

Risk Register – The Pochin School

Overview

| Risk Main Category | Example | Risk Cause | Controls in Place |
|----------------------------|----------------------------------|--|--|
| Strategic and Reputational | Loss of funding / reputation | | Effective relations with DofE/EFA Funding Agreement School Development Plan Monitored by Full Governors |
| Physical | Loss of buildings | Fire, Explosion, Flood | Fire risk assessments Health and Safety Assessments Emergency Plan & Business Contingency Monitored by H&S Committee |
| Infrastructure | Loss of facilities | Lack of light, power, IT, communications | Maintenance programmes for plant, equipment, premises and IT Monitored by H&S Committee |
| Staffing | Loss of staff, gradual or sudden | Inability to attract competent staff Pandemic | Recruitment and retention policies Performance appraisal Business Continuity plan Monitored by Human Resources Committee |
| Pupils | Learning | Not progressing in line with expectations | Curriculum policies Intervention Assessment Monitored by Education Committee |
| Financial | Loss of funding/assets/ | Change of funding calculations Failure to recruit students Poor media exposure Theft/fraud Inadequate financial management | Financial planning Internal and external audits Reputation of school Security measures/insurance Monitored by Finance Committee |

Strategic and Reputational

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required |
|--|---|------------|--------|------------------|---|---|
| Loss of Funding | Change of Government Policy | 1 | 3 | Plan & Implement | 5 year budget plan and continued efficient reporting from SBM to FAR | Continued awareness of Government Policy |
| Unsatisfactory external assessment (e.g. Ofsted) | Inadequate leadership Inadequate pupil progress | 1 | 3 | Plan & Respond | Performance Management and CPD School Development Plan Tracking/Assessment of pupils Annual performance review Termly reports to governors BEP Collaboration and termly SAM | Responding to issues that arise |
| Poor student recruitment | Reputation in local area Poor planning Poor student behaviour | 1 | 3 | Plan | Reputation of results, good behaviour, intervention programmes Development Plan STEP Collaboration Open days Good communication with parents Scrutinise planning/lesson observations | Encourage good media publicity Knowledge of future intake numbers Review behaviour management |
| Reputational | Parents not on-side Staff misconduct or negligence | 1 | 3 | Plan | Good communication/reporting arrangements Annual Parent Questionnaire Staff recruitment and retention Staff monitoring Whistleblowing policy | Continuing review of policies and procedures |
| Failure of governance | Failure to retain/recruit governance | 1 | 2 | Plan | Insurance for Governors against 3 rd party actions Timely and accurate information for Governors Governing Body procedures Training | Review procedures if lack of Governor support |

Full Governors

Signed off: Date:

Physical

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required |
|-------------------------------|--|------------|--------|----------|---|--|
| Fire/Explosion | Fire caused by arson, faulty equipment etc. | 1 | 3 | Plan | Fire risk assessment Regular maintenance programme of equipment Security of site Premises Officer CPD/Training | Implement Emergency Evacuation Plan Business Continuity Plan and Insurance |
| Burglary | Out of hours intruders | 1 | 2 | Plan | Maintenance of security systems | Premises officer security procedures Alarms to be monitored by Control Centre Insurance |
| Water Ingress | Burst Pipes etc | 2 | 2 | Plan | Maintenance of boilers etc Frost stat on during cold spells/holiday periods | Implement Business Continuity plan. Insurance |
| Flood | Flash Flood | 2 | 3 | Plan | Observations | Implement Business Continuity Plan |
| Gas Leak | Mains Gas leak – may be external to the school | 2 | 2 | Plan | Maintenance of boilers etc. Regular meter readings. | If leak is in the school: <ul style="list-style-type: none"> • Turn off gas • Evacuate school • Phone gas board |
| Trespassing in school grounds | Individual entering grounds over perimeter fence causing damage | 2 | 2 | Treat | Health & Safety Site Security | Repairs as necessary. Reassess security measures Insurance |
| Loss of water supply | Water turned off due to burst pipe etc in community effecting catering/hygiene etc | 1 | 3 | Plan | SLT to make decision as whether school can remain open. If early warning - plan in place to have water on site | Contact Severn Trent to establish length of shortage/alternative provisions |
| Asbestos | Staff/Contractors coming in contact with asbestos | 1 | 2 | Plan | Clear asbestos plan readily available for all contractors | Small amount of non accessible asbestos in school |
| Trees | Rotten branches etc falling into playground | 2 | 2 | Plan | Health & Safety committee monitors that the tree survey is done regularly | Branches removed if deemed H&S risk |
| Legal action | Failure to identify H&S at work requirements | 1 | 3 | Treat | Health & Safety Policy Health & Safety advice Premises committee | Review H&S policies and procedures Seek legal action |

Health & Safety Committee

Signed off: Date:

Infrastructure

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required |
|----------------------------------|--|------------|--------|----------|--|--|
| Power Failure | Electrical failure – loss of data; effects on catering provision | 2 | 3 | Plan | Maintenance of equipment Annual PAT Testing Remote backup of data | Restore data backup Reassess current systems |
| Uninvited Visitor gaining access | Angry Parent Visitor intending harm | 2 | 3 | Plan | Safeguarding training Monitored school access Monitor the security of the school premises | Follow emergency procedures |
| Incident in school holidays | Key Personnel out of the country | 1 | 3 | Plan | Realistic Crisis Management Team with clear structure | Develop suitable contact list plan |
| School Closure Snow | Adverse weather – school to close | 1 | 2 | Plan | Large number of local staff Snow procedures tight Communication – radio/website/texts to parents | Utilise Snow Plan Text and email parents Contact local radio stations |
| Pandemic/ Food Poisoning | Staff absence/Pupil illness | 2 | 3 | Plan | Daily cleaning of all areas. Door handles to be cleaned at least once a week. Parents aware to keep pupils away from school for minimum of 48 hrs following sickness etc. 48 hours for kitchen staff. Ensure that kitchen staff are trained in appropriate hygiene management and that hygiene is part of kitchen audits and that any recommendations are acted upon. Head to decide whether school to remain open. | Contact Health Protection Authority - 0344 2254 524 opt 1. Step up cleaning schedule. Wipe down door handles etc. Inform parents via website/texts/email |

Health & Safety Committee

Signed off: Date:

Staffing

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required |
|--|---|------------|--------|----------|--|--|
| Poor staff performance | Inappropriate monitoring systems Inadequate teaching quality | 1 | 3 | Plan | Performance management policy Staff Handbook Teachers' Standards Scrutiny of planning Lesson observations and Monitoring and Evaluation | Continuing Performance Management Training |
| Accusation of member of staff | Staff member accused of inappropriate behaviour | 1 | 3 | Treat | Recruitment procedures, inclusive of induction process Staff handbook Safeguarding policy Allegations Management Training Staff Disciplinary Policy Whistleblowing policy | Legal advice Media advice Review of policies Take action required by policies |
| Interruption to continuity of teaching | Staff absence | 2 | 3 | Treat | Adequate staffing levels Long term plans in place Good supply cover Good communication with parents Insurance | Review procedure if difficulty finding replacement teachers |
| Inadequate recruitment | Reputation of school External factors influencing job market | 2 | 3 | Plan | Ensure consistent quality of teaching/results Recruitment/retention policies | Exit information |

Human Resources Committee

Signed off: Date:

Pupils

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required |
|---|--|-------------------|---------------|-----------------|--|--|
| Low Attainment | Not making progress in line with national expectations | 1 | 3 | Treat | Tracking/assessment policy Intervention policy Moderation BEP Collaboration | Review all policies |
| SATs | SATs not adequately administered Withdrawal of pupils from SATs | 1 | 2 | Treat | Stringent following of procedures | Review of procedures |
| Death of a child/family member/ member of staff | | 1 | 3 | Plan | Ensure that medical information is available for high risk pupils and staff. The school's triangle system is in place and that all staff and pupils are aware of how to use it appropriately. Head to decide whether school to remain open. | Counselling services Media advice |
| School Trip Transport | Accident whilst using transport | 2 | 3 | Plan | Ensure transport company are reputable company – drivers should have DBS, coaches seat belts and speed limiters. School insurance details held on file in school office. Educational visits risk assessment in place. Headteacher to be group leader trained. Residential leadership training only needed if not attending an established residence. | Counselling services Media advice Emergency Plan with contact details of all pupils/staff |
| Pupil harming another child | Physical assault on a child causing actual bodily harm | 2 | 3 | Plan | Adequate supervision of pupils All staff trained in paediatric first aid on site Behaviour policy 1:1 support available if required. Specific risk assessment for child with behaviour issues. | Seek advice from behaviour support Counselling services Media advice Legal advice Review of Procedures |

Education Committee

Signed off: Date:

Financial

| Risk | Description | Likelihood | Impact | Response | Controls in Place | Action Required/Suggested Improvements |
|-------------------------------------|--|------------|--------|----------|---|--|
| Poor financial decisions | Incomplete and unreliable finance reporting. Financial systems not fit for purpose. Inefficient processes adopted Loss of absence of key finance staff. | 2 | 3 | Plan | Robust internal controls. Budget and planning systems. Actual vs. Forecast reports. Regular Finance Committee mtgs. Responsible Officer audits. | Review Responsible officer reports and budgets. |
| Loss of assets | Fraud or theft of assets. | 2 | 2 | Treat | Finance Manual. Responsible Officer audits. Inventory Checks. | Review Responsible Officer report. |
| Inadequate SEN Funding | Inadequate funds to meet real needs of SEN pupils. | 2 | 2 | Treat | SENCo, SBM and LA/EFA communication. Budget scrutiny by SBM & Finance Audit and Risk committee. | SENDCo/SBM communication to ensure adequate provision. £6k reserve for potential staff costs. |
| Inadequate funding | Change of calculations. | 2 | 3 | Plan | Budget scrutiny by SBM & Finance Audit and Risk committee. 5 year budget plan. Monthly cash flow monitoring. | Funding calculations checked against supporting documents. Review and amend budget. Review supplier contracts and staff expenditure. Explore external revenue income streams. |
| Overspending | Spending overruns due to unforeseen circumstances. | 2 | 3 | Plan | Clear guidelines authorising spending. Monitoring of financial summaries. | Spending reports by SBM to FAC meetings. |
| Trust encounters third party claims | Parents, public, students, staff, companies etc. make claims against Academy | 1 | 3 | Plan | Robust internal management/monitoring systems Insure against risks | Review of procedures if claim made |
| Statutory action | Failure to comply with statutory regulations e.g. tax, vat, data protection, companies act, charity commission | 2 | 2 | Plan | Data Protection Policy Responsible Officer reports Appropriate personnel External audits | Review of procedures if compliancy is not maintained |
| Inadequate insurance | Lack of insurance, employers liability | 1 | 3 | Plan | Insurance policy | Annual review |

Finance, Audit and Risk Committee

Signed off: Date:

Glossary of Terms:

| | |
|------------------|--|
| DfE | Department of Education |
| CPD | Continuous Professional Development – staff training programmes |
| EFA | Education Funding Agency |
| EYFS | Early Years Foundation Stage |
| H&S | Health & Safety |
| IT | Information Technology |
| KS1 | Key Stage 1 – 5-7 year olds |
| KS2 | Key Stage 2 – 7-11 year olds |
| NHS | National Health Service |
| PAT | Portable Appliance Testing – the testing of all electrical equipment in the school |
| SATs | Statutory Assessment Tests – annual national tests for Year 2 and Year 6 pupils in English and Maths |
| SEN | Special Educational Needs |
| SENDCo | Special Educational Needs and Disabilities Co-Ordinator |
| SIP | School Improvement Partner – external professional carrying out checks and balances |
| SLT | Senior Leadership Team |
| Likelihood Scale | 1 – Low 2 – Possible 3 - High |
| Impact Scale | 1 – Low 2 – Notable 3 - Damaging |

Policy reviewed 16 May 2017

To be reviewed every two years by the Governing Body

Signed on behalf of the Governing Body.....
Chair of Governors

Date:

Next review date: 16 May 2019