schools across the region • Method, type of data and timings of exchange are detailed in the agreement • Partneriaeth staff use email and digital platforms under the Hwb licence, provided by Welsh Government. No personal emails will be used. • Partneriaeth staff only use electronic device provided to them, i.e. laptop, mobile phone, tablet. No personal devices will be used.

Risk Owner
Lead Officer, Lead Chief Executive, Lead Director

Risk Scores				
Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	1	4	4	⇔
Tolerance			4	

5. PARTNERIAETH FOUND NOT TO PROVIDE VALUE FOR MONEY

Description of Risk

Partneriaeth is judged to not provide Value for Money (Governance and Compliance)

Background

There is an expectation that the regional service will provide value for money across all workstreams.

Objectives at Risk

All

Risk Control Measures

- Schedule 4 of the Legal Agreement details the Terms of Reference for the Strategic Group (membership detailed on p.11). These include ensuring value for money within a costed business plan
- The costed business plan will be shared with Directors and presented to the Joint Committee for ratification
- Individual spending plans will be developed against every operational delivery plan, with a named senior officer having responsibility for each plan
- Actual spending will be authorised by Lead Officer, Senior Strategic Advisers or Business Support Manager
- Robust evaluation and monitoring processes are in place
- Effective Partneriaeth response to any 'critical' recommendations from internal audit.

Risk Owner

Lead Officer, Section 151 Officer, Principal Accountant, Lead Director

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	2	4	8	⇧
Tolerance			4	

6.   FINANCIAL RISKS

1. TIMELINESS OF WELSH GOVERNMENT FUNDING

Description of Risk

WG funding may not be timely, resulting in underspend, lateness of planning, or an inability to spend at the end of the financial year.

Background

As of January 2024 Welsh Government Grant funding for 2023-24 has now been received and this includes all expected variation awards.

Objectives at Risk

All

Risk Control Measures

- Financial forward planning with contingency arrangements so that essential implementation is not hindered. Indicative figures used for initial financial planning.
- Constant communication with WG to improve expectation, and to improve timeliness of in-year funding
- 3-year indicative funding to be shared by WG

Risk Owner

Section 151 Officer, Lead Banker Authority and Principal Accountant

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	3	9	⇔
Residual	1	3	3	⇔
Tolerance			6	

2. FAILURE TO COMPLY WITH REGIONAL CONSORTIA GRANT (RCG) T&CS

Description of Risk

Partneriaeth fails to deliver against each funding line of the Regional Consortia Grant (RCG). Subsequently, Welsh Government could clawback funding.

Background

Partneriaeth reports to Welsh Government on a 6 monthly basis followed by a feedback session with government civil servants.

Objectives at Risk

All

Risk Control Measures

- Partneriaeth's business plan 2023/24, is closely aligned to the Welsh Government priorities
- As a result, the Partneriaeth's business plan 2023/24, is also closely aligned to the RCG
- Named members of SLT, who lead on each area of the business plan to identify areas of concern regarding delivery of each operational delivery plan, linked to specific grant lines
- Quarterly monitoring of the business plan, resulting in early identification of areas of concern
- Designated senior officer to oversee financial processes and liaise with LA financial leads

Risk Owner

Lead Officer, LA Directors, Joint Committee, Senior Strategic Adviser

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	1	4	4	⇔
Tolerance			4	

7. RISKS ASSOCIATED WITH GOVERNANCE

1. LACK OF CLARITY REGARDING FUNCTIONS OF PARTNERIAETH
Description of Risk
That the revised Partneriaeth structure does not bring sufficient clarity on the function of Partneriaeth and its central team, leading to a lack of confidence in the revised structure along with loss of trust within the profession
Background
• Under previous footprint, a perceived lack of clarity regarding the difference between the role of the LA, and the role of the region, among the teaching community
Objectives at Risk
All
Risk Control Measures
• Communications Strategy group established centrally with membership linked to all areas of the business plan. • Consistent and ongoing dialogue is being undertaken with LA partners to ensure consistency of communication through both regional and local channels • Attendance by Partneriaeth officers at LA meetings, e.g. Headteacher meetings, providing input and relevant updates
Risk Owner
Lead Officer, Lead Director, Senior Strategic Advisers

Risk Scores				
Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	3	9	⇔
Residual	2	3	6	⇔
Tolerance			6	

2. LACK OF COMMUNICATION WITH ALL STAKEHOLDERS

Description of Risk

That there is not sufficient, regular communication with all stakeholders, including schools, leaders and school practitioners, as well all middle-tier and Welsh Government colleagues

Background

Objectives at Risk

All

Risk Control Measures

- Ongoing and effective communications provided by the Partneriaeth team on a weekly basis
- Partneriaeth website links to the Professional Offer and accompanying bilingual resources, including access to previously run webinars on-demand
- Regular attendance at all relevant meeting with middle-tier and Welsh Government colleagues
- Regular attendance by Partneriaeth officers at LA meetings, e.g. Headteacher meetings, providing input, relevant updates

Risk Owner

Lead Officer, Senior Strategic Advisers

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	3	9	⇔
Residual	1	3	3	⇔
Tolerance			4	

3. PARTNERIAETH GOVERNANCE

Description of Risk

That Partneriaeth's operational governance arrangements do not provide transparency and confidence to the profession.

Background

Partneriaeth has adopted some enhanced strategic meetings which include a variety of key stakeholders in the decision-making process. The main aim of this change is that there is increased transparency around decision making and allocation of funding. Should these strategic meetings fail to improve transparency, there will be significant adverse effects.

Partneriaeth has a clear schedule of regular meetings of various governance groups. These include Joint Committee, Scrutiny Councillor Group, Strategic Group, Operations Group and Stakeholder. Membership includes Cabinet Members, Directors of Education, headteachers, Partneriaeth Lead Officer, senior officers from Partneriaeth, senior LA officers.

A full list of these groups, including meeting frequency and membership is included in the business plan.

Objectives at Risk

All

Risk Control Measures

- Clear lines of reporting for all groups
- Regular meetings of named governance groups
- Transparency whilst sharing information with school leaders and other stakeholders

Risk Owner

Lead Chief Executive, Lead Officer, Directors of Education, Principal Accountant

Risk Scores

Risk Stage	Probability	Impact	Risk Score	Movement
	(a)	(b)	(a) X (b)	⇧⇩⇔
Inherent	3	4	12	⇔
Residual	1	4	4	⇔
Tolerance			4	