Risk Responses - Responses to risk can be divided into four response categories:

Transfer: For some risks the best response may be to transfer them. This might be done by conventional insurance, or it might be done by paying a third party to take the risk in another way. This option is particularly good for mitigating financial risks of risks to assets.

Tolerate: The exposure may be tolerable without any further action being taken. Even if it is not tolerable, ability to do anything about some risks may be limited, or the cost of taking any action may be disproportionate to the potential benefit gained. In these cases the response may be toleration. This option may be supplemented by contingency planning for handling the impacts that will arise if the risk is realised.

Treat: By far the greater number of risks will belong to this category. The purpose of treatment is not necessarily to obviate the risk, but more likely to take control action to contain the risk to an acceptable level. Such controls can be **corrective, detective, directive or preventive** (see glossary)

Terminate: Some risks will only be treatable, or containable to acceptable levels, by terminating the activity. It should be noted that the option of termination of activities may be severely limited in the public sector when compared to the private sector; a number of activities are conducted in the public sector because the associated risks are so great that there is no other way in which the output or outcome, which is required for the public benefit, can be achieved.

Take the Opportunity: This option is not an alternative to those above; rather it is an option which should be considered whenever tolerating, transferring or treating a risk. There are two aspects to this. The first is whether or not at the same time as mitigating threats, an opportunity arises to exploit a positive impact. The second is whether or not circumstances arise which, whilst not generating threats, offer positive opportunities – for example a drop in the cost of goods or services might free up resources for redeployment.

These risks need to be assessed for Probability and Impact using the following scale: Green: low risk, Amber: medium risk and Red: High Risk.

Probability

Level	Description	Detailed Description
5	Almost Certain	Expected to occur in most circumstances. Greater the 95% probability of occurring.
4	Probable	Will probably occur in most circumstances. 60% - 95% probability of occurring.
3	Possible	Might occur at some time. 20% - 60% probability of occurring.
2	Unlikely	Unlikely to occur. Between 10% and 20% probability of occurring.
1	Rare	May occur in exceptional circumstances. Less than 10% probability of occurring.

Colour Key Code
Low Risk (1 & 2)
Medium Risk (3 & 4)
High Risk (5)

Impact

Level	Description	Financial	Time	Reputational
5	Highly Significant	Huge financial loss, >10% of project cost.	Major disruption to the school and/or services or major failure to deliver vital services.	Serious major reputational damage inflicted, external intervention certain.
4	Major	Major financial loss, 5-10% of project cost.	Major disruption to the school and/or services or medium failure to deliver vital services.	Major reputational damage inflicted, external intervention likely.
3	Moderate	Medium financial loss, 2-5% of project cost.	Disruption to the school and/or services or short failure to deliver vital services.	Reputational damage inflicted, external intervention possible.
2	Minor	Minor financial loss, 1-2% of project cost.	Little disruption to the school and/or services.	Could affect reputation.
1	Insignificant	Little or no financial loss, >1% of project cost.	Inconvenience to the school and/or services.	Potential reputation issue.

STAFF & STUDENT MATTERS COMMITTEE RISKS (Last reviewed by Committee: June 2023)

Risk No.	Type & Category of Risk	Sub-category	Specific	Probability of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response	Control procedures to address risk	Person(s) responsible for action
S1	**Compliance – 1 Employer legislation risk**	**GDPR**	Legislative requirements re personal data are not known or fulfilled	3	4	Treat	• Subscribe to professional DPO service for information on current requirements • Annual audit conducted by Essex Information Governance • Annual staff training with certification to be completed	Business Manager
S2	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Risk that legislative requirements are not known or complied with	1	4	Treat / Transfer	Subscribe to Juniper HR Services to provide advice and support as necessary. They are aware of the latest development in employment laws.	Headteacher / Business Manager
S3	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Discrimination risk	2	4	Treat / Transfer	Grievance procedure in place. Juniper HR and legal services support as required.	Headteacher / Business Manager
S4	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Data Protection risk	1	4	Treat / Transfer	School Data Protection Policy. Staff to be briefed on arrival and annually on DP.	Business Manager / IT Manager
S5	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Human Rights risk	1	4	Treat / Transfer	Juniper HR and legal services support available	Headteacher / Business Manager
S6	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Equal opportunities risk	2	5	Treat / Transfer	Juniper HR and legal services support available. Equal Ops policy in place. Academy has Disability Equality Scheme.	Headteacher / Deputy Head (Pastoral)
S7	**Compliance – 1 Employee legislation risk**	**Employment laws risk**	Contract risk	1	4	Treat / Transfer	Juniper HR Services to provide advice and support as necessary. They also provide a set of contract proforma for the different posts.	Headteacher / Business Manager
S8	**Compliance – 1 Employee legislation risk**	**Pension risk**	Risk that legislative requirements are not known or complied with	1	4	Treat / Transfer	Juniper HR Services to provide advice and support as necessary. Teachers' Pension and Local Government Pension scheme are well established bodies. FRS17 Audit.	Headteacher / Business Manager
S9	**Compliance – 7 Welfare compliance risk**	**Disability risk**	Risk that legislative requirements are not known or complied with	1	4	Treat / Transfer	New building constructed under DDA compliance.	Headteacher/ Business Manager/ Site Manager
S10	**Compliance – 7 Welfare compliance risk**	**Child Protection Act risk**	Risk that legislative requirements are not known or complied with	1	4	Treat / Transfer	Full Staff training for aspects of CP. CP policy in place.	Headteacher / Deputy Head (Pastoral)
S11	**Compliance – 8 Sector compliance risk**	**Mental Health compliance risk**	Risk that legislative requirements are not known or complied with	2	4	Treat / Transfer	A compliance checklist should be obtained to ensure full scope compliance.	Deputy Head (Pastoral) & SEN Coordinator
S12	**Operational – 2 Human resources risk**	**Management risk**	SLT capability / experience of charity sector risk	2	4	Treat	Clear job description and personal specifications identified prior to recruitment. Training/induction programme for new members of SLT. Training also made available to existing SLT members.	Trustee / Headteacher
S13	**Operational – 2 Human resources risk**	**Management risk**	Integrity risk	1	4	Treat	Training/recruitment procedures.	Trustee / Headteacher/ SLT

Risk No.	Type & Category of Risk	Sub-category	Specific	Probability of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response	Control procedures to address risk	Person(s) responsible for action
S14	**Operational – 2 Human resources risk**	**Management risk**	Key person loss/succession risk below SLT Level	2	4	Treat	Partial shadowing within each department. Need to include in DRP.	Headteacher / SLT
S15	**Operational – 2 Human resources risk**	**Management risk**	Entrepreneurial risk - risk that management is too entrepreneurial. Risk that activities of the charity could be outside its objects.	1	5	Treat	See "1 Strategic Risks, Charitable Objects Risks"	Governors/ Headteacher / SLT
S16	**Operational – 2 Human resources risk**	**Staff risk**	Low morale risk	2	3	Treat	Weekly staff briefing, termly staff meeting, Staff Voice, line manager meetings, performance management, staff events.	Headteacher / SLT
S17	**Operational – 2 Human resources risk**	**Staff risk**	Retention risk	2	2	Treat	Performance management and line management meetings.	Headteacher / SLT
S18	**Operational – 2 Human resources risk**	**Staff risk**	Recruitment risk (risk of recruiting the wrong person)	1	3	Treat	Procedures for interviews and referral of candidates; reference and DBS checks	Governors / Headteacher / SLT
S19	**Operational – 2 Human resources risk**	**Staff risk**	Recruitment risk (recruiting someone unsuitable to work with children)	1	5	Treat	DBS checks in place to ensure compliance/Barred List checks and overseas checks where applicable	Headteacher / Head's PA
S20	**Operational – 2 Human resources risk**	**Staff risk**	Appraisal /assessment risk	2	2	Treat	Annual assessment of staff performance and appraisals	Headteacher / SLT / Heads of Department
S21	**Operational – 2 Human resources risk**	**Staff risk**	Staff matters not referred to HR professionals, may lead to tribunals	2	2	Treat	The Academy has bought into Juniper HR Services. They should be consulted on employment related matters.	Headteacher / Business Manager
S22	**Operational – 2 Human resources risk**	**Staff risk**	Recruitment risk (unable to recruit teachers for certain subjects	3	4	Treat	Advertise in all major teacher recruitment websites and publications. Use temporary staff as interim measure.	Headteacher/SLT
S23	**Operational – 2 Human resources risk**	**Staff risk**	Training risk	2	2	Treat	Continued Staff Development. INSET sessions and training budget in place.	Headteacher / Deputy Head (Academic)/ Business Manager
S24	**Operational – 2 Human resources risk**	**Staff risk**	Technical capability risk	2	2	Treat	Training/recruitment procedures and Continuing professional development budget	Headteacher / Deputy Head (Academic)/ Business Manager
S25	**Operational – 2 Human resources risk**	**Volunteer risk**	Excessive reliance on volunteers	1	2	Tolerate	No use of volunteers to date	Headteacher / SLT
S26	**Operational – 2 Human resources risk**	**Volunteer risk**	Lack of control over volunteers	1	2	Tolerate	If used - volunteers would work with paid staff.	Headteacher / SLT
S27	**Operational – 2 Human resources risk**	**Volunteer risk**	Training risk	1	2	Tolerate	If used - volunteers would work with paid staff.	Headteacher / SLT
S28	**Operational – 2 Human resources risk**	**Volunteer risk**	Risk that volunteers are not of appropriate quality/vetted/subject to police checks	1	4	Treat	Volunteers would be subject to DBS checks.	Headteacher's PA