



# Exceed Learning Partnership

• EVERY CHILD • EVERY CHANCE • EVERY DAY •

*‘Innovative Education - Transforming Lives’*

## Risk Management Policy

Status	Non-Statutory
Responsible Directors	Directors Audit Committee
Local Governing Body	Risk Management Working Group
Responsible Persons	Mrs. B Nixon
Date Policy Agreed	June 2018
Review Date	September 2020
Next Review Date	September 2021

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**Version Control**

<i>Version</i>	<i>Revision Date</i>	<i>Revised by</i>	<i>Section Revised</i>
V3	August 2018	D Ashmore	None
V4	September 2019	D Ashmore	All sections
V5	September 2020	L Burton	Throughout document Changed responsibility due to no committee roles in Directors/LGB structure Changed Executive Principal to CEO throughout Added in role of the Academy Risk Management Groups

## 1. introduction and Purpose of this Document

This risk management policy (the policy) forms part of the Trust's internal control and corporate governance arrangements. It also explains the Trust's underlying approach to risk management, documents the roles and responsibilities of the board of governors, the risk management group and other key parties. It also outlines key aspects of the risk management process, and identifies the main reporting procedures.

In addition, it describes the process the Local Governing Body and the Directors will use to evaluate the effectiveness of the Trust's internal control procedures.

Exceed Learning Partnership's aim is to provide the highest possible quality of education for all local children, in order to ensure pupils from all backgrounds are able to succeed.

The statements in this policy contribute to our approach to our structures and governance.

- a. The Exceed Learning Partnership is committed to minimising risk through a framework of integrated governance supported by a proactive risk management culture.
- b. Risk can be defined as the combination of the potential likelihood of an event and its impact. In managing our academies there is the potential for events and consequences that constitute opportunities for benefit (upside) or threats to success (downside). Risk Management is concerned with both positive and negative aspects of risk.
- c. In the safety field, it is recognised that consequences are only negative and therefore the management of safety risk is focused on prevention of harm.

## 2. The approach to Risk Management in Exceed Learning Partnership Trust

Risk management is a central part of our strategic management and culture. It is the process whereby we methodically address the risks attached to our activities with the goal of achieving sustained benefit within each activity and across the portfolio of all activities.

The focus of good risk management is the effective identification and treatment of risks. Its objective is to add the maximum sustainable value to all our activities. It focuses on understanding the potential upside and downside of all those factors, which can affect our organisation.

Employees at all levels throughout the trust should include risk management and awareness of risk as a key element of their job description. This supports accountability, performance measurement and reward, thus promoting proactivity.

Key performance indicators for risk management shall be developed, implemented and reviewed to measure the effectiveness of the risk management process

The following key principles outline the Trust's approach to risk management and internal control:

- The Directors have responsibility for overseeing risk management within the Academy Trust as a whole;
- An open and receptive approach to solving risk problems is adopted by the Directors and the Local Governing Body (LGB);
- The CEO and the Executive Leadership Team supports, advises and implements policies approved by the Directors;
- The Academy Trust makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks;
- The LGB, Principal and Senior Leaders are responsible for encouraging good risk management practice within their designated academy; and
- Key risk indicators will be identified and closely monitored on a regular basis.

### 3. Risk management cycle

Identify Risk > Assess > Determine Risk Management Strategy > Respond > Debrief

#### Identifying risks

The process for risk identification cannot be centralised to a core team or function, it must be a fluid part of the day-to-day operation of the organisation and is best done as a joint effort with the focus on things that could adversely affect business objectives across the estate. Risk identification is a core competency and must be developed through the performance management process.

The Exceed Learning Partnership Trust works to a framework of six key areas to identify and classify risks. This allows the organisation to take into consideration both internal and external factors that can positively or negatively affect the organisation. A list of risks will be identified using a variety of techniques including data analysis, risk identification workshops, the establishment of Risk Management Groups in each Academy, options appraisals and incident investigation among others. An example list of typical categories of risks can be found at appendix 1.

Consideration will be given to the following factors

Risks will be categorised into the following framework on the Trust risk register: (The Business and Operations Manager will maintain the Trust's Risk Register; the Business Managers should maintain the Academies Risk Register)

#### Factor

##### Strategic

#### Examples

e.g. Vision, beliefs, values and strategic goals, local, national and international political factors that can affect the organisation. social and cultural dynamics affecting the education system.

##### Operational

e.g. Functions and issues that the academy may face due to transition to academy status. Management information and systems, HR and

	human capital, Income risks.
<b>Health &amp; Safety</b>	e.g. Risk Assessments, fire procedures, school visits
<b>Financial</b>	e.g. internal or external micro- or macroeconomic factors.
<b>Buildings/Premises/ICT</b>	e.g. Security software, emergency planning
<b>Compliance</b>	e.g. legal, regulatory and compliance matters

### Assessment of risk

Assessing risks must be discussed and agreed that all involved are satisfied with the lists of risks. assessment of the existing internal controls and determine appropriate action using the risk management strategy below. All risks requiring additional action must have an identified person to take responsibility for the action, review procedures should be discussed and how the reporting of actions will be conducted.

Risks will be assessed on two core criteria:

- **Likelihood:** the probability of the risk occurring
- **Impact:** the positive or negative ramifications of the risk coming to fruition.

## Likelihood X Impact = Risk profile (severity)

Both criteria will be scored on the risk register, between 1 (the lowest) and 5 (the highest). When multiplied together, the total provides a quantifiable risk profile. The risk profile will then determine the severity of the risk through a simple Red, Amber, Green framework (severity).

Risk profile score (severity)	RAG rating (Red, Amber, Green)
1 ≥ 5	Green
6 ≥ 12	Amber
13 ≥ 25	Red

### Likelihood

**\*Likelihood scores are based on an event taking place within one academic year or less**

1	Under 1% chance of occurring.
2	1% - 25% chance of occurring.
3	25% - 50% chance of occurring.
4	50% - 75% chance of occurring.
5	Over 75% chance of occurring. Almost certain.

### Impact

1	Very Low	Insignificant. Nothing to worry about.
2	Low	Fairly serious. Possibly important, but can be managed although it would take up some time and resources.

3	Medium	Serious. A threat, which could cause us reasonable Problems and would definitely take up time and resources.
4	High	Very serious. Would hinder the achievement of our strategic objectives and/or would take up considerable time and resources.
5	Very High	Major disaster. Could seriously undermine the standing and position of the organisation.

A risk matrix (see Appendix 2) will be used to plot each risk, these will then be recorded in the risk register.

The assessment of each risk will take into consideration the control measures currently in place to manage the risk. The controls identified will be assessed to determine whether they are an appropriate mitigation of the risks identified. The value for money of the chosen responses needs to be considered, i.e. it is as important to avoid over-control of minor risks as under- control of serious risks.

With this exercise complete, the Directors /LGBs will decide what their risk appetite is, (what level of risk they are willing to tolerate using the Risk Management Strategy below This will determine what response the Directors / LGBs wishes to make to each risk.

### Risk management strategy

The risk management strategy determines the way in which the organisation will respond to a risk. The trust has adopted four categories of risk response type:



**Transfer** – Through conventional insurance or by supporting a third party to take the risk in another way.

**Tolerate** – The Trusts ability to do anything about some risks may be limited, or the cost of taking any action maybe disproportionate to the potential benefit gained: common for large external risks. In these cases, the response may be to tolerate but the risk should be tracked so the Trust is ready to reconsider and act should the risk escalate. Tolerance levels must be set that determine the level of risk and inform the decision making process.

**Treat** - Most risks will fall within this category. The purpose of taking action to reduce the chance of

risk occurring is not necessarily to obviate the risk, but to contain it to an acceptable level. Risk will be dealt with at an appropriate level where the responsibility to decide on action will rest. Other risks may translate into activities designed to mitigate them. As is the case with any change in course of action, new risks may be encountered which subsequently require management.

**Terminate** – Do things differently thus removing the risk wherever it is feasible to do so

### **Risk Owner/Action Planning/Risk Register**

Any risks requiring treatment should be recorded in a risk register, areas to be considered as risk have been identified in Appendix 3. The actions required to produce an acceptable control system must be identified in the appropriate column in the risk register which will in turn create the action plan to address the risk. It should be clear who the actions have been allocated to (risk owner) along with a deadline for the action to be completed and a scheduled date for review. The risk owner will identify stakeholders with an interest in or affected by the risk and consult with them to establish their relationship with the risk and what influences this might have on the risk management process.

A final version of the register will be considered at the Audit Committee meetings, a report identifying key risk will be produced and circulated to all Directors so that they are aware of the risk management and the controls in place to limit exposure to the risk.

### **Monitoring and Review/Risk Response**

The risk register will be monitored by the Business and Operations Manager with any known risks not already identified on the academies risk register being brought to the attention of the Principal and Business Manager. A final version of the risk register will be reviewed regularly by Directors, Risk Management Groups and LGBs to ensure that risks are identified and that appropriate controls and responses are in place and to ensure that;

- New risks/escalating risks are identified
- Planned actions are carried out in line with agreed timescales
- Updating of the risk register as risks occur/change over time
- Early signs of developing risks are identified as early as possible

The Risk Management group (Audit Committee) will consider the Risk Management Policy, Risk Register and the Risk Management Action Plan on an annual basis. They will prepare a report for the consideration of the Governing Body which:

- Identifies and evaluates the significant risks faced by the Academy
- Makes recommendations concerning the content of the policy, action plan and register

The Directors will consider their report and approve any changes to the policy, the action plan and the register in the final meeting of the year.

- LGBs will review the Risk Management Action Plan and the Risk Register at the final meeting

of each term. They will:

- Review the progress of the implementation of the Risk Management Action Plan
- Consider all risks, their status and their controls to ensure that they are still appropriate.
- Where a weakness is identified agree clear actions, timescales and responsibilities.
- Update the action plan and the register as required.

Following this meeting a report of the review will be presented to the next meeting of the Directors. Governors will consider the report and its recommendations and approve any subsequent actions.

### **Post implementation debrief**

The final stage of the risk management cycle is to conduct a debrief after the implementation of the management strategy to assess the effectiveness of the strategy.

## **4. Escalation**

Risk should be understood and reported at all levels within the Trust.

### **The Trustees should:**

- know about the most significant risks facing the organisation through monitoring of the Risk Register;
- ensure appropriate levels of awareness throughout the organisation;
- know how the organisation will manage a crisis;
- know the importance of government and stakeholder confidence in the company; be assured that the risk management process is working effectively; and
- publish a clear risk management policy covering risk management philosophy and responsibilities.

### **Local Governing Bodies should:**

- know about the most significant risks facing their school and have a local risk register;
- ensure appropriate levels of awareness throughout the local leadership and the Academy Risk Management Group;
- know how their school will manage a crisis;
- know the importance of government, parents and local community confidence in the schools;
- be assured that the risk management process is working effectively;

### **Principals, Headteacher's should:**

- be aware of risks which fall into their area of responsibility, the possible impacts these may have on other areas and the consequences other areas may have on them;
- have performance indicators which allow them to monitor the key business and financial activities, progress towards objectives and identify developments which require intervention;
- have systems which communicate variances in budgets and forecasts at appropriate frequency to allow action to be taken; and
- report systematically and promptly to the Trustees any perceived new risks or failures of existing control measures highlighted within the school's risk register.

**Individuals should:**

- understand their accountability for individual risks;
- understand how they can enable continuous improvement of risk management response;
- understand that risk management and risk awareness are a key part of our culture; and
- report systematically and promptly to senior management any perceived new risks or failures of existing control measures.

## 5. Role of the Local Governing Body (LGB)

The role of the LGB in the management of risk is to:

- Set the tone and influence the culture of risk management within the Academy.
- Determine whether the Academy is 'risk taking' or 'risk averse' as a whole or on any relevant individual issue.
- Determine what types of risk are acceptable and which are not by liaising with the CEO and Risk Management Group.
- Set the standards and expectations of staff with respect to conduct and probity.
- Ensure the Trusts Risk Register is implemented and reviewed regularly (at least termly)
- Monitor and manage risks identified on the action plan automatically developed from further controls identified in the Risk Register.
- Monitor the management of significant risks to reduce the likelihood of unwelcome surprises or impact and document any actions taken.
- Satisfy itself that the less significant risks are being actively managed, with the appropriate controls in place and working effectively.
- Annually review the academy's approach to risk management and approve changes or improvements to key elements of its processes and procedures.

## 6. Role of the Risk Management Group (RMG)

Exceed Learning Partnership has designated the Audit Committee as the risk management group. Key roles of the risk management group are to:

- Take overall responsibility for the administration and implementation of the risk management process;
- Identify and evaluate the significant risks faced by the Academies in the Trust for consideration by the Directors;

- Approve major decisions affecting the Trust's risk profile or exposure.
- Provide adequate information in a timely manner to the LGB and its committees on the status of risks and controls;
- Ensure that all Academies in the Trust adopt the schemes of delegation and apply these.
- Report on risk management action plan implementation at each meeting of the Directors. Undertake an annual review of effectiveness of the system of internal control and provide a report to the Directors and LGB.

## 7. Risk Management as Part of the System of Internal Control

The system of internal control incorporates risk management. This system encompasses a number of elements that together facilitate an effective and efficient operation, enabling the Trust to respond to a variety of operational, financial, and commercial risks. These elements include:

### *a. Policies and Procedures*

Attached to significant risks are a series of policies that underpin the internal control process.

The policies are set by the Directors and implemented and communicated by the Executive Leadership Team to staff. Written procedures support the policies where appropriate.

### *b. Monthly Reporting*

Comprehensive monthly reporting is designed to monitor key risks and their controls. Decisions to rectify problems are made at regular meetings of the Directors and the LGB if appropriate.

### *c. Business Planning and Budgeting*

The business planning and budgeting process is used to set objectives, agree action plans, and allocate resources. Progress towards meeting business plan objectives is monitored regularly.

### *d. High Level Risk Action Plan (significant risks only)*

The risk management action plan is compiled by the risk management group and helps to facilitate the identification, assessment and ongoing monitoring of risks significant to the Trust. The document is formally appraised annually but emerging risks are added as required, and improvement actions and risk indicators are monitored regularly, (*overseen by Business and Operations Manager and the RMG*)

### *e. Individual Academy Risk Plans*

Significant risks within an Academy are identified via the Academy self-assessment process in the Local Governing Board meetings. Required actions identified are added to the risk register which automatically creates an action plan to be followed and reviewed regularly to ensure the controls have been implemented to mitigate risk further. The Risk Register is shared with the Business and Operations Manager who analyses the register and feeds back to the Principal/Business Manager if there are any concerns which need to be addressed. The register and action plan is then agreed by the LGB and RMG.

*f. Finance Committee (Audit)*

The Audit Committee in their report to the LGB on internal controls alerts governors to any emerging issues. In addition, the Audit committee oversees internal audit, external audit and management as required in its review of internal controls. The committee is therefore well placed to provide advice to the Directors and LGB on the effectiveness of the internal control system, including the Trust's system for the management of risk.

*g. Internal Audit Programme.*

Internal audit is an important element of the internal control process. Apart from its normal programme of work, internal audit is responsible for aspects of the annual review of the effectiveness of the internal control system within the organisation.

*h. External Audit*

External audit provides feedback to The Audit Committee on the operation of the internal financial controls reviewed as part of the annual audit.

*i. Third Party Reports*

From time to time, the use of external consultants will be necessary in areas such as health and safety, and the implementation of the Disability Discrimination Act. The use of specialist third parties for consulting and reporting can increase the reliability of the internal control system.

## 8. Annual Review of Effectiveness

The Directors are responsible for reviewing the effectiveness of internal control of the Trust, based on information provided by the Risk Management Group and LGBs. Its approach is outlined below.

For each significant risk identified, the Directors will:

- Review the previous year and examine the Trust's track record on risk management and internal control

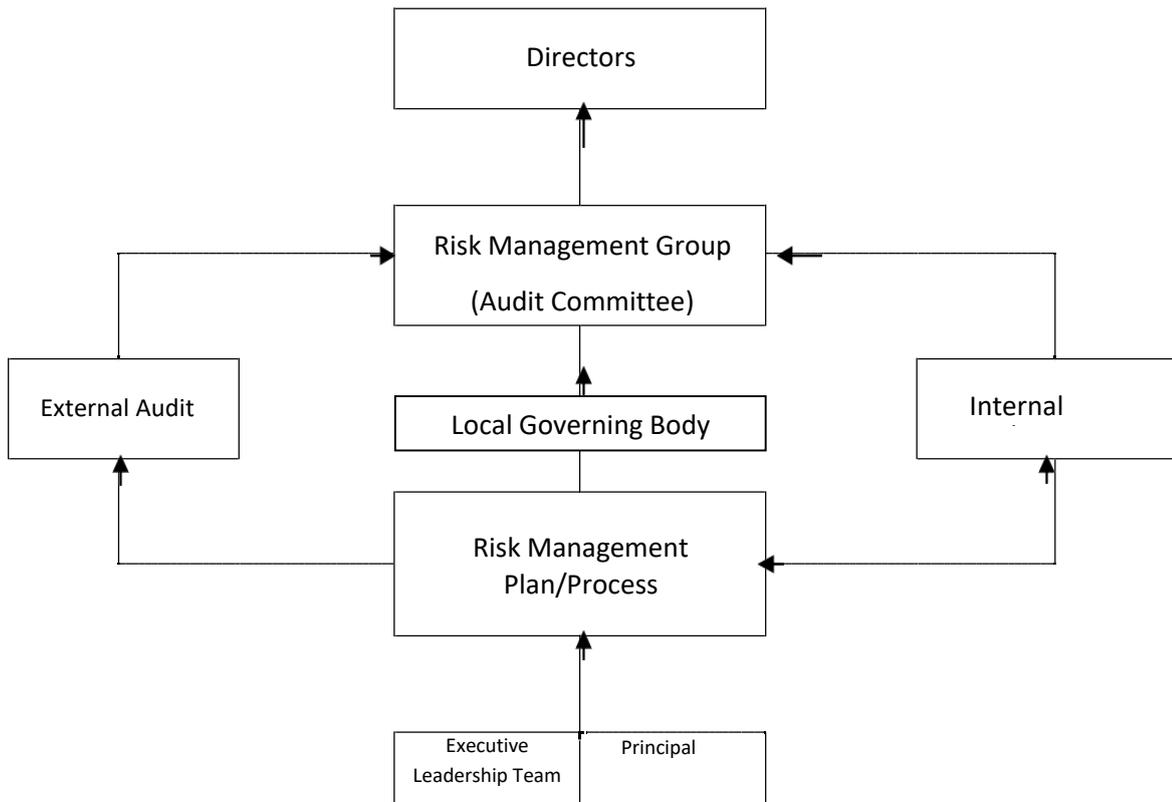
- Consider the internal and external risk profile of the coming year and consider if current internal control arrangements are likely to be effective.

In making its decision the Directors will consider the following aspects:

- a. **Control environment:**
  - The Trust's objectives and its financial and non-financial targets;
  - Organisational structure and calibre of the Executive Leadership Team;
  - Culture, approach, and resources with respect to the management of risk;
  - Delegation of authority; and public reporting.
- b. **On-going identification and evaluation of significant risks:**
  - Timely identification and assessment of significant risks; and prioritisation of risks and the allocation of resources to address areas of high exposure.
- c. **Information and communication**
  - Quality and timeliness of information on significant risks from LGBs; and time it takes for control breakdowns to be recognised or new risk to be identified.
- d. **Monitoring and corrective action:**
  - Ability of the Individual Academy to learn from its problems and its commitment and responsiveness with which corrective actions taken are implemented.

The risk management group will prepare a report of its review of the effectiveness of the internal control system annually for consideration by the Directors. This report is likely to be presented at the final board meeting of the academic year.

## 9. Risk Management Structures, Roles and Ownership



A summary of the roles and responsibilities of each body are set out below:

Body	Expected role in risk management	Formal responsibilities
<p><b>The Directors</b></p>	<p>The Directors are expected to:</p> <ul style="list-style-type: none"> <li>• Set the tone and influence the culture of risk management throughout the Trust;</li> <li>• Approve all major decisions affecting the Trust’s risk profile or exposure;</li> <li>• Frequently monitor the management of significant risks to reduce the likelihood of unwelcome surprises;</li> <li>• Satisfy itself that the less significant risks are being actively managed, with the appropriate controls in place and working effectively; and</li> <li>• Annually review the Trust’s approach to risk management and approve changes or improvements to key elements of its processes and procedures. This should include an examination of the framework/process and its rigor.</li> </ul>	<p>The Directors are ultimately responsible for the Trust’s system of internal control and reviewing its effectiveness.</p> <p>The Directors need to form an opinion on whether an Individual Academy has complied with all the provisions of the Combined Code throughout the year. This will include:</p> <ul style="list-style-type: none"> <li>• Reviewing the key risks together with the controls which have been implemented to mitigate those risks; and</li> <li>• Confirming whether or not there has been a formal ongoing process for identifying, evaluating and managing the Trust’s significant risks that has been in place for the 12 months to 31 July each year and up to the accounts approval date;</li> </ul> <p>The Directors will also need to ensure that there is a regular review of the risk management process and its outcomes. The CEO should ensure an up-date of the risk Management action plan goes to every Directors meeting throughout the year.</p>

Body	Expected role in risk management	Formal responsibilities
<b>Audit Committee</b>	The Audit Committee oversees internal audit, external audit, Information Security Regulation (ISR) auditors and management as required in its review of internal controls. The Committee is therefore well placed to provide advice to the Directors on the effectiveness of the internal control system, including the Trust's system for the management of risk as part of its annual report.	The Audit Committee reports to the Directors on internal controls and alerts Directors to any emerging issues. The Audit Committee meets on at least a termly basis and provides a forum for reporting by the Trust's internal and external auditors, who have access to the Committee for independent discussion.
<b>Risk Management Group (Audit Committee)</b>	<p>The risk management group is comprised of all members of Executive Leadership Team. Its main function is to:</p> <ul style="list-style-type: none"> <li>• Implement policies on risk management an internal control.</li> <li>• Identify and evaluate the significant risks faced by the Trust for consideration by the Directors and Local Governing Body's.</li> <li>• Provide adequate information in a timely manner to the Directors and LGBs on the status of risks and controls.</li> <li>• Undertake an annual review of effectiveness of the system of internal control and provide a report to the Directors.</li> <li>• To prepare a new risk management action plan for each new academic year.</li> <li>• Provide advice and support to colleagues within the Trust and to Local Governing Body's as appropriate.</li> <li>• Provide impetus and drive to the risk management process to ensure the implementation timetable is achieved.</li> </ul>	<p>Its responsibility is to support the Directors and Local Governing Body's in discharging their duties.</p> <p>It should hold regular meetings to ensure action plan implementation is being carried out efficiently and effectively.</p> <p>Rolling programme of internal staff development (<i>all levels</i>)</p>
<b>Local Governing Body</b>	<ul style="list-style-type: none"> <li>• Take overall responsibility for the administration and implementation of the risk management process.</li> <li>• Ensure risk management and its processes are disseminated and become embedded throughout the Academy.</li> <li>• Hold regular meetings and evaluate the risks within the academy.</li> <li>• Provide feedback to the RMG and ensure that the LGB is holding the Principal and Senior Leaders to account for risks within the Trust.</li> <li>• Develop an action plan for the academy which identifies risk factors in accordance with the policy.</li> </ul>	The LGB to implement all policies outlined by the Trust and fully account risks.

<p><b>Internal Audit</b></p>	<p>Internal audit is an important element of the internal control process. Apart from its normal programme of work, internal audit is responsible for aspects of the annual review of the effectiveness of the internal control system within the organisation.</p> <p>Internal audit will need to take account of the corporate risks and the resultant risk management action plan in determining its strategic and annual plan of work.</p> <p>Internal audit should review and test the systems of control over the risk management process to provide assurance to The Audit Committee that the process is well controlled and to confirm that the risk management processes are being carried out in accordance with the agreed procedures and in a timely manner. There should be an annual review included within the internal audit strategic plan.</p>	<p>The Academy’s internal auditors monitor the systems of internal control in accordance with an agreed plan of input and report their findings to the LGBs and Risk Management Group. Management are responsible for the implementation of agreed recommendations and internal audit undertake periodic follow up reviews to ensure such recommendations have been implemented.</p> <p>At least annually, Internal Audit provides the Local Governing Body/Directors, with a report on internal audit activity in the Trust. The report includes an independent opinion on the adequacy and effectiveness of the Trust’s system of internal control, including internal financial control.</p>
<p><b>External Audit</b></p>	<p>External audit will ensure that the annual risk management process has been undertaken, and that statements of Corporate Governance reflect the Trust’s implementation of the combined code.</p> <p>It is <b>not</b> the role of external auditors to ascertain the robustness or accuracy of the risks identified or the internal controls over their operation. The auditors do not form an opinion on the effectiveness of the Trust’s Corporate Governance procedures or its risk and control procedures.</p>	<p>External auditors express an independent opinion on whether the financial statements give a true and fair view, monies expended out of funds have been properly applied for those purposes and, if appropriate, managed in compliance with relevant legislation, and monies expended out of funds provided by the Education Funding Agency.</p> <p>The external audit opinion will also clearly set out the scope of their responsibilities and work in respect of confirming compliance with the Academies Financial Handbook.</p>

## 10. Procedure

### Risk Identification

The process of risk identification is best done as a joint effort with the focus on things that could adversely affect business objectives. The process will involve Directors, Executive Leadership Team and Local Governing Body.

Consideration will be given to the following factors:

- The vision, beliefs, values and strategic goals;
- The nature and scale of the individual academy activities, both current and planned;
- External factors that may affect the academy such as legislation and regulation
- The reputation of the academy with its key stakeholders;
- The operating structure, e.g. functions and issues that the academy may face due to transition to Academy status.

### See Appendix 1– Typical Categories of Risk

### Risk Assessment

- Discuss and agree that all involved are satisfied with the list of risks;
- Determine the appropriate response to each risk;
- Assess existing controls and determine appropriate action;
- Allocate responsibility for action; and
- Agree future reporting and review procedures.
- Taking each of the risks in turn, discuss and rate them in terms of likelihood e.g. 1 = Very low under 1%, almost impossible, 5=Very Likely, over 75% chance of occurring and impact, e.g. 1= Negligible to 5=Catastrophic.

**A risk matrix (see Appendix 2) will be used to plot each risk. A Spreadsheet will be compiled of the risks.**

The assessment of each risk will take into consideration the control measures currently in place to manage the risk. The controls identified will be assessed to determine whether they are an appropriate mitigation of the risks identified. The value for money of the chosen responses needs to be considered, i.e. it is as important to avoid over-control of minor risks as under- control of serious risks.

With this exercise complete, the Directors alongside the LGBs will decide what their risk appetite is, (what level of risk they are willing to tolerate using the Risk Management Strategy (page 5). This will determine what response the Directors / LGBs wishes to make to each risk.

### Action Planning/Risk Register

Any risks requiring treatment should be recorded in a risk register, areas to be considered as risk have been identified in Appendix 3. The actions required to produce an acceptable control system must be identified and documented. It should be clear who the actions have been allocated to along with a deadline for the action to be completed and a scheduled date for review.

A final version of the register will be considered at the Audit Committee meetings, a report identifying key risk will be produced and circulated to all Directors so that they are aware of the risk management and the controls in place to limit exposure to the risk.

## Monitoring and Review

The risk register will be monitored by the Business and Operations Manager with any known risks not already identified on the academies risk register being brought to the attention of the Principal and Business Manager. A final version of the risk register will be reviewed regularly by Directors, Risk Management Group and LGBs to ensure that risks are identified and that appropriate controls and responses are in place and to ensure that;

- New risks/escalating risks are identified
- Planned actions are carried out in line agreed timescales
- Updating of the risk register as risks occur/change over time
- Early signs of developing risks are identified as early as possible

The Risk Management group (Audit Committee) will consider the Risk Management Policy, Risk Register and the Risk Management Action Plan on an annual basis. They will prepare a report for the consideration of the Governing Body which:

- Identifies and evaluates the significant risks faced by the Academy
- Makes recommendations concerning the content of the policy, action plan and register

The Directors will consider their report and approve any changes to the policy, the action plan and the register in the final meeting of the year.

- LGBs will review the Risk Management Action Plan and the Risk Register at the final meeting of each term. They will:
  - Review the progress of the implementation of the Risk Management Action Plan
  - Consider all risks, their status and their controls to ensure that they are still appropriate.
  - Where a weakness is identified agree clear actions, timescales and responsibilities.
  - Update the action plan and the register as required.

Following this meeting a report of the review will be presented to the next meeting of the Directors. Governors will consider the report and its recommendations and approve any subsequent actions.

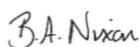
## References

EFA Financial Handbook 2020

Charity Commission Guidance on Charities and Risk Management (CC26) June 2010

Policy Agreed:

Signed CEO: September 2020



Signed: Chair of Directors:



Policy to be reviewed in Autumn 2021

## Appendix 1 - Typical Risks in a Multi Academy Trust

### Corporate/Strategic

- Lack of strategic planning, no link to financial planning
- Reputation

### Governance

- Responsibilities not defined
- Too much/little delegated to CEO and Business and Operations Manager
- Unable to attract Directors
- Non-attendance at meetings by Directors

### Academic

- Unable to achieve targets
- Staff recruitment and retention

### Pupil Support

- Welfare of pupils
- Safety of pupils

### Contractual/partnership

- Over-dependency on a relationship, liabilities arising

### Financial

- Changes in funding
- Changes in pupil numbers
- Internal control breakdown/Fraud
- Inaccurate financial reporting

### ICT

- Security risks
- Business continuity
- Obsolescence of current systems

### Physical

- Legislation- DDA, fire safety etc.
- Loss, damage or theft of assets

### Commercial

- VAT/taxation exposure

### Political

- Failure to maximise opportunities

### Legal

- Child Protection
- Admissions
- Employment Legislation,
- Data Protection, FOI etc.
- Contracts etc.

## Appendix 2 - Risk Management Procedure and Matrix

### Guidance on the Definition of Likelihood and Impact

#### Likelihood

##### **5 Very High over 75% chance of occurring (almost certain)**

There is little doubt that it will happen soon

##### **4 High 50-75% chance of occurring**

Strong chance it will happen in the next year

##### **3 Significant 25-50% chance of occurring**

50/50 chance this will happen in the next year

##### **2 Low 1-25% chance of occurring**

Not expected to happen in the next year

##### **1 Very Low under 1% chance of occurring**

Almost impossible

#### Impact

##### **5 – Catastrophic, could seriously undermine the standing and position of the organisation**

Loss of operations for more than a week; severe injuries or loss of life; gross failure to meet national/professional standards; major long term consequences; extensive coverage in press; major financial loss then threatens existence

##### **4–High, would hinder the achievement of our strategic objectives and/or would take up considerable time and resources**

Loss of operations for up to a week; severe injuries; severe financial loss with impact on operations; damage to reputation, local press coverage

##### **3 – Medium, a threat, which could cause reasonable problems and would definitely take up time and resources**

Some disruption to operations for 48 hours; short term illness/injuries; some damage to reputation; financial loss than can be managed within budget

##### **2-Low, possibly important, but can be managed although it would take up some time and resources**

Limited short-term disruption to operations; minor injuries/illness; small financial loss

##### **1-Negligible, insignificant and nothing to worry about**

Not a noticeable effect on the school; no injuries; no damage to reputation

**Risk Matrix**

<b>LIKELIHOOD</b>	5 <b>Very High</b> (75% Chance of occurring)					
	4 <b>High</b> (50 – 75% Chance)					
	3 <b>Significant</b> (25 – 50% Chance)					
	2 <b>Low</b> (1 – 25% Chance)					
	1 <b>Very Low</b> (under 1% chance)					
		1 <b>Very Low</b> (Insignificant)	2 <b>Low</b>	3 <b>Medium</b>	4 <b>High</b>	5 <b>Very high</b> (Catastrophic)
	<b>IMPACT</b>					

## Appendix 3 – Professional Risks

A spreadsheet will be created for each academy to evaluate risk – see example below. This will then form a high risk action plan to the Board of Directors to Assess Risk.

### PROFESSIONAL RISKS – ACHIEVING STRATEGIC AIMS

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	School development/improvement plan (SDP)	Y	L	L	L
2	Aims of SDP are being achieved	Y	L	L	L
3	School-wide understanding of SDP aims and objectives	Y	L	L	L
4	Governors involved in preparing SDP	Y	L	L	L
5	Ofsted preparation, including preparation and updating the self-evaluation form (SEF)	Y	L	L	L
6	Ofsted action plan	Y	L	L	L
7	Ofsted action plan aims being achieved	Y	L	L	L
8	Staff/governors involved in setting school performance targets	Y	L	L	L
9	Performance targets being achieved	Y	L	L	L
10	Staff/governors involved in producing value added measures	Y	L	L	L
11	Value added measures being employed	Y	L	L	L
12	Profile/prospectus conforms to national requirements	Y	L	L	L
13	Profile/prospectus in place or in preparation for coming year	Y	L	L	L
14	Budget strategy agreed with governors	Y	L	L	L
15	Budget monitoring in place	Y	L	L	L

16.	Recruitment of sufficient number of pupils.	Y	L	L	L
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**PROFESSIONAL RISKS – MANAGEMENT STRUCTURES**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Roles, responsibilities and governor expectations of Principals defined	Y	L	L	L
2	Roles, responsibilities and Principals expectations of Deputy Principals defined	Y	L	L	L
3	Roles, responsibilities and leadership expectations of senior managers defined	Y	L	L	L
4	Roles, responsibilities and team leader expectations of teachers defined	Y	L	L	L
5	Roles, responsibilities and teacher/team leader expectations of support staff defined	Y	L	L	L
6	Roles, responsibilities and expectations of governors defined	Y	L	L	L
7	Governing body structures defined	Y	L	L	L
8	Governing body sub-committees structures set up	Y	L	L	L
9	Induction programme for all staff	Y	L	L	L
10	Induction programme for governors	Y	L	L	L
11	Staff handbook available	Y	L	L	L
12	Administrative support for staff in place	Y	L	L	L
13	Processes for completing required returns to DFE, Education Funding Agency (EFA) and others in place	Y	L	L	L
14	Process for reporting to parents annually in place	N/A			
15	Plan for parents' consultations	Y	L	L	L

16	Time plan in place for teaching staff (1,265 hours)	Y	L	L	L
17	School day structure agreed with parents, governors and staff	Y	L	L	L
18	Pastoral support structure in place	Y	L	L	L
19	Salary policy in place	Y	L	L	L
20	Performance management policy in place for teaching staff	Y	L	L	L
21	Performance management policy in place for support staff	Y	L	L	L

**PROFESSIONAL RISKS – EDUCATIONAL OBJECTIVES**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Correct syllabuses in use	Y	L	L	L
2	Schemes of work and lesson plans used	Y	L	L	L
3	Assessment of pupils who may have learning difficulties	Y	L	L	L
4	Recognition of able gifted and talented pupils	Y	L	L	L
5	PSHE and citizenship education	Y	L	L	L
6	RE being taught	Y	L	L	L
7	Daily act of collective worship	Y	L	L	L
8	Careers education and guidance policy	N/A			
9	Work experience policy	N/A			
10	Policy on needs of young carers	N	L	L	L
11	Policy for looked after children	Y	L	L	L
12	Policy for drugs education	N	L	L	L
13	Provision for ethnic minorities, travellers and refugees	Y	L	L	L
14	Marking policy	Y	L	L	L
15	Reporting policy	N	L	L	L
16	Assessment policy	Y	L	L	L
17	Individual education plan policy	N	L	L	L

**PROFESSIONAL RISKS – CONDUCT**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Monitoring of pupil punctuality	Y	L	L	L
2	Monitoring of pupil attendance	Y	L	L	L
3	Sanctions policy for lack of punctuality	N	L	L	L
4	Truancy policy	Y	L	L	L
5	Liaison with police and other agencies	Y	L	L	L
6	Policy on uniform/dress code/hairstyles/jewellery	N	L	L	L
7	Detention policy	N	L	L	L
8	Behaviour support plans	Y	L	L	L
9	Home-school agreement	Y	L	L	L
10	Policy on restraining pupils	Y	L	L	L
11	Misuse of substances policy	N	L	L	L
12	Pupil exclusion procedure	Y	L	L	L
13	Exclusion appeals procedure	Y	L	L	L
14	Monitoring staff punctuality	N	H	H	H
15	Monitoring staff absence	Y	L	L	L
16	Alcohol and drug abuse policy for staff	N	L	L	L
17	Disciplinary procedures for staff	Y	L	L	L
18	Staff grievance procedure adopted	Y	L	L	L

**PROFESSIONAL RISKS – LIABILITIES BEYOND THE CLASSROOM**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Supervision of pupils before and after school sessions	Y	L	L	L
2	Supervision at break times	Y	L	L	L
3	Supervision at lunchtime	Y	L	L	L
4	Safety in the playground	Y	L	L	L
5	Safety in the playing fields	N/A			
6	Policy on supervision of outdoor education	N	H	H	H
7	Policy on supervision of off-site activities	N	H	H	H
8	Policy on school trips, insurance cover, overseas travel	Y	L	L	L
9	Equality of access to, and supervision during, out of school hours activities	Y	L	L	L

**PROFESSIONAL RISKS – STAFF AND PUPIL PROCEDURES**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Provision of adequate staffing level	Y	L	L	L
2	Procedures for staff recruitment and selection (including safeguarding of children)	Y	L	L	L
3	Ensuring appropriate staff and governors have fulfilled safer recruitment training expectations	Y	L	L	L
4	Ensuring all interviewing panels have member who has undertaken safer recruitment training	Y	L	L	L
5	Procedures on employment rights including use of, and writing of, references	Y	L	L	L
6	Ensuring disclosure and barring service (DBS) and other recruitment checks are carried out on all employees	Y	L	L	L
7	Provision of Induction training	N	H	H	H
8	Provision of continuing professional development (CPD)	Y	L	L	L
10	Procedures for staff disciplining and dismissal	Y	L	L	L
11	Ensuring staff rights – sex discrimination, equal opportunities, race equality, disability discrimination, maternity	Y	L	L	L
12	Planning for redundancy, retirement	N	L	L	L
13	Provision of induction for pupils	Y	L	L	L

<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
14	Ensuring pupils' rights on sex discrimination, equality of opportunity and race equality, disability	Y	L	L	L
15	Ensuring record of achievement is available	Y	L	L	L
16	Ensuring pupil information is passed on from one phase to the next	Y	L	L	L

**PHYSICAL RISKS – INJURY TO STAFF AND PUPILS**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Health and safety policy adopted	Y	L	L	L
2	Health and safety assessments modified as appropriate	Y	L	L	L
3	Health and safety assessments disseminated across the school	Y	L	L	L
4	Training needs on health and safety identified	Y	L	L	L
5	First aid equipment available	Y	L	L	L
6	Trained up to date first aider available at all times	Y	L	L	L
7	Fire risk assessments carried out and shared with staff	Y	L	L	L
8	Workplace regulations in force	Y	L	L	L
9	Display screen regulations being followed	Y	L	L	L
10	Manual handling protocols	Y	L	L	L
11	Adherence to control of substances hazardous to health (COSHH) regulations	Y	L	L	L
12	Adherence to asbestos management	Y	L	L	L
13	Policies in place for use of machinery and electrical equipment	N/A			
14	Policy for use of higher risk areas e.g.	N/A			
	• Technology rooms	N/A			
	• Science laboratories	N/A			
	• Gymnasium	N/A			
	• Swimming pool	N/A			

15	Stress management policy in place	N	H	L	M
<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
16	Smoking or Vaping policy	Y	L	L	L
17	Policy on violent behaviour	Y	L	L	L
18	Child protection procedures	Y	L	L	L
19	Policy on bullying	Y	L	L	L
20	Policy on head lice	N	L	L	L
21	Policy on use of mobile phones	Y	L	L	L

**PHYSICAL RISKS – PROPERTY**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Accessibility plan	N	H	L	M
2	Procedures to reduce theft	Y	L	L	L
3	Policy to minimise vandalism	N	H	L	M
4	Policy to minimise trespass	N	H	L	M
5	Measures undertaken to minimise risk of fire	Y	L	L	L
6	Measures undertaken to minimise risk of water damage	Y	L	L	L
7	Measures taken to minimise disruption from :				
	• Machinery failure	N/A			
	• Failure due to lack of maintenance of equipment	N/A			
	• External sources e.g. workmen	Y	L	L	L
8	Policy on minibus usage and insurance implications	N/A			
9	Vehicle movements on school premises	Y	L	L	L
10	Awareness of potential for harm on home/school transport	N/A			

## FINANCIAL RISKS

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Budget plan for next 1/2/3/4/5 years agreed by governors	Y	L	H	M
2	Setting of budget agreed by governors	Y	L	L	L
3	Budget monitored regularly	Y	L	L	L
4	Budget reports sent to governors regularly	Y	L	L	L
5	Roles and responsibilities with respect to finance allocated	Y	L	L	L
6	Income monitored	Y	L	L	L
7	Payroll expenditure monitored	Y	L	L	L
8	Expenditure controls monitored regularly	Y	L	L	L
9	Opportunities to maximise external funding monitored and taken up	Y	L	L	L
10	Cash security policy in place (e.g. school dinners and voluntary funds)	Y	L	L	L
11	Audit policy in place for voluntary funds	N/A			
12	Insurance provision in place for:				
	• Employers' liability	Y	L	L	L
	• Public liability	Y	L	L	L
	• Balance of risks	N/A			
	• Motor vehicles	N/A			
	• Travel (including high risk activities)	Y	L	L	L
	• Sickness absence	Y	L	L	L
	• Maternity leave	Y	L	L	L

13	Charging policy	Y	L	L	L
<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
14	Governors' allowances (scheme for paying)	N/A			

**LEGAL RISKS**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Adhere to health and safety regulations	Y	L	L	L
2	Adhere to education law	Y	L	L	L
3	Adhere to employment law	Y	L	L	L
4	Adhere to Human Rights Act	Y	L	L	L
5	Adhere to Freedom of Information Publication Scheme	Y	L	L	L
6	Register and comply with Data Protection Act especially with regard to computer use	Y	L	L	L
7	Appropriate copyright licences in place (Copyright Licence, Performing Rights Society Licence, Public Video Screening Licence and any others as appropriate)	Y	L	L	L
8	Be aware of or know where to obtain advice as necessary on liability in connection with:				
	• Occupiers Liability Act	Y	L	L	L
	• Defective Premises Act	Y	L	L	L
	• Environmental Protection Act	Y	L	L	L
	• Building regulations	Y	L	L	L
	• Failure to educate	Y	L	L	L
	• Personal injury	Y	L	L	L
	• Motor accident on business	Y	L	L	L
	• Giving wrongful advice	Y	L	L	L
	• Maladministration	Y	L	L	L

	<ul style="list-style-type: none"> <li>Leaking of confidential information</li> </ul>	Y	L	L	L
<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
	<ul style="list-style-type: none"> <li>Industrial tribunal claims</li> </ul>	Y	L	L	L
	<ul style="list-style-type: none"> <li>Disability rights claims</li> </ul>	Y	L	L	L
9	Adhere to SORP requirements	N	L	L	L
10	Adhere to VAT, PAYE and NI requirements	Y	L	L	L

**ENVIRONMENTAL RISKS**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Efficient use of gas monitored	Y	L	L	L
2	Efficient use of electricity monitored	Y	L	L	L
3	Efficient use of water monitored	Y	L	L	L
4	Policy on building temperatures	N	L	L	L
5	Noise control measures – where relevant	N/A			
6	Policy on recycling of materials	N	L	L	L
7	Correct storage and disposal of waste materials	Y	L	L	L
8	Dealing with contamination of grounds or buildings – who to contact	Y	L	L	L

**CONTRACTUAL RISKS**

<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
1	Processes for selecting contractors	Y	L	L	L
2	Ensure contractors are on approved lists (if necessary)	N/A			
3	Establish financial stability of contractors	N	L	L	L
4	Establish indemnity of contractors	N	L	L	L
5	Ensure insurance position re contractors	Y	L	L	L
6	Ensure contractors satisfy construction design and management regulations (CDM) regulations	Y	L	L	L
7	Understand how to set specifications and avoid variations in contracts	Y	L	L	L
8	Identify contractual liability	Y	L	L	L

**TECHNOLOGICAL RISKS**

Ref no	Area of risk	In place (Y/N/n/a)	Impact if not in place (H or L)	Likelihood of creating a problem if not in place (H or L)	Priority for action plan (H or M or L)
1	Information and communication technology (ICT) strategy developed	Y	L	L	L
2	Contingency plan in place for computer failure	Y	L	L	L
3	Back up procedures in place and used	Y	L	L	L
4	Access controls documented	Y	L	L	L
5	Internet usage policy in place	Y	L	L	L
6	Procedures in place for dealing with unacceptable use of computer equipment	Y	L	L	L
7	Hardware security policy	N	L	L	L
8	Data security policy	N	H	L	M
9	Procedures in place for dealing with breaches of security policies	Y	L	L	L
10	Virus protection policy	N	H	L	M

**DISASTER RECOVERY RISKS**

<b>Ref no</b>	<b>Area of risk</b>	<b>In place (Y/N/n/a)</b>	<b>Impact if not in place (H or L)</b>	<b>Likelihood of creating a problem if not in place (H or L)</b>	<b>Priority for action plan (H or M or L)</b>
1	Plans in place for loss of services/contents/computer records	Y	L	L	L
2	Plans in place for loss of buildings/heating/lighting/power/telephones	Y	L	L	L
3	Plans in place for school closures and evacuations	Y	L	L	L
4	Provision of secure storage after a disaster for recoverable items and data	Y	L	L	L
5	Contingency plan for loss of staff	N	H	L	M

## Appendix 4 – Example of Risk Management Action Plan

After the risk assessment has taken place and the priorities for action have been established the following tables can be used to create the risk management action plan.

### RISK MANAGEMENT ACTION PLAN – HIGH RISK – ACT NOW - Example

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Monitoring staff punctuality	Staff not turning up for work on time could have an effect on the supervision and teaching of children	All staff to sign in and out electronically	Deputy Principal		
Policy on supervision of outdoor education	Lack of consistency in supervision and the possibility of a court case in the event of an accident/incident	All staff to be aware of the risk assessment for any outdoor education event and to comply with the control measures	All		
Policy on supervision of off-site activities	Lack of consistency in supervision and the possibility of a court case in the event of an accident/incident	All staff to be aware of the risk assessment for any off site activity and to comply with the control measures	All		
Provision of Induction training	New staff unsure of policies and procedures. May result in an accident/incident or fatality		Deputy Principal		

**RISK MANAGEMENT ACTION PLAN – MEDIUM RISK– MONITOR AND IMPLEMENT IN DUE COURSE - Example**

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Stress management policy in place	Inconsistent support given to staff who may be subject to stress. Staff sickness levels escalate if consistent management not in place. Staff unable to perform duties		Principal		
Accessibility plan	Children unable to access the building and/or the curriculum. Parents unable to access information. Children with additional needs unable to access teaching and learning with their peers creating isolation and anxiety	Ensure all known needs are catered for when they are brought to attention	All		
Policy to minimise vandalism	Any possible risks not identified and reported in order for preventative measures to be put in place	Any known acts of vandalism acted upon	Principal		
Policy to minimise trespass	Any possible risks not identified and reported in order for preventative measures to be put in place	Any known acts of trespass acted upon	Principal		

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Budget plan for next 1/2/3/4/5 years agreed by governors	Funding not in place for future development therefore unable to meet health and safety, condition or growth issues				
Data security policy	Sensitive information delivered to wrong hands leading to court case	Staff data managed and maintained by Business Manager. All admin staff aware of pupil data security  All staff to be aware of GDPR and how to report breaches	Principal		
Virus protection policy	School computer systems infected with viruses disabling machines. Unable to access data bases and pupil emergency contact information	Security software installed on server, PC's and laptops			
Contingency plan for loss of staff	Roles not filled in the event of a disaster resulting in children not being taught or supervised. Staff holding unique information unable to share in order to operate as a school		Principal		

**RISK MANAGEMENT ACTION PLAN – LOW RISK – KEEP UNDER REVIEW FOR CHANGE IN PRIORITY - Example**

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Policy on needs of young carers	Young carers may not be identified and supported consistently	Identify known children and put support measures in place where needed	SENCo TA		
Policy for drugs education	No consistent message on drugs	Inform children through PSHE and DARE sessions	SENCo		
Reporting Policy	Inconsistent reporting to parents	All staff made aware of how to write reports for the current year	Principal		
Individual education plan policy	Inconsistency in identifying children and writing up of plans which may lead to confusion	Children in need of additional support identified and measures put in place	SENCo		
Sanctions policy for lack of punctuality	Inconsistency in dealing with late arrivals which may lead to mix messages and irate parents	SENCo TA to monitor late arrivals and put measures in place to support	SENCo TA		
Policy on uniform/dress code/hairstyle /jewellery	Mixed messages to parents children/parents as to what is an acceptable code of dress	All parents and children made aware of the School uniform, etc. through induction events and on going	Principal		

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Detention policy	Inconsistency in dealing with children on detention				
Misuses of substances policy	Staff unsure what to do if they suspect substance misuse	All staff to be vigilant and to report any suspicions to Principal to deal with immediately	All		
Alcohol and drug abuse policy for staff	Staff unsure what to do if they suspect substance misuse and inconsistency in dealing with any cases	All staff to be vigilant and to report any suspicions to Principal to deal with immediately	All		
Planning for redundancy, retirement	Positions left vacant and roles not filled resulting in essential tasks not being completed and deadlines not met. Funding not available to meet payments due.		Principal		
Smoking policy	Staff and members of the public unsure as to what is acceptable or not. Children and non-smokers subject to smoke inhalation which may lead to breathing disorders	No smoking signs displayed on the School premises	Principal		

Area of risk	Risk	Control measures	Lead officer	Target date for control implementation	Actual date for achieving target
Policy on head lice	Inconsistent messages to parents concerning children with head lice		Principal		
Insurance provision in place	Funding for long term sickness and maternity leave to come out of GAG funding	Team teaching ensures adequate cover available along with local supply staff	Business Manager		
Adhere to SORP requirements		The Trust manages the charitable status			
Policy on building temperatures	Children and staff working in conditions below the statutory guidelines	Awareness of minimum working temperature	Site Manager		
Policy on recycling of materials	Recycled waste is dispensed of with general waste causing landfill issues	ECO Ants have displayed posters around School reminding staff and children to recycle			
Establish financial stability of contractors	Contractors go into liquidation or receivership mid job	Pay contractors once job has been completed to satisfaction	Business Manager		