

Risk Register

Queen Elizabeth Grammar School Penrith



Approved by H&S Committee: 19.09.2017

Approved by Full Governors: 09.05.2019 (updated version)

Chair of Governors: T Boving Foster

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Date: 09.05.2019

Headteacher: P Buckland

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Date: 09.05.2019

RISK ASSESSMENT

Introduction

Risk assessment is a process whereby the Academy considers all occurrences that would prevent it meeting the objectives set out to ensure that all students maximise their performance.

An overall risk assessment for the Academy, based on this risk register, is programmed for completion by the Governors on an annual basis. It should be noted that Heads of Department also complete reviews on their own areas of responsibility, and these additional risk assessments may take place at any time within the calendar, should it be necessary.

The risk areas for the Academy have been broken down into five categories: Strategic, Financial, Regulatory, Operational and Managerial.

For each category there is a risk description. Please note that these are not exhaustive and can be added to if appropriate.

These risks need to be assessed for likelihood and impact using the following scale:

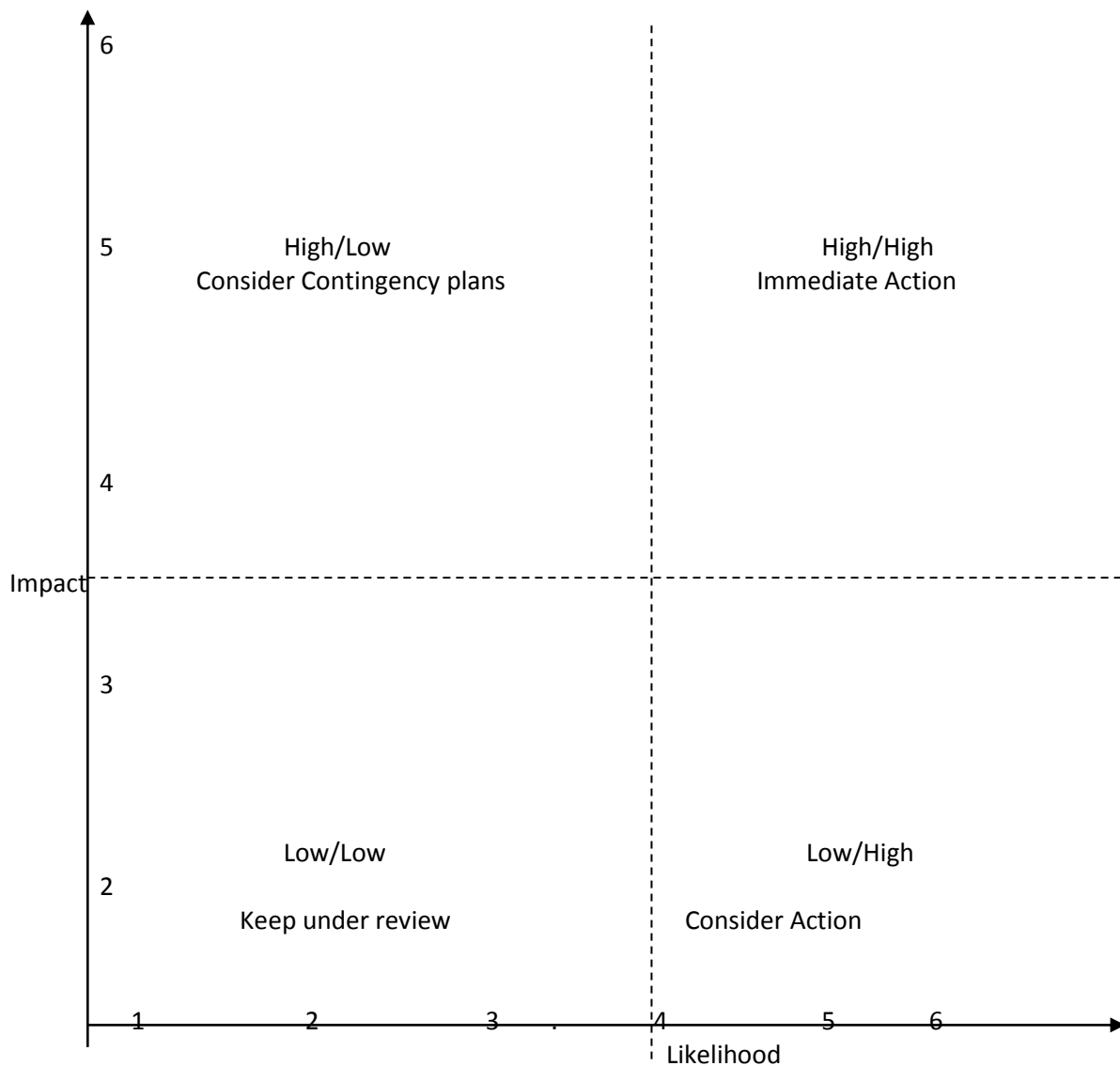
Likelihood

1. extremely unlikely
2. unlikely
3. moderately likely
4. regular occurrence
5. highly likely
6. extremely likely

Impact

1. not critical to continued operation
2. minor impact in some areas
3. minor impact in many areas
4. significant impact would not affect continued operations in short term but might in long term
5. significant impact in medium term, relates to substantial operational areas
6. fundamental to continuing operations

There is space in the checklist for the outcome of the assessment for each of the risks identified. Set out below is a graph on which risks can be plotted:



Once the risks are plotted on the graph a priority list needs to be drawn up of the risks sought to be reduced. Any risks falling in the “immediate action” box (top right) will be a first priority. After that, any scoring above “3.3” should be prioritised according to the resources available.

A traffic light system will be used to highlight the areas of risk; this will allow low, medium and high risks to be easily identified. Any risk in 1 and 2 should be highlighted green, any risk in 3 and 4 yellow and any risk in 5 and 6 red.

Planned action to Avoid the Risk, Transfer/Share the Risk or Mitigate the Risk should be added to the document. The person responsible for action will be identified and the completion date agreed.

The Finance & Pay sub-committee will review the reports and this will be formally minuted.

Business Risk Management

Progress Report:

Planned actions have taken place and the previous review has been re-visited. Where risks are still evident monitoring continues.

Summary of actions taken since the last review:

1. Strategic:

2. Financial:

3. Regulatory:

4. Operational:

5. Managerial:

Strategic Risks

Sub Risk Description	Assessment of Likelihood	Assessment of Impact	Actions Taken	Is Risk Mitigated?	Responsible Person	Completion Date
Investigation into wrong doing e.g. potential fraud	1	1	Fraud Policy Reference to Bribery act – Finance Manual	Yes	Governors	Ongoing
Major incident e.g. accident causing injury to students or members of the public/Gun or knife attack	1	3	Insurance Crisis Management Plan	Yes	Governors/SLT	Ongoing
Teaching incorrect syllabus/Teaching Standards	1	4	Checks & balances within departments and through monitoring by exams officer/SLT	Yes	Heads of Department	Ongoing
Poor examination results/Risk of Special Measures	2	4	Tracking/Ass of student progress. Mentoring of weaker students at risk of not achieving 5 x A* to C	Yes	Senior Leadership Team	Ongoing
Significant reduction of applications in Year 7	1	4	Analysis of size of year groups in feeder schools by Assistant Head (Pastoral) to identify future dips. Greater investment in promoting school in local and wider community	Yes	Senior Leadership Team	Ongoing
Handling of Press	1	1	All press through SLT	Yes	Senior Leadership Team	Ongoing
Compliance with regulations	2	1	N/A	Yes	SLT	Ongoing
Recruitment of employees convicted of child offences	2	4	Recruitment procedure follows safer recruitment guidelines. Senior staff training in safer recruitment DBS Checks	Yes	SLT	Ongoing

Failure to comply with objectives as set out in the Governing documents	2	1	Responsible Office Check	Yes	F&P Committee Full Governors	Ongoing
Loss of Funding	2	5	Financial procedures in place to ensure funding maximised. Maintain dialogue with EFA	Yes	Head of Finance & Facilities/Headteacher Governors	Ongoing
Maintaining our Ethos	2	4	Value of all curriculum/enrichment activities considered as part of budget review	Yes	Senior Leadership Team/Governors	Ongoing
Property and systems Loss			See Financial Risks – Protection of Assets See Operational Risks – Physical Disasters	Yes		Ongoing
Reputational Risk			See poor examination results/maintaining our ethos See Operational Risks – Environmental Change	Yes		Ongoing

Financial Risks

Sub Risk Description	Assessment of Likelihood	Assessment of Impact	Existing Internal Controls and Evidence	Is Risk Mitigated?	Responsible Person	Completion Date
<i>Protection of Assets</i>						
The School's assets are not safeguarded against inappropriate use or fraud.	5	1	Maintain Firewall to protect against Internet Abuse.	Yes	ICT Manager	Ongoing
Ownership is not documented and recorded	2	2	Maintain Asset register (FPM 13.5) Maintain Departmental Stock Records, including physical check annually (FPM 13.1 - 13.4)	Yes	Head of Finance & Facilities	Ongoing

Assets are not physically secure	3	2	Update alarms/locks and review school security procedures.	Yes	Head of Finance & Facilities/Site Manager	Ongoing
The location of all assets is not known	4	2	Advise staff to inform Finance (FPM 13.2). Audit Hardware/stock (FPM 13.3).	Yes	Head of Finance & Facilities/ICT Manager	Ongoing
Assets are not maintained in good order	1	1	Constant review	Yes	ICT Manager- Computers Site Manager - Fabric	Ongoing
Management of Liabilities						
Not all liabilities are identified	2	1	Maintain Sage Accounting System to record / identify liabilities (FPM 2.1).	Yes	Governors/Head of Finance & Facilities	Ongoing
Not all liabilities are recorded	1	1	As Above	Yes	Governors/Head of Finance & Facilities	Ongoing
Who can commit the School's funds is not detailed	2	1	Maintain Segregation of duties (FPM 2.2.7).	Yes	Governors/Head of Finance & Facilities	Ongoing
Economic						
Effect of lower funding rates on the School	4	5	Maintain dialogue with Education Funding Agency. Submit funding claims as opportunities are identified. Maintain dialogue with other grammar schools / academies. Maintain 3-year budget projection for ongoing consideration by F&P Committee.	Yes	Head of Finance & Facilities	Ongoing

Effect of interest rates changes on the School	1	1	Investment rates discussed by F&P Committee on regular basis. No Loans, beyond CIF bids. No Overdraft.	Yes	Governors	Ongoing
Effect of bank stability on the School	1	1	Use high rated banks for cash deposits (FPM 5.1).	Yes	Head of Finance & Facilities	Ongoing
Impact of movements in inflation on the School	3	5	Maintain dialogue with Education Funding Agency.	Yes	Head of Finance & Facilities	Ongoing
Cash Handling						
Lack of proper control over cash handling	2	1	Controls over petty cash, including use of imprest system (FPM 4). Use of secure post box to collect money from students (FPM 3.2.2). Use of safe to hold cash and cheques, and collection by Security Company (FPM 3.2.3). Utilisation of on-line payment systems (FPM 2.2.3).	Yes	Head of Finance & Facilities	Ongoing

Regulatory Risks

Sub Risk Description	Assessment of Likelihood	Assessment of Impact	Existing Internal Controls and Evidence	Is Risk Mitigated?	Responsible Person	Completion Date
Compliance Risk						
The Schools compliance with regulations						
<ul style="list-style-type: none"> Safeguarding 	1 - 6	6 - 1	Apply Safeguarding best practice and school policy. Regular safeguarding staff training.	Yes	Headteacher/SLT	Ongoing

• Activities	1	6	Teaching Standards to be maintained	Yes	Headteacher	Ongoing
• Reporting	1	2	Regular Reports to Education Funding Agency.	Yes	Head of Finance & Facilities	Ongoing
• Specific regulations from funding bodies	1	5	Review Funding Agreement	Yes	Governors	Ongoing
• Meeting conditions of grant	1	5	Review Funding Agreement	Yes	Governors	Ongoing
• Regular review of liability to tax	2	2	Ask Responsible Officer	Yes	Head of Finance & Facilities	Ongoing
• Regular review of exposure to VAT	2	2	Ask Responsible Officer	Yes	Head of Finance & Facilities	Ongoing
• Education Act – Statutory & Principles	1	4	Monitor DfE and other information.	Yes	Headteacher	Ongoing
• HMRC	1	4	Ask Responsible Officer/External Auditors	Yes	Head of Finance & Facilities	Ongoing
• Employment Law	1	4	Advise bought in from specialists	Yes	Head of Finance & Facilities	Ongoing
Data Protection						
Compliance with Data Protection Act. Security of data; particularly sensitive personal data	2	4	Data Protection Registration. Advise staff.	Yes	Head of Finance & Facilities	Ongoing
Health & Safety Risks						
• In offices	2	2	Monitor risk termly	Yes	Site manager	Annually
• Compliance with regulations	2	4	Use Third Party Specialists	Yes	Site Manager Headteacher Head of Finance & Facilities	Ongoing
• Asbestos	3	4	Monitor Asbestos Plan available to contractors	Yes	Site Manager Head of Finance & Facilities	Ongoing
• Risk to staff	2	2	Monitor Risk Termly	Yes	Site Manager/ Headteacher	Annually
• Risk to public	2	2	Monitor Risk Termly	Yes	Site Manager/ Headteacher	Annually

• Risk to pupils	2	2	Monitor Risk Termly	Yes	Site Manager/ Headteacher	Annually
• Risk involved with school visits	3	4	Ensure completion of visits risk assessment via evolve	Yes	All Staff	Ongoing

Operational Risks

Sub Risk Description	Assessment of Likelihood	Assessment of Impact	Existing Internal Controls and Evidence	Is Risk Mitigated?	Responsible Person	Completion Date
<i>Personnel risks</i>						
Loss of the Academy's Ofsted rating as 'Outstanding'	3	5	Continuous monitoring of student progress Continuous monitoring and review of school practices	Yes	Senior Leadership Team	Ongoing
Loss of key personnel	4	5	Ensure key personnel are content. Ensure key tasks cover Governors monitor succession planning	Yes	Senior Leadership Team	Ongoing
Remuneration policies and working practices do not encourage good risk management	3	3	Remuneration reviewed annually	Yes	Headteacher	Annually
Personnel do not have sufficient knowledge, skills and tools to support achievement of the objectives	1	1	Maintain strict Recruitment Policy	Yes	Governors/Senior Leadership Team	Ongoing
Training policies	2	3	Maintain Staff Development	Yes	Headteacher	Ongoing
Viral Infection	3	2		Yes	Assistant Head	Ongoing
<i>Environmental change</i>						
Popularity of the school waning	1	1	Ongoing promotion of school in local community including successes, exam results etc.	Yes	Headteacher & Assistant Head	Ongoing

Greater competition for students	1	1	Ongoing promotion of school on local community including successes, exam results etc.	Yes	Headteacher & Assistant Head	Ongoing
Physical Disasters						
Effect on the school of						
• Fire	3	6	Maintain Fire Drills. Review Insurance. Fire Risk Assessment.	Yes	Site Manager Headteacher Head of Finance & Facilities Governors	Ongoing
• Flood	1	1	Review Insurance.	Yes	Governors Head of Finance & Facilities	Ongoing
• Earthquake	1	1	Review Insurance.	Yes	Governors Head of Finance & Facilities	Ongoing
• Frost damage	3	6	Check frost protection. Arrange holiday cover.	Yes	Site Manager	Ongoing
• Snow/Ice	3	4	Condition of school/grounds assessed	Yes	Site Manager Headteacher	Ongoing
• Major storm damage	1	4	Maintenance Programme	Yes	Site Manager Head of Finance & Facilities	Ongoing
• Loss of Power	6	3	Ensure vulnerable areas have back-up. Contact United Utilities.	Yes	Site Manager Head of Finance & Facilities	Ongoing
• Loss of water supply	3	2	Check tanks. Contact United Utilities.	Yes	Site Manager Head of Finance & Facilities	Ongoing
• Loss of heating	4	4	Annual Service / on-going maintenance	Yes – but old boilers need replacing	Site Manager Head of Finance & Facilities	Ongoing
• Gas leak	2	5	Maintain boilers. Evacuation plan. Site plan.	Yes	Site Manager Headteacher	Ongoing

<ul style="list-style-type: none"> • Collapse of retaining walls 	2	2	Regular maintenance	Yes	Site Manager	Ongoing
<ul style="list-style-type: none"> • Tree/rotten branches falling 	2	2	Regular pruning / inspection	Yes	Site Manager	Ongoing
<ul style="list-style-type: none"> • Trespassing in school grounds 	6	4	Staff to be aware of potential trespassers. Appropriate signage at entrance to site and fencing/gates erected. CCTV warning signs.	Yes	All Staff	Ongoing
<ul style="list-style-type: none"> • Loss of curriculum computer network 	3	4	Network Maintenance. Ensure back-up can be restored. Use outside agencies.	Yes	ICT Manager	Ongoing
<ul style="list-style-type: none"> • Loss of admin network 	3	4	Network maintenance. Ensure backup can be restored. Use outside agencies.	Yes	ICT Manager	Ongoing
<ul style="list-style-type: none"> • E Safety 	3	4	Procedures in place to monitor inappropriate use of the network Guidance provided to parents, students and staff	Yes	ICT Manager	Ongoing
Human/Physical Security						
Normal School Teaching Periods	2	5	As first item above, all staff to continue to be vigilant and checking all visitors are wearing badges. CCTV in operation across the site	Yes	All Staff	Ongoing
Out of Hour Activities	3	5	Reception closed. Caretaker employed to cover the periods of time as required, patrolling the site and ensuring all doors other than those	Yes	Caretaking Staff	Ongoing

			<p>monitored by staff are kept locked.</p> <p>Staff to challenge unaccompanied visitors.</p> <p>From 4pm to 6pm Library is 'Safe Place To Be' with First Aid Trained member of staff always present. All pupils can use this facility</p> <p>CCTV in operation across the site.</p> <p>Doors locked after 5pm.</p>	<p>Yes</p> <p>Yes</p>		
Out of Hours	4	5	<p>Reception closed.</p> <p>Caretaker employed to cover the periods of time as required patrolling the site and ensuring all doors other than those monitored by staff are kept locked.</p> <p>Staff to challenge unaccompanied visitors.</p> <p>CCTV in operation across the site.</p>	Yes	Caretaking Staff	Ongoing
Burglary at weekends and evenings	3	5	<p>Premises covered by burglar alarm / CCTV.</p>	Yes	Site Manager Head of Finance & Facilities	Ongoing
Health & Safety						
Footpath & Right of Way	3	5	<p>Moved away from the school building.</p>		Headteacher & Head of Finance & Facilities	

Managerial Risks

Sub Risk Description	Assessment of Likelihood	Assessment of Impact	Existing Internal Controls and Evidence	Is Risk Mitigated?	Responsible Person	Completion Date
Loss of Governors	3	5	Clerk informs of upcoming vacancies and recruitment takes place	Yes	Governing Body	Ongoing
Loss of Clerk to the Governors	3	5	Professional clerk employed by Governors	Yes	Governing Body	Ongoing
Governors with insufficient skills to manage the school effectively	3	5	Regular skills audit carried out and gaps identified when recruiting	Yes	Governing Body	Ongoing
Compliance with HR	2	5	Advise bought from specialists	Yes	Head of Finance & Facilities	Ongoing
Risk of Pension Fund deficit	6	1				