Staverton CE Primary School Risk Register

Key to risks: (L = Likelihood; F = Financial; R = Reputational)

Likelihood
1. extremeley unlikely; rare occurrence
2. unlikely
3. moderately unlikely
4. very likely; regular occurrence
5. highly likely
6. extremely likely; frequent occurrence

Impact (financial/reputational)
1. not critical to continued operations
2. minor impact in limited 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

Strategic Plan Objective	Risk Number	Risks	Early Warning Indicators (Existing Monitoring)	(L) Gross Risk	(F) & (R) Gross Risk	Gross Risk Score Total (F+R) x L	Mitigating Factors (Existing Controls and Actions)	Source of assurance	(L) Net risk	(F) & (R) Net Risk	Net Risk Score Total (F+R) x L	Risk Level (25+ High, 15-24 Medium, 1-14 Low)	Responsibility	Progress update
1. To provide a supportive, inclusive, challenging environment with enriching experiences that enable pupils to fulfil their potential	1	Inability to recruit and retain pupils could lead to not meeting financial targets and impact negatively on following years funding	Planned admission numbers not met, pupil and parent complaints, esp. around class conditions, poor attendance	3	5	15	Relevant staff monitor and report application and admission levels during the enrolment periods to ensure management are aware of learner numbers, and retention rates	Application, admission and enrolment statistics: comparisons over time	2	3	6	Low	Headteacher	Personalised tours popular with Rec parents. New prospectus created.
	2	Inability to attract and retain personnel (staff and governors) which results in loss of expertise and reliance on expensive agency staff	High staff turnover and high spend on advertising posts. Posts are hard to fill.	3	3	9	SLT monitors staff turnover and vacancies	SLT (Personnel) maintain weekly oversight of staff changes	3	2	6	Low	Headteacher	Staffing for September in place
	3	Deterioration of buildings resulting in inadequate, unattractive or unsustainable premises	Non completion of premises reviews	3	4	12	Regular updates given to AGC by HT to ensure governors are aware of progress	Regular updates to SLT and AGC	2	4	8	Low	Headteacher	Financial support from PDET with long term CiF budget plan
	4	Failure of key infrastructure components leading to unplanned closures	Planned maintenance programmes not being followed.	3	5	15	Maintenance and Legislative Compliance programmes in place and monitored monthly by the Bursar to ensure compliance is maintained at all times	Service contracts in place	2	4	8	Low	Headteacher	Trust reserves in place
	5	Health and Safety of staff, pupils and visitors (especially during building works) which could result in litigation and loss of reputation	Accident / Incident reports and trend analysis. Number of reported safeguarding incidents. Insurance claims.	2	4	8	SLT are briefed and take any actions required	H&S updates to SLT	2	3	6	Low	HT	
2. To achieve continuous improvement in quality and standards throughout the school.	6	Inadequate access to reliable and timely data which results in inability to track performance and impacts on decision making	Data sheets to HT termly, SIMS reports to PDET	2	4	8	HT ensures systems are up to date and robust reporting	Consistent reporting system, access to staff and pupils, SLT reports	1	4	4	Low	HT	

Objective	#	Risk	Controls	L	I	Score	Assurance	Source	L	I	Score	Rating	Owner	Comments
	7	Success rates drop which results in loss of reputation	Monitoring retention, attendance, course reviews, IARs	2	5	10	SLT reports for Attendance, Retention and Lates	SLT meetings	2	4	8	Low	Headteacher	IDSR shows decline but AIP targets this.
	8	IT Equipment failure in classroom which impacts the quality of the lessons being delivered	Poor performance of equipment in a teaching environment being logged by the IT support team	5	4	20	The ICT technician monitors and SLA's form the helpdesk daily to make sure there are no issues.	IT Helpdesk calls	4	3	12	Low	HT	Equipment being replaced as it fails which is a drain on funds
3. To sustain a culture in which staff are valued and provided with an effective programme of continuous professional development.	9	Failure to maintain constructive employment relations which leads to industrial unrest, high staff turnover and low morale	Complaints, Relationships with the trade unions monitored through HR	3	4	12	Headteacher 'Contact' meetings to ensure staff are kept informed	Staff meeting agendas, Wellbeing support from PDET subscription	2	3	6	Low	Headteacher	
	10	Failure to provide a relevant CPD training programme which leads to industrial unrest, high staff turnover and low moral	Appraisal reports; Annual teaching observation; whole school development opportunities given	3	4	12	Head reviews staff CPD requests to ensure relevance and actively promotes CPD through trust and school specific.	Take up of CPD training regularly monitored through Academy on a Sheet	2	3	6	Low	Headteacher	
4. To work with partners to improve and extend learning opportunities and to contribute (at local, regional and national level) to the promotion of outstanding learning.	11	External relationships not being effective or threatened by reduced funding resulting in loss of income	Lack of contact with key local stakeholders, partners and decision makers	3	4	12	Regular AGC and director meetings, local partners are in contact each half term, more links are always being sought.	AGC minutes	3	4	12	Low	Headteacher	
			Loss of local links with external providers	2	3	6	Club links kept strong with weekly clubs maintained. New links brought in throughout the year.	Club/visitor bookings	2	3	6	Low	Headteacher	
5. To adapt and develop provision, taking full advantage of technology, for a changing society.	12	Failure to deliver IT resources to staff to carry out their activities which leads to poor pupil experience and low staff moral	Teaching observation; course reviews; Commission external SPP strategy; devise a manageable resource strategy	3	4	12	The Curriculum Lead feedback to the Network Manager on any issues to ensure that IT resources are available and training given	Training evidence such as CPD certificates and staff meeting agendas	2	4	8	Low	Curriculum Lead	
	13	Insufficiently developed "learning environments" leads to poor pupil experience and low staff morale	CPD feedback. IT strategy action plan monitored termly; Pupil voice (student feedback)	3	4	12	Curriculum lead/Subject leader ensures that CPD strategy is updated and reviewed annually, mapped against the e-safety curriculum which reduces the risk	Feedback from Subject lead & CPD goup, pupil/staff complaints	2	3	6	Low	Curriculum Lead	

Objective	No.	Risk	Cause/Consequence	L	I	Score	Controls	Evidence	L	I	Score	Rating	Owner	
6. To achieve and maintain a robust financial status.	14	Inaccurate income and expenditure reporting resulting in poor decision making	Financial budget reports, Not achieving income targets and variances between department financial status reports and those of the Finance Department	3	5	15	Bursar reports monthly for general review and variance explanation to demonstrate that budget holders know and understand their data so spotting any irregularities.	Monthly budget holder meetings, month end checklist	2	4	8	Low	Bursar	
	15	Loss through fraud, error, theft or disaster giving rise to waste of public funds	Responding to staff competency issues; Physical inspection; review of School incident log, audit reports. Budget overspends	3	4	12	Bursar reports monthly for general review and variance explanation to demonstrate that budget holders know and understand their data so spotting any irregularities.	Audit Reports, minutes of Committee meetings. Budget Reports	2	3	6	Low	Bursar	
	16	Financial Regulations and Financial Procedures are not updated or are not adhered to / understood resulting in breaches of regulations and legal compliance	Slow authorisation/payment, staff exceeding their authority to enter into contractual commitments, budgets being overspent	4	3	12	Bursar reports monthly for general review and variance explanation to demonstrate that budget holders know and understand their data so spotting any irregularities.	Financial Variation Forms, HR investigations	2	3	6	Low	Bursar	
	17	Failure to comply to Budget leading to financial claw back	Annual review of contractual terms	4	5	20	Monthly Management Accounts contain GAG breach alert	Funding Agreement and Management Accounts	3	5	15	Medium	Headteacher	
	18	Funding cuts in future periods (financial viability) resulting in the school having financial difficulties	Budget Model for future periods shows deficit	5	5	25	Directors updates the budget model with Funding allocation as soon as is known and reports to SLT so decisions can be taken at the earliest opportunity	Budget plan submittted to Central Team	3	5	15	Medium	Headteacher	
	19	Funding cuts in future periods resulting in low staff moral and high turnover	Staff turnover increases due to low moral and lack of CPD	4	4	16	HT monitors and has meetings with staff to update on finance status.	Central team monitor vacancies across Trust.	2	4	8	Low	Headteacher	
	20	Increased competition from other institutions resulting in recruitment not being achieved	Enrolement targets not met	4	4	16	AGC members on local council boards, local planning applications monitored.	Daily enrolment stats, application statistics comparisons, enquiries , targeted marketing campaign	3	4	12	Low	Headteacher	