

Description <i>A clear statement of the identified risk</i>	Consequence <i>A clear statement of the effect if the risk is realised</i>	Existing controls <i>Details of controls <u>already in place</u> designed to mitigate the risk and/or address the consequence (contingency plans)¹</i>		Prob. <i>Likelihood of risk being realised H(igh), M(edium), or L(ow)</i>	Impact <i>Severity of consequence H(igh), M(edium), or L(ow)</i>	Risk Rating <i>Combine Probability / Impact score</i>	Tolerate / Accept (Y/N) <i>[see risk matrix.]</i>	Further Actions to improve controls <i>If risk <u>not</u> tolerable / acceptable</i>	Action by date	Resp. Officer
		A) Existing controls which mitigate the risk	B) Existing contingency plans to address consequences							
Undeclared unspent criminal convictions	<ul style="list-style-type: none"> Employing someone with and unspent criminal conviction which could pose a risk to staff and/or resources 	<ul style="list-style-type: none"> Declaration on application form 	<ul style="list-style-type: none"> 	L	L	L/L	Y	<ul style="list-style-type: none"> 		
Concealed adverse financial/ credit history	<ul style="list-style-type: none"> Dependant on role undertaken, could pose risk to resources 	<ul style="list-style-type: none"> Declaration of interest form. If employed, Head of Team/ CEO/ Audit informed 	<ul style="list-style-type: none"> 	L	L	L/L	Y	<ul style="list-style-type: none"> 		
Manipulating HR Database information	<ul style="list-style-type: none"> Incorrect data held could affect pay and pensions details 	<ul style="list-style-type: none"> Six monthly audit checks on changes made to the HR Database 	<ul style="list-style-type: none"> 	L	L	L/L	Y	<ul style="list-style-type: none"> 		
False identity	<ul style="list-style-type: none"> Dependant on level of post, could pose risk to resources and reputation 	<ul style="list-style-type: none"> Passport, birth certificate, driving license, marriage/civil partnership certificate, qualification certificates obtained on appointment 	<ul style="list-style-type: none"> 	L	M	L/M	Y	<ul style="list-style-type: none"> 		

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False qualifications or reference	<ul style="list-style-type: none"> • Dependant on level or requirements of post, could pose risk to resources and reputation 	<ul style="list-style-type: none"> • Original qualifications certificates photocopied by HR. • References requested directly to employers – minimum of two for each member of staff. In event that reference not received, alternative is requested or can be contacted from application form. • Ensure that dates correspond on references and certificates to match age/ employment details 	L	M	L/M	Y	<ul style="list-style-type: none"> • 		
False Health and Learning applications	<ul style="list-style-type: none"> • Staff provided with more than £100 allowance • Staff claiming for products not purchased • Impact on resources and reputation 	<ul style="list-style-type: none"> • Forms must be authorised prior to purchase • Original receipts must be provided or bank statements as proof of payment • HR/Payroll check that employee has not exceeded claim amount when applying 	L	L	L/L		<ul style="list-style-type: none"> • 		

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Falsely claiming or not claiming annual/flexi leave	<ul style="list-style-type: none"> Staff taking too many hours or taking time off without booking on leave system/ flexi sheet Impact on resources and reputation 	<ul style="list-style-type: none"> Flexi sheets and annual leave system will cross match to ensure time allocated is accurate. Annual leave must be booked in advance and approved by line manager, retrospective function administered by HR Flexi time must be requested before hand and sheets checked by line mangers and reviewed by head of team HR access to Flexi and Annual leave records 	L	L	L/L	Y	<ul style="list-style-type: none"> 		
Falsely recording hours	<ul style="list-style-type: none"> Impact on resources due to staff not working contractual hours or claiming more than contractual hours. Risk to reputation 	<ul style="list-style-type: none"> Flexi sheets checked by line managers monthly, and reviewed by head of team 	L	L	L/L		<ul style="list-style-type: none"> 		

¹ Must be expressed in 'control language' – i.e. controls must be tangible/auditable.

² Register must contain all objectives for which Team is responsible, including those in HEFCW's current Corporate Strategy and Corporate & Operational Plan.