

# HOLMER GREEN SENIOR SCHOOL RISK REGISTER

**Reviewed: March 2022 Agreed: March 2022**

**The Risk Register is targeted at a strategic level to provide a response to those areas identified that could have a significant impact on the school's reputation, its people (both students and staff) and its ability to operate and deliver effectively.**

***It is not designed to duplicate action already undertaken by the Governing Body, its committees or the school's Senior Leadership Team. It is however a document that should be used by all appropriate governors and staff.***

## **It is designed to provide:**

- a mechanism for identifying which risks represent opportunities and which represent pitfalls
- a clear view of the variables to which the school may be exposed
- a basis for determining the response required to a particular risk
- a format to review the preparedness to a particular risk
- the assessment of key indicators linked to a specific risk
- the opportunity to adjust action, by agreement, in mitigation

**The Finance, Premises and Health and Safety Committee, will on behalf of the Trust and Governing Body manage the Risk Register and consider the following in its area of review:**

- Development Plan (for mid-term objectives)
- Improvement Plan (for short term objectives)
- Self Evaluation documentation
- Audit reports (Ofsted, financial, health and safety, etc)
- Academic results
- Media coverage
- Other appropriate information

**The Finance, Premises and Health and Safety Committee, in managing the Risk Register, will conduct a process whereby it requests information on action taken by, primarily, but not exclusively the following sources:**

- Trustees
- Governing Body
- Governing Body Committees and Sub-Committees
- Senior Leadership Team
- Other staff as appropriate.

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***In summary, the Risk Register's purpose is to highlight potential weakness, prompt appropriate action by appropriate Governors and the Senior Leadership Team, and review the impact of action taken.***

**Areas covered by the Risk Register will be positioned under the following headings:**

<b>Strategic</b>	<i>Includes:</i> funding, student capacity, curriculum, standards of achievement, Child Protection, Governance
<b>Operational</b>	<i>Includes:</i> teaching, support functions, information technology, management
<b>Financial</b>	<i>Includes:</i> budget, controls, systems, transactions, loss, risks
<b>Compliance</b>	<i>Includes:</i> national and professional standards, educational and legal obligations
<b>Reputational</b>	<i>Includes:</i> failure to deliver in all four areas above, plus public relations and communications

**Guidelines for determining likelihood of risk being realised:**

<b>4: Very likely</b>	Risk has a high probability of happening
<b>3: Likely</b>	Risk is more probably than not going to happen

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<b>2: Possible</b>	Risk may happen
<b>1: Unlikely</b>	Risk has a low probability of occurrence

### Guidelines (and examples) for determining potential severity of risk being realised:

SEVERITY RATING	Financial Impact	Non Financial Impacts		
		Reputation	People	Operations
<b>4 Extreme</b>	Over £200,000	<b>Severe reputation impact:</b> - prominently covered in national and specialist media	<b>Severe impact on people:</b> - Fatality - Severe Child Protection breach - Students are withdrawn - A number of staff leave as a result	<b>Severe operational disruption:</b> - major facility / service unavailable for more than one week
<b>3 Serious</b>	£50,000 - £200,000	<b>Reputation impact of lasting effect:</b> - prominently covered in local and specialist media; - significant league table position change	<b>Serious impact on people:</b> - Serious accident, major injury, life changing consequences - Long term-ill health - Serious Child protection breach - Widespread cause of significant dissatisfaction and de-motivation	<b>Major operational impact:</b> - unavailability of a facility / service causing delays in processes - serious waste of resources

Note: to be kept under review – linked to progressive revenue surplus and project commitments

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<b>2 Significant</b>	£20,000 - £50,000	<b>Reputation impacted in local / specialist area:</b> - covered in specialist media but not noticeable to wider public	<b>Significant impact on people:</b> - Significant injury - Cause for concern amongst students, parents and staff - no lasting consequences	<b>Significant operational impact:</b> - Health issue requiring concerted management attention - Disruption in a few departments / delaying major academic processes
<b>1 Marginal</b>	£2,500- £20,000	<b>Internal awareness impact:</b> - may be evident to those close to the event / area of interest	<b>Minor impact on people:</b> - unsettling rumours	<b>Minor operational impact:</b> - secondary system or process disrupted for less than a week

*Colour Coding for Governors:*

Full Governors	Trust & Executive
	Finance, Premises & H+S

### STRATEGIC

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Risk	Implication	Severity	Likelihood	Risk	Strategy	Mitigating actions (a) action taken (b) action to be taken (c) controls in place	Who e.g. Committee SLT	When	Contingency Plan
<b>Student numbers</b> <i>Below agreed admission number</i>	Low numbers = lower funding	3	2	6	Manage	Effective promotional activity  Admission procedures: Advertising Reputation  Growth Strategy	<b>GB</b> / SLT  <b>GB</b> / HT and BM  <b>GB</b> / HT and BM	Termly  Termly  Termly	
<b>Funding</b> <i>No medium or long term certainty on income</i>	Deficit <b>revenue</b> budget    Reduced <b>capital</b> funding	3    3	3    3	9    9	Manage    Manage	Maintain a reserve fund  Regular and timely posting of income and expenditure  Maintain effective budget management  Additional funding streams DfE applications  Looking for Additional funding streams	<b>FPHS</b> /SLT  <b>FPHS</b> /SLT  <b>FPHS</b> /SLT <b>FPHS</b> /SLT <b>FPHS</b> /SLT	Annual  Annual  Annual Termly Annual	<i>Set at £100K Nov 15</i>
<b>Curriculum</b> <i>Perception of good / reliable delivery impacted</i>	Unable to deliver all or part; potential impact on exam results	3  3	2  2	6  6	Manage  Manage	Teaching - Staffing - Trips and Visits  Monitoring:	<b>GB</b> /SLT <b>GB</b> /SLT  <b>GB</b> /SLT	Termly  Termly	

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	Poor student performance					<ul style="list-style-type: none"> <li>- setting targets</li> <li>- monitoring targets</li> <li>- review actual</li> </ul>				
	Changes to Sixth Form curriculum: e.g. A'levels vs BTECs	2	3	6	Manage	Mitigate Changes	GB/SLT	As Required	<i>To incorporate Financial, Operational and Reputational considerations</i>	
	Facilities <ul style="list-style-type: none"> <li>- suitability</li> <li>- site improvement</li> <li>- planned maintenance</li> </ul>	3	2	6	Manage	Strategic Planning	FPHS/SLT	Termly		
<b>Effective Governance</b>	No strategic plan or monitoring	3	1	3	Manage	Review <ul style="list-style-type: none"> <li>- strategic plan</li> <li>- Trustees and Governing Body composition and skills</li> <li>- Trustees and Governors induction and compliance checks in place</li> <li>- Internal and External Audit</li> <li>- Minutes of Meetings</li> <li>- Pecuniary Interests</li> </ul>	GB/SLT	Annual		
							GB	Annual		
								GB/SLT	Termly	
		4	1	4	Manage	Develop relationship between GB and SLT (e.g. common purpose)	GB/SLT			

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<p><b>Effect of Pandemic/ Other serious and widespread health issue</b></p>	<p>Threat to delivery of teaching</p>	4	4	16	<p>Manage</p>	<p>Delivery of online lessons and resources</p> <ul style="list-style-type: none"> <li>- Training and guidance for staff</li> <li>- Access to facilities for all students</li> <li>- Ability for families to support learning</li> </ul> <p>Ability for key staff to maintain working from home</p> <ul style="list-style-type: none"> <li>- Laptops distributed to key staff</li> <li>- All Teachers already have an HGSS Laptop</li> <li>- Good communication from SLT and other Line Managers to ensure expectations are clear</li> </ul> <p>Support and well-being for students during prolonged school closure</p> <ul style="list-style-type: none"> <li>- Good communication from the HOYs and Pastoral Team</li> <li>- Counsellor sessions offered if needed</li> <li>- DSL has direct communication by smart phone to vulnerable students</li> <li>- Student Laptop scheme to ensure students can continue to work from home</li> </ul>			<p>HGSS have instigated a programme for the provision of personal laptops for all students to aid learning off site and on site</p> <p>Maintain equipment for off-site working</p>
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					<p>Support and well-being for staff during prolonged school closure</p> <ul style="list-style-type: none"> <li>- Good communication and online meetings with Line Managers/HOF's</li> <li>- Community opportunities offered to ensure staff do not feel isolated – eg Virtual Coffee Morning/After school events</li> <li>- Staff feel their needs are considered and concerns listened to</li> </ul> <p>Parents, Governors and other Stakeholders are kept informed and have confidence in the Leadership of the school</p> <ul style="list-style-type: none"> <li>- Good communication is established and maintained</li> <li>- Clear instructions of key actions</li> <li>- Facility to contact the school eg Coronavirus Hotline number on Website</li> </ul>			
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# HOLMER GREEN SENIOR SCHOOL RISK REGISTER

## OPERATIONAL

Risk	Implication	Severity	Likelihood	Risk Score	Strategy	Mitigating actions (a) action taken (b) action to be taken (c) controls in place	Who e.g. Committee SLT	When	Contingency Plan
<b>Teaching</b> <i>Impact on results and staff/student morale</i>	High turnover and/or low calibre To include loss of experienced Headteacher = poorer results	3	2	6	Manage	Remuneration, terms and conditions to match local competition	GB / GB SLT	Annual	
						Development of SLT to ensure smooth running of the school if the Headteacher is absent/Robust recruitment process to ensure an excellent new appointment for Headteacher and other SLT roles	GB /SLT	Embedded into day to day running of school/as required	
						Benchmarking data	GB	Annual	
						Performance Management	GB /SLT	Annual	
						Training & Development plan	GB /SLT	Annual	
<b>Support functions</b> <i>Impact on services and staff morale</i>	High turnover and or low calibre = poorer service	3	2	6	Manage	Remuneration, terms and conditions to match local competition	GB / GB	Annual	
						Benchmarking data	GB / SLT	Annual	
						Performance Management	GB /SLT	Annual	
						Training & Development plan	GB /SLT	Annual	

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		3	2	6	Manage	Confirm which roles are 'sole occupancy' that also pose a risk from being totally reliant on a person's skilled knowledge base	GB /SLT GB /SLT	Termly	
<b>Information technology</b> <i>No access to data preventing normal operations; reputation impact; fines levied</i>	Impact of availability in all areas	3	2	6	Manage	Strategic plan for - internet access - hardware - software - maintenance - support	FPHS / SLT	Annual	
		3	1	3		Data Protection	FPHS/ SLT	Annual	
		4	2	8		Disaster Recovery - Emergency plan for 'crash' response	FPHS/ SLT	Annual	
<b>Child Protection</b> <i>Admission numbers and reputation seriously impacted</i>	Legal proceedings, financial liability, reputational impact, staff/student morale, student numbers	4	1	4	Manage	Policy	GB /SLT	Annual	
						Training & Development	SLT	Ongoing	
						Risk Assessment	SLT	As required	
						Central register (SCR) maintenance	SLT	Annual	
<b>Effective Management</b>		3	2	6	Manage	Succession planning	GB / SLT	Annual	
						Depth of resources - teaching - support areas	GB / GB /SLT	Termly	

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<b>Expansion Plan</b>	Impact on teaching and learning of the extensive building works	3	3	9		Logistics planning Good communication to staff and parents Weekly meetings with construction team	FPHS/ SLT	Termly	
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### FINANCIAL

Risk	Implication	Severity	Likelihood	Risk	Strategy	Mitigating actions (a) action taken (b) action to be taken (c) controls in place	Who e.g. Committee SLT	When	Contingency Plan
<b>Revenue Budget</b> <i>Imbalance of income/ expenditure without resolution</i>	Deficit	3	2	6	Manage	Reports and review: <ul style="list-style-type: none"> <li>- full year budget</li> <li>- monitoring</li> <li>- SLT reporting</li> <li>- scheme of delegation</li> </ul> Variable costs of concern: <ul style="list-style-type: none"> <li>- energy price increases</li> <li>- staffing on-cost increases inc pension and NI</li> <li>- staff retention costs</li> </ul>	GB/FPHS/SLT	Termly	How to make the school more energy efficient  How to train, support and develop existing workforce
<b>Capital Budget</b> <i>Investment without sufficient funds</i>	Deficit	3	2	6	Manage	Reports and review: <ul style="list-style-type: none"> <li>- full year budget</li> <li>- termly monitoring</li> <li>- SLT reporting</li> <li>- scheme of delegation</li> </ul>	GB/FPHS/SLT	Termly	

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<b>Controls, systems, transactions, loss and risk</b> <i>Lack of controls impacts on financial stability</i>	Theft, fraud, loss, inadequate insurance	3	1	3	Manage	Application of: <ul style="list-style-type: none"> <li>- Academies Financial Handbook</li> <li>- Internal Finance Policy</li> <li>- Scheme of delegation</li> </ul>	FPHS / Auditors/ SLT	Termly	
		3	1	3		Termly audit visits	FPHS / Auditors/ SLT	Termly	
		3	1	3		Insurance cover	FPHS/SLT	Annual	

### COMPLIANCE

Risk	Implication	Severity	Likelihood	Risk Score	Strategy	Mitigating actions (a) action taken (b) action to be taken (c) controls in place	Who e.g. Committee SLT	When	Contingency Plan
<b>Professional standards</b> <i>Admissions, results and reputation put at risk</i>	Low Ofsted ranking, lower student numbers	3	1	3	Manage	DfE Teaching Standards <ul style="list-style-type: none"> <li>- lesson monitoring</li> <li>- training</li> </ul> Ofsted <ul style="list-style-type: none"> <li>- inspection</li> </ul>	GB / SLT  GB / Ofsted	Termly  Termly	
<b>Educational obligations</b> <i>Admissions, results and reputation put at risk</i>	Low Ofsted ranking, lower student numbers	1	1	1	Manage	Policies <ul style="list-style-type: none"> <li>- planned review process</li> </ul>	GB / SLT	Annual	

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<b>Legal obligations</b> <i>Academy's independent position impacted</i>	Legal proceedings and/or fines for non /late / inaccurate delivery	3	1	3	Manage	Companies House - registration and data	FPHS / SLT	Jun	
		3	1	3	Manage & Contract	Annual Report & Financial Statements - annual external audit - termly internal audit	FPHS / SLT	Nov Termly	
		3	1	3	Manage & Contract	HMRC requirements - VAT - Charities Commission	Auditors / SLT	Monthly	
		3	1	3	Manage	Information Commissioners Office - Freedom of information registration	SLT	May	
		3	1	3	Manage & Contract	Waste Transfer - annual registrations	SLT	Oct	
	Legal proceedings for failure + fines/imprisonment	3	1	3	Manage & Contract	Health & Safety Executive - accident/incident reporting - audit/advice from BCC consultancy	FPHS / SLT	Termly ???	
	Legal proceedings for failure + costs awarded	3	1	3	Manage & Contract	Human Resources - HR advice contract in place - appropriate policies and procedures in place	GB	Termly	

### REPUTATIONAL

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Risk	Implication	Severity	Likelihood	Risk Score	Strategy	Mitigating actions	Who e.g. Committee SLT	When	Contingency Plan
<b>Items from the 4 other sections</b>	All points may impact								
<b>Public relations</b> <i>Public perception negatively impacted</i>		3	1	3	Manage	Strategy - Plan - Media/ presentation training - Disaster planning	GB /SLT	Annual	
						Regular review of media coverage	GB /SLT	Termly	
<b>Communications</b> <i>Internal perception negatively impacted</i>	Dissatisfied students, parents, staff	2	1	4	Manage	Regular reviews of: - Strategic Plan - Development Plan	All	Termly	
						Alumni development	GB /SLT	Termly	
<b>Trips &amp; Visits</b> <i>Public and internal perception and/or reputation negatively impacted</i>	Legal and/or criminal proceedings; falling admission numbers	3	2	6	Manage	Internal management of: - Set criteria and procedure delivered - Staff involvement - Student behaviour response	GB/ FPHS /SLT	Termly	