



ARDEN MULTI ACADEMY TRUST – SCHOOL LEVEL (Lode Heath School) RISK REGISTER 2021 - 2022

Identifying and managing the possible and probable risks that our Trust may face is a key part of effective governance for Arden Multi - Academy Trust. By managing risk effectively, trustees and governors can help ensure that:

- significant risks are known and monitored, enabling Trustees and governors to make informed decisions and take timely action;
- the Trust makes the most of opportunities and develops them with the confidence that any risks will be managed;
- forward and strategic planning are improved;
- the Trust's aims are achieved more successfully;
- reporting in its annual report on the steps the Trust has taken to manage risk helps to demonstrate accountability to stakeholders including beneficiaries, funders, employees and the general public.

The responsibility for the management and control of the Arden Multi Academy Trust rests with the Trust Board and the Chief Executive Officer. **The Trust will keep a risk register which will be a working document owned by the Trust Board, with delegated responsibilities for ongoing review and oversight passed to the Audit and Risk Committee. AMAT school LGB's have their own Risk Register which is an agenda item at each termly meeting and the Associate Headteacher will update as required and report to the CEO.** All organisations will face some level of risk in most of the things they do. The diverse nature of the education sector means that Multi Academy Trusts face different types of risk and levels of exposure. AMAT has aligned its response to risk alongside their strategic objectives and will ensure that the Trust continues to fulfil these now and, in the future. Risk will be considered in terms of the wider environment in which the Trust operates – the financial climate, society and its attitudes, sustainability and the natural environment and changes in the law and government policy, technology and knowledge will all affect the types and impact of the risks that the Trust is exposed to. **The identification of risks is best done by involving those with a detailed knowledge of the way the Trust and its constituent schools operate.** Trustees will seek to ensure that Local Governing Bodies follow the risk management procedures of the Trust Board. **Discussion between the CEO, Executive Headteacher, Chief Finance Officer, Associate Headteachers will be essential in ensuring that each school follows appropriate procedures and that the Trust Risk Register as a whole represents a reliable assessment of the Trust's overall risk position. Risk management is a dynamic process ensuring that new risks are addressed as they arise. It should also be cyclical to establish how previously identified risks may have changed. Risk management is not a one-off event and should be seen as a process that will require monitoring and assessment. Senior leaders must take responsibility for implementation.**

Probability	Description	Indicator
High – 3	Likely to occur each year, or more than 25% chance of occurrence within the next 12 months	Potential of it occurring several times within a 4 year period Has occurred recently
Medium – 2	Likely to occur within a 4 year time period or less than 25% chance of occurring within the next 12 months	Could occur more than once within a 4 year period Some history of occurrence
Low – 1	Not likely to occur within a 4 year time period or less than 5% chance of occurrence	Has not occurred Is not likely to occur

Impact	Description
High – 3	The financial/reputational impact will be significant [in excess of £50,000] Has a significant impact on the Trust/school's strategy or on teaching and learning Has significant stakeholder concern Can cause significant reputational damage to the Trust/school
Medium – 2	The financial/reputational impact will be moderate [between £25,000 and £49,000] Has no more than a moderate impact on strategy or on teaching and learning Moderate stakeholder concern Can cause moderate reputational damage to the Trust/school
Low – 1	The financial/reputational impact is likely to be low [below £5,000 and £24,000] Has a low impact on strategy or on teaching and learning Low stakeholder concern Is unlikely to cause any reputational damage to the Trust/school

IMPACT	Medium 3	High 6	High 9
	Low 2	Medium 4	High 6
	Low 1	Low 2	Medium 3
	PROBABILITY		

Notes:

1. Each school has its own risk register based on this model and it is reviewed termly at meetings with the CEO/EH and AHT
2. The AHT/CEO/EH keep this risk register under continual review in the light of changing circumstances
3. The register is formally reviewed by the LGB and Trust Audit and Risk Committee at least three times a year with any movement recorded
4. Urgent changes may be made on the recommendation of the AHT in consultation with the CEO/EH, subject to ratification by the LGB at the earliest opportunity
5. The school level register follows the high level strategic priorities of the Trust
6. **There is a separate Covid Risk Register covering risks arising during the Covid Pandemic**

(i) Leadership and management – we drive continuous improvement of leadership at all levels, within our academies, with the expectation of strongly “Good” with growing evidence of a high percentage of “Outstanding” leadership, CPD, retention, recruitment and succession planning programmes

Risk Ref No	Risk Description	Risk Consequences	Risk Score Likelihood x Impact	Existing Internal Controls and Evidence	Existing Controls Adequate: Fully or Partially met	Person Responsible Trust Lead	Movement Comments
1	The School lacks direction through poor strategic and operational planning	<ul style="list-style-type: none"> The school has no clear vision, strategic plan and objectives Issues are addressed piecemeal with no strategic reference Financial management is not aligned with strategic priorities Loss of reputation with key stakeholders 	1x3= 3 Medium	<ul style="list-style-type: none"> Strategic and Operational Plans set out the key aims and objectives of the Trust The School has an agreed Vision Statement aligned with the Trust vision The School Development Plan sets out the strategic and operational priorities of the School Operational delivery is regularly reviewed by the SMT/LGB and reported to the LGB/Trust Board 	Fully	CEO/EH School – AHT LGB	
2	Failure to retain good staff threatens the performance of the School	<ul style="list-style-type: none"> Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and Professional Association relationships 	1x3= 3 Medium	<ul style="list-style-type: none"> The Trust’s Recruitment, retention and CPD strategy is implemented and kept under review at School level Thrive programme is in place and monitored at School level Regular reports on staff recruitment and retention are made to the LGB and Trust B&P Committee 	Fully	EH/CEO School – AHT LGB	

3	Failure to ensure that staff recruited to the School have the required skills and expertise to meet the strategic objectives of the School	<ul style="list-style-type: none"> Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and Professional Association relationships 	2 x 2= 4 Medium	<ul style="list-style-type: none"> Recruitment, retention and CPD strategy is implemented and kept under review at School level Thrive programme and staff welfare arrangements are in place and kept under review at School level Regular reports on staff recruitment and retention are made to the LGB and Trust B&P Committee 	Fully	EH/CEO School – AHT LGB	
---	--	---	--------------------	--	-------	--------------------------------	--

(ii) Outcomes for pupils - Standards of Achievement and Progress – we support and challenge our schools to focus on raising achievement for all our learners so that all key measures are rapidly improving to at least nationally expected standards with many schools achieving outstanding results, which are well above national standards. We also work to ensure the highest possible standards of education at Post-16 which is enhanced with enrichment activities and outstanding preparation for the next level of education or for the world of work

4	A drop in School performance outcomes e.g. P8/A8 threatens the performance of the School	<ul style="list-style-type: none"> The reputation of the School/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1x3 = 3 Medium	<ul style="list-style-type: none"> Experienced SMTs closely monitor performance and address downward trends Structured School Improvement Strategy in place, monitored by senior team and EH Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board Detailed scrutiny of outcomes through T&L and BSII 	Fully	EH School – AHT LGB	
---	--	---	-------------------	--	-------	----------------------------	--

iii) Teaching, Learning and Assessment – we pay unrelenting attention to classroom practice and pedagogy to ensure teaching is strongly “Good” with many areas of “Outstanding practice” so that our learners can achieve and make excellent progress in our schools. The Quality of Teaching and Learning across the trust must ensure our children overcome any barriers and access a rich well- balanced curriculum – our aim is to raise a love of learning through excellent teaching

5	School receives an OFSTED judgement of RI/Inadequate	<ul style="list-style-type: none"> The reputation of the School/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1x3 = 3 Medium	<ul style="list-style-type: none"> Experienced SMTs closely monitor performance and address downward trends Ofsted training is provided to staff and governors Regular reporting and review of performance (KPIs) is made to LGB and Trust Board, with review of Ofsted readiness 	Fully	EH School – AHT LGB	
6	The School Improvement Model is ineffective in supporting high standards of teaching and learning	<ul style="list-style-type: none"> Standards decline, jeopardising the performance of students The reputation of the School/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1 x 2 = 2 Low	<ul style="list-style-type: none"> The Trust has a robust School Improvement model overseen by the EH which is implemented at School level Regular meetings between the EH and school leaders to monitor performance and standards Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board School improvement is supported through structured CPD programme Staff performance issues are addressed promptly through support procedures 	Fully	EH School – AHT LGB	

7	The School's CPD programme fails to support staff development and a culture of continuous improvement	<ul style="list-style-type: none"> • Risk that staff fail to keep abreast of developments and good practice • Risk that skills become out of date and that student outcomes are jeopardised • Risk of poor morale affecting staff and students 	<p>1 x 2 = 2</p> <p>Low</p>	<ul style="list-style-type: none"> • The Trust has a robust CPD programme which supports staff's development needs at School level • Development needs are identified through appraisal and structured needs analysis • CPD provision is continually evaluated to ensure quality and relevance 	Fully	EH School AHT LGB	
8	The School fails to follow Examination Board procedures for the conduct of assessments and release of results	<ul style="list-style-type: none"> • Student outcomes and opportunities beyond school are jeopardised • Legal challenge by parents/carers • Challenge by Ofsted/RSC • The reputation of the School/Trust is damaged • Risk of poor morale affecting staff and students • Risk of declining student enrolment • Reduced pupil enrolment brings reduction in finance 	<p>1x3=3</p> <p>Medium</p>	<ul style="list-style-type: none"> • Examination procedures are approved at Trust and school level and verified as compliant with Exam Board regulations • The conduct of all assessments is overseen by the AH of each school • The EH quality assures the exam procedures in each school • Full training is given to all staff involved in the examination process, including results release • The responsibilities of staff for the assessment and examination process are clearly set out in job descriptions • That any release or upload of exam results to students is overseen personally by a member of the senior staff • That line managers and officers of the AMAT are notified immediately of any breach of examination regulations and that support is sought 	Fully	EH School AHT LGB	

(iv) Personal Development, Pastoral Care, Behaviour and Safeguarding – we provide high standards of pastoral care and support of children and young people in all our schools so attendance and behaviour for learning is consistently “Good” or better with outstanding safeguarding practices. We must ensure our students will be safe, develop character and positive relationships enabling each individual to develop into strong independent adults. We demand the highest standards of behaviour across our trust.

9	Failure to ensure that the School is compliant with safeguarding requirements under KCSII	<ul style="list-style-type: none"> • Risk of harm to students • School is subject to Ofsted inspection and placed in a category • The reputation of the School/Trust is severely damaged • Risk of poor morale affecting staff and students • Risk of declining student enrolment • Reduced pupil enrolment brings reduction in finance 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Safeguarding policy adopted and kept under review by LGBs and Trust Board in the light of KCSII • Trained DSLs in School • Regular staff training programme implemented and kept under review • Associated policies – Parent and Carer Communication, CRB, Citizenship, PSHE, in place and monitored by LGBs and the Trust 	Fully	EH School – AHT LGB	
---	---	---	---------------------	---	-------	-------------------------------	--

(v) Community and Parental Engagement – we develop our schools so that they are very popular, often oversubscribed and the first choice for parents in our community. Parents and the community have a clear understanding of and high satisfaction levels of the Trust and the significant role it has in improving the

10	Failure to recruit sufficient learners to make the School viable	<ul style="list-style-type: none"> • Reduced pupil enrolment brings reduction in finance • Risk that the confidence of stakeholders is diminished • Staff redundancies risk quality of education and poor morale affecting staff and students 	1x 2 = 2 Low	<ul style="list-style-type: none"> • Admissions Policy in place and monitored by the LGB and Trust Board • Monthly admission and school roll report made by School to CEO • Parent and Carer Communication Policy in place and monitored • Marketing Strategy in place and monitored 	Fully	CEO/EH School – AHT LGB	
----	--	--	-----------------	--	-------	-----------------------------------	--

				<ul style="list-style-type: none"> Networking with key stakeholders, including feeder schools 			
11	Failure to respond to the risks and opportunities associated with changes in the local environment – e.g. housing development/local planning decisions/developments in competitor establishments	<ul style="list-style-type: none"> Risk that competitors make a more attractive offer to students Risk that stakeholders fail to differentiate between Trust schools and their competitors Risk of competition for the same share of the market Risk that the School/Trust fails to respond to new opportunities – e.g. housing developments 	1 x 1 = 1 Low	<ul style="list-style-type: none"> The Trust Marketing Strategy includes survey of local opportunities/threats Effective Networking continues to engage with key stakeholders on local planning issues Designated member of staff with responsibility for Business and Community Meeting structures between CEO/EH and HT/AHT 	Fully	CEO School – AHT LGB	
12	Failure to assess and maintain alliances and partnerships with other organisations, including DfE, RSC, Local Authority	<ul style="list-style-type: none"> Risk that key alliances or partnerships are not made or effective Risk to the integrity of the School from failures of partner organisations The reputation of the School/Trust is damaged Opportunities for growth of the School are missed 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Networking with key stakeholders and partner organisations, including the DfE, RSC, LA Visits to other schools Attendance at local head teacher meetings and regional events 	Fully	CEO School – AHT LGB	
<p>vi) Effective management and trust services – we commit to ensuring the Trust is well led and managed, rigorously held to account by the Trust Board, with effective services for our schools which provide value for money. Budget targets are met each year and the Trust has the financial capacity to support school improvement using the Trust Development Fund.</p>							
13	Failure to monitor the effect of risks over which the School has no or little control such as disruption caused by economic or natural disaster	<ul style="list-style-type: none"> Financial risk associated with maintenance/recovery of key systems Risk of litigation due to negligence claims The reputation of the School/Trust is damaged 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Disaster Recovery Plan in place and annually reviewed Appropriate insurance in place covering key risks - Buildings, Fixtures, Fittings, Employer, Public Liability, Professional Indemnity Insurance policy annually reviewed 	Fully	CEO CFO School – AHT LGB	

14	Failure to ensure that Information Technology is maintained to the highest standard	<ul style="list-style-type: none"> IT security risk – e.g. cyber-attack Risk of the corruption or loss of data Risk that IT equipment and services are outdated, no longer fit for purpose and inefficient Financial risk – e.g. high maintenance costs of outdated systems Risk of litigation – data loss, failure to comply with GDPR 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Trust IT Support contract covers all key security issues IT strategy takes full account of security risks Staff training raises awareness of cyber security issues and protection measures IT delivery is closely monitored by IT support team at School level 	Fully	CEO School – AHT LGB	
15	Failure to ensure that the Management Information produced by the School is timely and accurate	<ul style="list-style-type: none"> Risk that financial and non-financial performance can't be relied upon by SMT because it is out of date/inaccurate Risk that financial and non-financial performance can't be challenged by the SMT/LGB because it is out of date/inaccurate Risk to the School of receiving poor audits and inspections 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular review of IT systems by IT manager Regular scrutiny of timeliness and accuracy of management information by SMT Regular reporting of management information to LGBs and Trust Effective Internal and External Audits reported to A&R 	Fully	CEO/EH School AHT LGB	
16	Failure to ensure that Data Protection systems, procedures and processes are adequate	<ul style="list-style-type: none"> Risk that the legislative requirements relating to the protection of data are not known or complied with Risk that financial and non-financial performance can't be managed by SMT because it is out of date Risk to the School/Trust of receiving poor audits and inspections Risk of enforcement action by the Data Commissioner 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Trust has Data Protection policies and procedures in place, which are monitored and annually reviewed Trust Data Protection Officer supports policies and procedures at School level Staff and governor training provided as necessary 	Fully	CEO/ GDPRM School – AHT LGB	

17	Failure to ensure that the income due to the School is collected in a timely and efficient manner and fully reconciled as per financial regulations	<ul style="list-style-type: none"> Financial risk to operations Risk to the achievement of the School's strategic objectives Risk of competitors competing for donations and grants from the same providers Risk that grants may not be used for the purposes they were intended Risk of poor audit reports and the claw back of funding 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system Effective Internal and External Audits reported to A&R 	Fully	CEO School – AHT LGB
18	Failure to ensure that the School has adequate insurance cover to cover replacement costs	<ul style="list-style-type: none"> Financial risk if insurance cover inadequate Risk of litigation Reputational risk if operations adversely affected 	1 x 1 = 1 Low	<ul style="list-style-type: none"> Part of the Trust's insurance review process organised by the Finance team Regular meetings with insurance companies; Buildings insurance held by the Trust/schools Employee insurance held by the Trust as employer; Vehicles hired through the Trust/school Fixtures, Fittings, Employer, Public Liability, Professional Indemnity held by the Trust/school 	Fully	CEO CFO School – AHT LGB
19	Failure of the School to monitor expenditure through accurate and regular management accounts	<ul style="list-style-type: none"> Expenditure is not controlled within budget and is not directed according to need Management and admin costs are perceived as too high by the stakeholders MAT/school reserves are seen to be too high and not directed towards meeting the school objectives 	1 x 1 = 1 Low	<ul style="list-style-type: none"> Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations Regular monitoring reports to SMT, B&P and LGBs Effective Internal and External Audits reported to A&R 	Fully	CEO CFO School – AHT LGB
20	Failure of the School to have financial management systems that prevent fraud	<ul style="list-style-type: none"> Financial risk Reputational risk Risk to the achievement of the Trust's/school's strategic objectives Risk to the financial viability of suppliers Risk of breaking financial regulations Risk of poor audit reports Risk of breaking the Bribery Act leading to litigation 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations Regular monitoring reports to SMT, B&P and LGBs Effective Internal and External Audits reported to A&R 	Fully	CEO CFO School – AHT LGB

21	Failure to ensure that Goods and Services are purchased in line with financial regulations and that suppliers are paid in a timely and efficient manner	<ul style="list-style-type: none"> Financial risk Reputational risk Risk to the achievement of the Trust's/school's strategic objectives Risk to the financial viability of suppliers Risk of breaking financial regulations Risk of poor audit reports Risk of breaking the Bribery Act leading to litigation 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure monthly creditor accruals A comprehensive list of suppliers is maintained Finance team ensure accurate use of BACs Payment system Effective Internal and External Audits reported to A&R 	Fully	CFO School – AHT LGB	
22	Failure to implement a risk management strategy	<ul style="list-style-type: none"> Failure to optimise educational opportunities Non-compliance with school funding agency requirements Exposure of the school to unnecessary risk Increased costs e.g. insurance Reputational risk if Trust fails to respond to emerging risks 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Risk policy and register in place and kept under regular review at School and Trust levels Risk Management Group oversee risk across schools Regular consideration of the risk register by SLT/LGB Effective Internal and External Audits reported to A&R 	Fully	CEO School – AHT LGB	
23	Failure to ensure that the Financial Reporting requirements of the School are met	<ul style="list-style-type: none"> Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with Risk that the legislative requirements relating to Accounting Standards are not known or complied with Risk that the Charities Statement of Recommended Practice (SORP) legislative requirements are not known or complied with 	1 x 2 = 2 Low	<ul style="list-style-type: none"> 3 year financial forecasts are produced Regular monitoring reports to SMT, Trust B&P and LGBs Finance team monitor compliance with financial regulations Finance team keep finance policies and procedures under review Effective Internal and External audit reported to A&R 	Fully	CFO School – AHT LGB	

24	Failure to ensure that the School complies with legislation regarding Tax	<ul style="list-style-type: none"> • Risk that legislative requirements relating to VAT, PAYE, National Insurance etc. are not known or complied with • Financial risk • Litigation risk 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Regular monitoring reports to SMT, B&P and LGBs • Finance team monitor compliance with financial regulations • Trust seeks advice from independent VAT consultant • Finance team keep finance policies and procedures under review • Effective Internal and External audit reported to A&R 	Fully	CFO School – AHT LGB	
25	Failure to ensure that an adequate disaster recovery plan is in place in relation to the School's financial systems	<ul style="list-style-type: none"> • Risk that financial information cannot be recovered in the event of a disaster e.g. fire, vandalism, theft • Risk to the delivery of the school's strategic objectives • Significant financial risk • Significant operational risk • Reputational risks if financial costs cannot be recovered 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Disaster Recovery Plan in place and annually reviewed • Trust Business Continuity Plan in place and annually reviewed • Security systems operated by the School • Risk Assessment Policy and Procedures operated by the School • Availability of other Trust/school sites as back up • Off-site back-up storage and enhanced systems to recover information and data 	Fully	CEO School – AHT LGB	
26	Failure to ensure that the School has a robust set of Treasury procedures in place	<ul style="list-style-type: none"> • Risk that cash flow requirements are not forecast • Risk that cash is all committed to investment and insufficient is available to meet short term cash flow needs • Financial risk 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Regular monitoring reports to SMT, B&P and LGBs • Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system • Effective Internal and External audit reported to A&R 	Fully	CFO School – AHT LGB	

27	Failure to ensure that the School has a robust set of Fixed Asset procedures in place	<ul style="list-style-type: none"> Risk that assets are not capitalised Risk that the depreciation rate is not appropriate Risk that replacement schedules are not adhered to 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system Effective Internal and External audit reported to A&R 	Fully	CFO School – AHT LGB	
28	Failure of the School to monitor the performance of the employee pension scheme(s)	<ul style="list-style-type: none"> Risk that the pension scheme(s) are in significant deficit Risk that the employer pension contribution increases significantly Risk that the Trust/school is not making the correct level of contribution to the pension scheme(s) on behalf of the employees Risk that the morale of staff may be affected Financial Risk due to under/over payment 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Staff pension provision made following advice from independent Pension Consultant Teachers' and Local Government pension schemes are historically low risk national schemes Staff contributions implemented by payroll provider Pension provision included within External Audit and reported to A&R 	Fully	CFO School – AHT LGB	

(vii) Governance and Quality Assurance – we ensure high quality Governance across the Trust which require that leaders are accountable, challenged and supported. The Trust has effective quality assurance processes in place and an annual programme of external reviews that affirm its effectiveness

29	Failure to ensure that the objectives of the School are met	<ul style="list-style-type: none"> Risk that the School fails to operate within the strategic objectives agreed by the Trust Board Risk that the School's strategic objectives become out of date or are no longer appropriate Risk that the School receives an unfavourable OFSTED report Risk that the objectives of the School are seen as controversial Reputational risk if the School is seen as poorly governed 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Articles of Association, Schedule of delegation and terms of reference are in place and subject to periodic independent review School Development Plan sets out the key aims and objectives of the School and is annually reviewed 	Fully	CEO/EH School – AHT/LGB	
----	---	---	---------------------	---	-------	--------------------------------	--

				<ul style="list-style-type: none"> AH/SLT carries out monthly monitoring of financial and operational performance Operational delivery is regularly reviewed by the SLT/LGB 			
30	Failure of the School to comply with legislative requirements	<ul style="list-style-type: none"> Financial risk Reputational risk Risk of litigation Risk of poor morale affecting staff and beneficiaries Risk to the future of the Trust/school Reputational risk if Trust/schools seen as poorly governed 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Articles of Association, Schedule of Delegations and terms of reference are in place and subject to periodic independent review Strategic and Operational Plans set out the key aims and objectives of the Trust Risk Policy and Register in place and regularly reviewed Key Policies in place, monitored and regularly reviewed – e.g. Health and Safety, Data Protection. 	Fully	CEO/EH School – AHT/LGB	
31	Failure of the School and the LGB to ensure that there is a robust organisational approach in place to deliver governance	<ul style="list-style-type: none"> Risk that LGB and subcommittees fail to operate effectively Risk that the LGB do not delegate or delegate too much to the Head or SMT Risk that terms of reference are inadequate and unfit for purpose Reputational risk if the School is seen as poorly governed 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Governance overseen at all levels by independent clerk Programme of Governor training and induction in place Register of Governor interests in place and reviewed at each meeting External reviews of governance in the light of good practice measures, e.g. NGA, All Parliamentary Group Programme of LGB self-review in place Annual skills audit of governors 	Fully	CEO School – AHT/LGB	

32	Failure to ensure that the Governors who are recruited possess the skills and experience required to provide effective governance	<ul style="list-style-type: none"> • Risk of insufficient educational knowledge within the Governing Body • Risk that Governors do not have the required experience • Risk that Governors fail to honour their obligations leading to poor availability and attendance at meetings • Risk that too much emphasis is placed on entrepreneurial work and the strategic objectives of the School are then ignored • Risk that Governors become too involved with management of the School • Risk that Governors do not act solely in the interest of the School but for other interests • Risk that the Governing Body lacks financial expertise • Risk that Governors play a "passive" role on the Board 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Structured approach to trustee/governor recruitment – e.g. profile of skills required • Independent Clerk to the Governing Body oversees recruitment process • Governor training and induction programme in place • Register of Governing Body interests in place and reviewed at each meeting • Annual skills audit of governors 	Fully	CEO School – AHT/LGB	
33	Failure to ensure that the School complies with employment/ Health and Safety legislation	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with • Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur • Risk that Data Protection legislation may not be complied with • Risk that Human Rights legislation will not be complied with • Risk that employee contract legislation may not be complied with • Risk that employee Pension legislative requirements are not known or complied with • Risk that Health and Safety legislative requirements are not known or complied with • Health and Safety within School kitchens is now the responsibility of the Trust 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Relevant policies and procedures in place via the Trust/School HR Department • Key decisions taken with professional HR advice • Trust Data Protection Officer supports data protection policies and procedures across schools • Trust Health and Safety Officer supports <ul style="list-style-type: none"> ○ Health Safety Policy ○ First Aid Policy ○ Fire Safety Policy • ‘Competent person’ appointed via an SLA – Southall’s who audit termly and carry out without warning checks – training, policy and compliance 	Fully	CEO/HRM FM School – AHT/LGB	

34	Failure to ensure that the School complies with environmental legislation	<ul style="list-style-type: none"> • Risk that UK legislative requirements are not known or complied with • Risk that EU legislative requirements are not known or complied with • Reputational risk if Trust seen as non-compliant 	1 x 1 = 1 Low	<ul style="list-style-type: none"> • Trust/School sustainability policies (as Landlord of building) in place, monitored and reviewed • Property and Facilities team support and advise on environmental issues 	Fully	CEO/FM School – AHT/LGB	
35	Failure to ensure that up to date information regarding the legislation relating to charities is maintained and kept updated by senior management	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with • Financial risk • Risk that the LGB are not aware of their legislative obligations • Reputational risk if the LGB seen as non-compliant 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Company Secretary and independent Clerk advise on charity legislation • Networking with strategic partners, including attendance at RSC events • EFA Updates reported to Board/School as appropriate • Periodic independent review of governance across the Trust includes review of legislative requirements 	Fully	CFO School – AHT/LGB	
36	Failure to ensure that the School is compliant in respect of the educational requirements of the sector	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the National Curriculum/assessment are not known or complied with • Risk that the legislative requirements relating to child safeguarding/mental health/Prevent are not known or complied with • Failure to implement DfE/ESFA requirements applying to the schools' sector 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Ofsted Inspection evidence reviewed and acted upon • Networking and receipt of information at local, regional and national levels by the CEO/EH • Liaison with the DfE/RSC/ESFA • Meeting structures between CEO/EH and AHDs 	Fully	EH School – AHT/LGB	
37	Failure to ensure that the School is compliant in respect of the requirements of the Government and the Local Authority	<ul style="list-style-type: none"> • Risk that the terms and conditions relating to the payment of grant is not known or complied with • Risk that the legislative requirements relating to licensing are not known or complied with • Reputational risk if School seen as non-compliant 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Independent Clerk to the Governing Body • Reports to SMT and the Governing Body • Ofsted Inspections acted upon • Internal and External Audit • Networking and receipt of information at local, regional and national levels by the CEO/EH 	Fully	CEO/EH School – AHT/LGB	

				<ul style="list-style-type: none"> Meeting structures between CEO/EH and AHDs 			
38	Failure of Key infrastructure components leading to unplanned closures (NA for Park Hall since PFI)	<ul style="list-style-type: none"> Unplanned closures disrupt educational provision Reputational risk if provision disrupted Stakeholder concerns Reputational risk if Trust/School seen as failing to manage risk 	2 x 2 = 4 Medium	<ul style="list-style-type: none"> Disaster Recovery Plan in place and monitored Maintenance and legislative compliance programmes in place Situation monitored monthly by Facilities Manager and Site Manager Service contracts in place 	Fully	CEO FM	Schools AHT/LGB
39	PFI contractor goes bankrupt/fails to deliver on contractual commitments (Park Hall)	<ul style="list-style-type: none"> Financial risk associated with maintenance of buildings under PFI contract Risk to quality of education of students Health and safety related risks if building stock not maintained to required standards Reputational risk if Trust seen as failing to manage building stock 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> PHA Facilities Manager monitors delivery of PFI contract Issues arising from delivery of contract are raised with ESFA, Local Authority and relevant stakeholders Insurance position kept under continual review 	Fully	CFO	
40	Failure of the School to have procedures in place to cover the absence of the AHT or other members of SMT	<ul style="list-style-type: none"> Reputational risk if schools do not have an identified leader Risk of poor morale affecting staff and students Risk to the day to day operation of the School if leadership continuity not guaranteed Risk of poor Ofsted report 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Clear senior staff roles with delegations set out in job descriptions Distributed leadership structures in schools Clear cover arrangements in place and publicised Structure chart reported to the LGB Succession planning arrangements in place 	Fully	CEO/EH	School – AHT/LGB

41	Escape in event of fire from top floor art/science	<ul style="list-style-type: none"> Individuals trapped by fire & life & limb risks IF primary evacuation route is blocked. 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> One appropriate escape route exists with two exits from the building available. Full fire alarm coverage Plans for remedial work in place Assessed by fire chief completed 	Partially	CEO Trust H&S manager AHT	
42	Trees in spinney & Rowood Drive identified as unstable	<ul style="list-style-type: none"> Risk of injury should trees collapse on individuals 	1 x 2 = 2 Low	<ul style="list-style-type: none"> The spinney is currently out of use so access is not permitted Remedial plans are in place. Tree survey completed every 3 years 	Fully	CEO Trust H&S manager AHT	
43	One access route to site for emergency vehicles	<ul style="list-style-type: none"> If the main entrance is restricted in some way, emergency vehicle access is limited. This could result in a delayed response time by emergency services. 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> The fire service or site staff would cut fencing on service road near top pedestrian entrance to create immediate alternative access point. 	Partially	CEO Trust H&S manager AHT	
44	Small gas canisters (camping stoves for Duke of Edinburgh) stored in exterior metal DoE store, next to rear of drama	<ul style="list-style-type: none"> Fire risk/ risk of explosion 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Contained within metal storage unit with locked, walled exterior compound COSHH warning signs on exterior 	Fully	CEO Trust H&S manager AHT	
45	Knot-weed present within spinney, rear of site & Rowood Drive	<ul style="list-style-type: none"> Irritation/ burn to skin 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Contained within fenced areas & restricted access On-going contractual management of knot-wood to maintain its growth 	Fully	CEO Trust H&S manager AHT	

46	Pond – rear of science & in Spinney	<ul style="list-style-type: none"> Risk to life & limb 	<p>1 x 3 = 3 Medium</p>	<ul style="list-style-type: none"> Restricted access – contains within fenced areas Warning signs & life preserver in spinney Risk assessment plan & supervision of students if/ when access is permitted 	Fully	<p>CEO Trust H&S manager AHT</p>	
----	-------------------------------------	---	-----------------------------	--	-------	--	--