

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

Reviewed: December 2020 Agreed: December 2020

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.

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.

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

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

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

Guidelines for determining likelihood of risk being realised:

4: Very likely	Risk has a high probability of happening
3: Likely	Risk is more probably than not going to happen
2: Possible	Risk may happen
1: Unlikely	Risk has a low probability of occurrence

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

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

SEVERITY RATING	Financial Impact	Non Financial Impacts		
		Reputation	People	Operations
4 Extreme	Over £200,000	Severe reputation impact: - prominently covered in national and specialist media	Severe impact on people: - Fatality - Severe Child Protection breach - Students are withdrawn - A number of staff leave as a result	Severe operational disruption: - major facility / service unavailable for more than one week
3 Serious	£50,000 - £200,000 <div style="border: 1px solid black; padding: 2px; font-size: small; color: red;"> Note: to be kept under review – linked to progressive revenue surplus and project commitments </div>	Reputation impact of lasting effect: - prominently covered in local and specialist media; - significant league table position change	Serious impact on people: - Serious accident, major injury, life changing consequences - Long term-ill health - Serious Child protection breach - Widespread cause of significant dissatisfaction and de-motivation	Major operational impact: - unavailability of a facility / service causing delays in processes - serious waste of resources
2 Significant	£20,000 - £50,000	Reputation impacted in local / specialist area: - covered in specialist media but not noticeable to wider public	Significant impact on people: - Significant injury - Cause for concern amongst students, parents and staff - no lasting consequences	Significant operational impact: - Health issue requiring concerted management attention - Disruption in a few departments / delaying major academic processes
1 Marginal	£2,500- £20,000	Internal awareness impact: - may be evident to those close to the event / area of interest	Minor impact on people: - unsettling rumours	Minor operational impact: - secondary system or process disrupted for less than a week

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

Colour Coding for Governors:

Full Governors		Trust & Executive		
		People and Personnel	Learning and Curriculum	
		Finance, Premises & H+S		

STRATEGIC

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
Student numbers <i>Below agreed admission number</i>	Low numbers = lower funding	3	2	6	Manage	Effective promotional activity	P&P/ SLT	Termly	
						Admission procedures: Advertising Reputation	GB / HT and BM	Termly	
						Growth Strategy	GB / HT and BM	Termly	
Funding <i>No medium or long term certainty on income</i>	Deficit revenue budget	3	3	9	Manage	Maintain a reserve fund	FPHS/SLT	Annual	<i>Set at £100K Nov 15</i>
						Regular and timely posting of income and expenditure	FPHS/SLT	Annual	
						Maintain effective budget management	FPHS/SLT	Annual	
						Additional funding streams	FPHS/SLT	Annual	
	Reduced capital funding	3	3	9	Manage	DfE applications	FPHS/SLT	Termly	
						FPHS/SLT	Annual		

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

						Looking for Additional funding streams			
Curriculum <i>Perception of good / reliable delivery impacted</i>	Unable to deliver all or part; potential impact on exam results	3	2	6	Manage	Teaching - Staffing - Trips and Visits	P&P /SLT L&C/SLT	Termly	<i>To incorporate Financial, Operational and Reputational considerations</i>
	Poor student performance	3	2	6	Manage	Monitoring: - setting targets - monitoring targets - review actual	L&C/SLT	Termly	
	Changes to Sixth Form curriculum: e.g. A'levels vs BTECs	2	3	6	Manage	Mitigate Changes	GB/ SLT	As Required	
	Facilities - suitability - site improvement - planned maintenance	3	2	6	Manage	Strategic Planning	FPHS/SLT	Termly	
Effective Governance	No strategic plan or monitoring	3	1	3	Manage	Review	GB/SLT P&P GB/SLT	Annual	
						- strategic plan		Annual	
						- Trustees and Governing Body composition and skills		Annual	
						- Trustees and Governors induction and compliance checks in place		Annual	
						- Internal and External Audit		Termly	
						- Minutes of Meetings			

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

		4	1	4	Manage	<ul style="list-style-type: none"> - Pecuniary Interests Develop relationship between GB and SLT <i>(e.g. common purpose)</i>	GB/SLT		
Effect of Pandemic/ Other serious and widespread health issue	Threat to delivery of teaching	4	4	16	Manage	Delivery of online lessons and resources <ul style="list-style-type: none"> - Training and guidance for staff - Access to facilities for all students - Ability for families to support learning Ability for key staff to maintain working from home <ul style="list-style-type: none"> - Laptops distributed to key staff - All Teachers already have an HGSS Laptop - Good communication from SLT and other Line Managers to ensure expectations are clear Support and well-being for students during prolonged school closure <ul style="list-style-type: none"> - Good communication from the HOYs and Pastoral Team - Counsellor sessions offered if needed - DSL has direct communication by smart phone to vulnerable students - Student Laptop scheme to ensure students can 			HGSS to investigate the provision of personal laptops for all students to aid learning off site and on site Maintain equipment for off-site working

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

						<p style="background-color: yellow;">continue to work from home</p> <p>Support and well-being for staff during prolonged school closure</p> <ul style="list-style-type: none"> - Good communication and online meetings with Line Managers/HOF's - Community opportunities offered to ensure staff do not feel isolated – eg Virtual Coffee Morning - Staff feel their needs are considered and concerns listened to <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"> - Good communication is established and maintained - Clear instructions of key actions - Facility to contact the school eg Coronavirus Hotline number on Website 			
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OPERATIONAL

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

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
Teaching <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 / P&P / 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		Annual	
						Performance Management	P&P /SLT	Annual	
						Training & Development plan	P&P /SLT	Annual	
Support functions <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 / P&P	Annual	
						Benchmarking data	GB / SLT	Annual	
						Performance Management	P&P /SLT	Annual	
						Training & Development plan	P&P /SLT	Annual	
		3	2	6	Manage	Confirm which roles are 'sole occupancy' that also pose a risk from being totally reliant	P&P /SLT	Termly	

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

						on a person's skilled knowledge base			
Information technology <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 <ul style="list-style-type: none"> - internet access - hardware - software - maintenance - support 	FPHS / SLT	Annual	
		3	1	3		Data Protection	FPHS/ SLT	Annual	
		4	2	8		Disaster Recovery <ul style="list-style-type: none"> - Emergency plan for 'crash' response 	FPHS/ SLT	Annual	
Child Protection <i>Admission numbers and reputation seriously impacted</i>	Legal proceedings, financial liability, reputational impact, staff/student morale, student numbers	4	1	4	Manage	Policy	L&C /SLT	Annual	
						Training & Development	SLT	Ongoing	
						Risk Assessment	SLT	As required	
						Central register (SCR) maintenance	SLT	Annual	
Effective Management		3	2	6	Manage	Succession planning	GB / SLT	Annual	
						Depth of resources <ul style="list-style-type: none"> - teaching - support areas 	GB / P&P /SLT	Termly	

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

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
Revenue Budget <i>Imbalance of income/ expenditure without resolvment</i>	Deficit	3	2	6	Manage	Reports and review: - full year budget - monitoring - SLT reporting - scheme of delegation	GB/FPHS/ SLT	Termly	
Capital Budget <i>Investment without sufficient funds</i>	Deficit	3	2	6	Manage	Reports and review: - full year budget - termly monitoring - SLT reporting - scheme of delegation	GB/FPHS/ SLT	Termly	
Controls, systems, transactions, loss and risk <i>Lack of controls impacts on financial stability</i>	Theft, fraud, loss, inadequate insurance	3	1	3	Manage	Application of: - Academies Financial Handbook - Internal Finance Policy - Scheme of delegation	FPHS / Auditors/ SLT	Termly	
		3	1	3		Termly audit visits	FPHS / Auditors/	Termly	

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

		3	1	3		Insurance cover	SLT FPHS/SLT	Annual	
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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
Professional standards <i>Admissions, results and reputation put at risk</i>	Low Ofsted ranking, lower student numbers	3	1	3	Manage	DfE Teaching Standards - lesson monitoring - training	GB / SLT GB / Ofsted	Termly	
						Ofsted - inspection		Termly	
Educational obligations <i>Admissions, results and reputation put at risk</i>	Low Ofsted ranking, lower student numbers	1	1	1	Manage	Policies - planned review process	GB / SLT	Annual	
Legal obligations <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		SLT	May	

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

						Information Commissioners Office - Freedom of information registration			
		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	P&P	Termly	

REPUTATIONAL

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
Items from the 4 other sections	All points may impact								
Public relations <i>Public perception negatively impacted</i>		3	1	3	Manage	Strategy - Plan - Media/presentation training - Disaster planning	P&P /SLT	Annual	

HOLMER GREEN SENIOR SCHOOL RISK REGISTER

						Regular review of media coverage	P&P /SLT	Termly	
Communi-cations <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	P&P /SLT	Termly	
Trips & Visits <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	L&C/ FPHS /SLT	Termly	