The Catholic High School, Chester



Risk Management Policy and Risk Register

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September 2026	A Kilcoyne	29th September 2026	1st October 2026	December 2026

Signed by:

Headteacher Date:

Chair of governors Date:

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Statement of intent

The Catholic High School, Chester as part of the Chester Catholic Academies Partnership recognises the importance of trust progression; however, it is important that we recognise change and development does not come without its risks. The trust's top priority is offering its students the best possible education to maximise their potential. To do this, it is necessary to progress, make changes and ultimately create risk; therefore, the trust will always take a proactive approach towards risk management.

The capitulation of a risk could result in the trust being negatively impacted in a way which may jeopardise the achievement of objectives and the maintenance of priorities, such as:

- Safeguarding
- Health and safety
- Finances
- Reputation
- Data protection
- Quality of teaching
- Staff retention
- New projects

The trust is committed to minimising risk through effectively identifying, categorising, measuring, managing, monitoring and reporting risk. This means managing the likelihood of an unwanted event happening, assessing the consequences of this, and ultimately assessing the benefits and threats to focus mitigating and preventing harm in all areas of the trust's operations.

1. Legal framework

This policy has due regard to all relevant legislation and statutory guidance including, but not limited to, the following:

- Academies Act 2010
- Companies Act 2006
- The UK General Data Protection Regulation (GDPR)
- Data Protection Act 2018
- Health and Safety at Work etc. Act 1974
- Department for Education (DFE) (2026) 'Academy trust handbook 2026' https://www.gov.uk/government/publications/academy-trust-handbook
- DFE (2024) 'Academy trust risk management' Academy trust risk management - GOV.UK (www.gov.uk)

This policy operates in conjunction with the following school policies:

- Health and Safety Policy
- Data Protection Policy
- Child Protection and Safeguarding Policy
- Records Management Policy
- Freedom of Information Policy
- Conflicts of Interest Policy
- Risk Register

2. Definitions

A **"risk"** in this context is the identification of anything which may be likely to negatively impact the trust's aims and objectives. Risks can arise from within the trust as a result of decision making, which are generally easier to control, or they can come from outside the trust and tend to be harder to control. The Identifying and categorising risks section of this policy provides more information on identifying and categorising risks.

The word **"capitulation"** is used throughout this policy to differentiate between the presence of risk and what the consequences of this risk will be. In the context of this policy, 'capitulate' means the risk fails to resist and the consequences materialise.

A **"risk appetite"** is the level of risk the trust is willing to accept in the pursuit of achieving its goals. Minimising safeguarding, compliance, reputational and financial risk is important; however, it is often necessary to take other risks to achieve strategic goals. A risk appetite gives an idea of whether the risk is worthwhile and justifiable.

"Sinking funds" are used as internal insurance; they are financial deposits used in the event of an unexpected emergency. Sinking funds would usually only be used for external risks which arise as a result of influences beyond the trust's control, e.g. damage to assets as a result of extreme weather.

3. Roles and responsibilities

The board of trustees will be responsible for:

- The overall approach to risk management in the trust, including ultimate oversight of the trust's Risk Register.
- Reviewing the Risk Register annually.
- Ensuring risks are identified, managed, measured and reported appropriately by the correct people.
- Appointing an audit and risk committee.
- Delegating responsibility to manage areas of risk, where applicable.

The audit and risk committee will be responsible for:

- Carrying out functions in relation to risk management as delegated by the board of trustees.

The Business Manager will be responsible for:

- Overseeing the effective use of the trust's resources and assessing where investment might be required.
- Arranging for mitigation or prevention measures to be put in place where financial investment creates a risk.
- Approving and creating budgets.

The headteacher will be responsible for:

- Ensuring the effective and consistent implementation of the trust's approach to risk management in their academy.
- Reporting to the board of trustees and audit and risk committee, as required.

The Health and Safety officer will be responsible for:

- Acknowledging, mitigating and preventing risks which endanger the safety of students, staff and visitors.
- Ensuring risk-taking does not conflict with the trust's Health and Safety Policy.
- Communicating with the site manager to ensure the site is safe to attend in the event of adverse weather.

The Data Protection Officer will be responsible for:

- Ensuring the trust's data is secure and protected from external risks.
- Putting mitigation measures in place for the transfer of data.
- Ensuring risk-taking does not conflict with the trust's Data Protection Policy.

4. Risk appetite statement

The trust will not take unnecessary risks unless they are justifiable. If taking a risk indicates that the trust's reputation and operation could be jeopardised, the trust will always consider the likelihood of this happening and how the risk will be controlled.

The trust accepts that risk is inevitable and is part of improvement, development and implementation; however, risk taking will be subject to the satisfactory completion of assessment and due diligence.

Where the cost or consequence of the risk and its likelihood of capitulating is deemed too high, and the methods involved which create the risk cannot be amended or removed to decrease the probability of severe consequence, the action will not take place as long as the trust can control this.

The risk appetite will be informed by an understanding of the trust's capacity, such as finances and staff availability, to mitigate the risk and secure positive outcomes.

5. Identifying and categorising risk

It is the responsibility of the board of trustees, audit and risk committee and staff members in the trust to identify and categorise the risks involved in decision making, operations and changes which come about as a result of an internal, external, strategic or project variable. For all risk categories, the trust will refer to mitigation or contingency plans which will help to minimise the impact of risks.

Internal risks – These risks will be, to some extent, under the control and responsibility of the trust and are a consequence of the decisions which it makes and events arising from within the trust. The trust will take the following actions to manage internal risks:

- The trust will conduct risk assessments for all activities related to internal risks, e.g. managing health and safety in line with the trust's Health and Safety Policy and data protection in line with the Data Protection Policy
- The trust will maintain full control and responsibility for internal risks and assessing the risks associated with these
- Communication with decision makers and stakeholders will be prioritised when identifying internal risks
- Everyone who is impacted by the capitulation of an identified risk will be fully informed and made aware of what could happen

External risks – The trust will prepare for external events, e.g. a pandemic or extreme weather, and considers how to make the trust more resilient to such events. The trust will take the following actions to manage external risks:

- The trust will take all necessary action to avoid negative impacts associated with the capitulation of external risks, including the implementation of contingency planning for unpredictable events
- As part of contingency planning, sinking funds will be made available to aid the recovery from unexpected events which negatively impact the trust's finances
- Policies and procedures will be under constant review to ensure they are compliant with changes in statutory requirements for academy trusts
- The site will be made safe to attend and the trust will take the appropriate action if extreme weather threatens the safety of any students, staff or visitors
- To protect the trust's staff, students and assets, security measures will be in place and unauthorised visitors will not be permitted on the school site

Strategic risks – Risks involved in the achievement of the trust's core objectives will be considered and identified. The trust will take the following actions to manage strategic risks:

- The trust will take steps to communicate and listen to all staff members to limit staff turnover and ensure quality of provision
- The trust's decision making, planning and prioritisation will be continually monitored by maintaining a structured understanding of the wider environment
- Efficient allocation and use of resources within the trust will be supported
- The trust will constantly review sector guidance and ensure its strategy is always compliant and in line with this
- Core decisions will be made by the board of trustees and action will only take place where there is the required level of agreement
- The trust will seek to find positive solutions for all stakeholders

Project risks – The trust's involvement in critical projects, e.g. new buildings, will be subject to an assessment of how the project will be completed, what the benefits will be and whether the risk involved will benefit the trust to a satisfactory standard. The trust will take the following actions to manage project risks:

- To avoid harm to individuals or damage to assets, risk assessments will always be carried out before any building work takes place
- The trust will ensure all projects are affordable, beneficial, and within the limits of financial constraints and budgets

6. Measuring risk

Having identified any risks, e.g. via risk assessments, the trust will measure and rank them to help assess whether the risk is worthwhile and if the risk is likely to be detrimental to the trust's aims and objectives.

The trust will assess all instances of risk by estimating the probability and severity of the risk and how it could negatively impact the trust's objectives. The trust will identify whether risks have minimal, minor, significant or major impact on its aims and objectives, and will take all the necessary steps to mitigate consequences.

The trust's risk appetite and risk tolerance grid will always be adhered to and, where the likelihood of a risk capitulating and the impact of this is very high, the trust will not tolerate the risk and will prioritise risks which are less likely to have a negative impact on the trust's objectives. Where the risk tolerance grid indicates that an activity is too perilous, actions will be taken to reduce the risk score in an attempt to mitigate this risk and minimise the impact or likelihood of capitulation. Risks which are deemed low level may be accepted, while medium level risks will be monitored with mitigation plans in place should the impact and likelihood of capitulation increase for any reason.

The below table outlines what level of risk will be tolerated. This table will be utilised whenever making operational decisions. The columns are numbered from one (low risk) to three (very high risk) to indicate when risks cause intolerable detriment towards the trust's objectives, reputation and operations.

Figure A – Risk tolerance grid

Risk tolerance grid						
Likelihood	**Impact**					
		Very low	Low	Medium	High	Very high
	Very high	2	2	3	3	3
	High	1	2	2	3	3
	Medium	1	2	2	3	3
	Low	1	1	2	2	3
	Very low	1	1	1	1	2

3 (Red) – Unless uncontrollable, e.g. external risk, or absolutely necessary, the trust will not carry out risks which are considered to have a high negative impact, especially if the likelihood of the risk capitulating is high.

2 (Amber) – The trust will generally proceed with caution where the impact is high, but the likelihood is low, or if the impact is considered to be of a medium level for concern.

1 (Green) – Where the impact and likelihood are low, the trust will proceed to take risks with minimal additional precautions in place, as controlling the risk does not raise any significant concerns.

7. Managing risk

After assessing, evaluating and ranking the risks, the trust will implement preventative controls, such as contingency planning and strictly adhering to the trust's risk appetite and risk capacity. The trust's risk appetite and capacity to take risks will inform how risks will be managed, mitigated or prevented. The trust will discuss and challenge the effectiveness of these controls and determine if they are appropriate.

The trust will hold discussions to ensure stakeholders are comfortable with the control measures in place to minimise risks having a negative impact.

The trust understands that good methods for risk prevention and mitigation will give greater control of the risk and consider the capacity of the trust's resources to deal with mitigating or preventing the risk. To manage risks, the trust will:

- Tolerate risk and take no action to control the risks if control measures are deemed unnecessary for the level of risk or impact.
- Treat the risk through contingency planning and preparation to minimise the likelihood of occurrence and impact.
- Transfer risk by taking out insurance or carrying out strategic risks through third parties and mitigate any negative impact risk occurrence would have on the trust.
- Terminate risk by altering and removing potential risks, making rational decisions, and deciding when the risk is too high to perform an action.

The trust will take this approach in order to ensure that taking risks is an opportunity rather than a rudimentary threat to aims and objectives.

8. Monitoring risk

The trust will monitor its risk profile continuously and recognise the changing landscape of this. A Risk Register will be maintained to identify and document risks and control measures. This will include the following elements:

- **Risk category** – Identified risks will be categorised under the appropriate categorisation – this makes it clear which department and who would be impacted as the result of a risk capitulating, and who is responsible for managing the mitigation and prevention controls.
- **Risk description** – A short description will follow the risk category in order to provide more clarity as to what the risk is, who needs to take action and what the consequences are.
- **Risk ID** – Each risk will be given a unique number to reference and track the risk.
- **Business objective threatened** – This will be used to briefly outline which objective, e.g. safeguarding, budgeting, or staff retention, will be impacted by an identified risk to establish which area of operation might need to be mitigated.
- **The gross risk score** – This will be the estimated likelihood that the risk will occur and the level of impact this will have. These two elements refer back to the risk tolerance grid above. Once the risk has been identified and measured, the appropriate risk level will be stated with reference to how high the likelihood and impact is.
- **Control measures** – This section will be informed by the gross risk score, meaning that, having measured the risk, the trust will know whether the risk will be tolerated, treated, transferred or terminated.
- **The net risk score** – After putting control measures in place, the trust will reassess the level of risk and give an honest reflection of how effective the mitigation processes are. The net risk score is a revised version of the gross risk score.
- **Risk ranking** – This section will indicate which risks are deemed to be of a high priority and require further interventions.
- **Risk trigger** – This will state what caused the need for mitigation or a contingency plan to be implemented.
- **Contingency plan** – This will be completed where it has been deemed necessary to implement one. This will outline the action required to reduce or eliminate the detriment that a

risk's capitulation would have otherwise caused, and what would happen without contingency plans in place.

- **Risk owner** – An identifiable individual will be established who decides if control measures are needed.
- **Date of last review** – Risks will be clearly dated on the register whenever they are reviewed or added. There may be risks which are reoccurring or ongoing, meaning that they will be reviewed regularly to ensure mitigation implementation is suitable.
- **Current status of risk** – The person filling out the register will be able to establish how the risk progresses and whether more or fewer mitigation methods need to be implemented.
- **Risk retired date and rationale for retiring risk** – This element will only be used where the monitoring of a risk is no longer needed as the risk is no longer present or plans to take a risk have been retired.

The Risk Register will be reviewed by the board of trustees and Full LGB on an annual basis and by other relevant committees, such as the audit and risk committee, as appropriate.

9. Reporting risk

The board of trustees and the audit and risk committee will set out when and what information regarding risks should be received. This information will be clear and offer important information on the trust's risks. The information reported to the board of trustees and the audit and risk committee will help decide whether risks are being performed within the trust's risk appetite and being thoroughly mitigated. The number of risks reported and assessed will be a manageable number in order to ensure the trust's quality control and understanding of risks is not diminished.

Early warning signs that a risk carries will be reported to senior management so that action can be taken promptly. All staff will report new risks or failing control measures as soon as possible.

The appropriate person responsible for the objective which is subject to risk will be aware of the risk and how to manage it. For example, the DSL is responsible for upholding the trust's Child Protection and Safeguarding Policy and will manage any issues related to safeguarding, whereas the CFO will be aware of and plan for mitigating risks which impact the trust financially.

The trust will report to stakeholders regarding the effectiveness of its risk management processes on an **annual** basis. Stakeholders will be made aware of whether the trust's risk management policies are effective in achieving its objectives.

The board of trustees ensures that the trust does not report too many overlapping risks and that the trust makes attempts to ensure risks are only being reported where they are significant. The trust will ensure communication is clear on all levels and the organisational politics allow for transparency so that all risks can be easily reported by all stakeholders.

10. Insurance

The trust is a member of the risk protection arrangement (RPA). The trust will cooperate with risk management auditors and risk managers and will implement reasonable risk management audit recommendations that are made.

11. Monitoring and review

This policy will be reviewed by the board of trustees on an **annual** basis.

Changes to this policy will be communicated with the relevant stakeholders.

The next scheduled review for this policy is September 2027.

12. The Catholic High School, Chester Risk Register

1.**Leadership and management** – we drive continuous improvement of leadership at all levels, with the expectation of strongly "Good" with growing evidence of a high percentage of "Outstanding" leadership, CPD, retention, recruitment and succession planning programmes									
Risk ID	**Risk Description**	**Risk Consequences**	**Impact**	**Likelihood**	**Risk Score**	**Existing Internal Controls and Evidence**	**Are the existing controls - Adequate, Fully or Partially Met**	**Responsible role**	**Movement**
1.01	The Trust lacks direction through poor strategic and operational planning	The Trust has no clear vision, strategic plan and objectives	3	1	3	Strategic and Operational Plans set out the key aims and objectives of the Trust	Fully	Headteacher	

		Issues are addressed piecemeal with no strategic reference Financial management is not aligned with strategic priorities Loss of reputation with key stakeholders				Business Manager carries out monthly monitoring of financial and operational performance Operational delivery is regularly reviewed by the Board			
1.02	Failure to retain good staff threatens the performance of the Trust	Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and Professional Association relationships	3	1	3	Recruitment, retention and CPD strategy is agreed and kept under review A Performance Management programme is in place and monitored Regular reports on staff recruitment and retention are made to Finance and Business Committee A succession planning strategy is being prepared with a focus on leadership	Fully	Headteacher	

1.03	Failure to ensure that staff recruited to the Trust have the required skills and expertise to meet the strategic objectives of the Trust	Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and Professional Association relationships	2	1	3	Recruitment, retention and CPD strategy is agreed and kept under review Performance Managements programme and staff welfare arrangements are in place and kept under review Regular reports on staff recruitment and retention are made to FAB Committee	Fully	Headteacher, LGB	
2.**Outcomes for students - 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									
2.01	A drop in the school's performance outcomes threatens the performance of the Trust	The reputation of the School is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment	3	1	3	Experienced SLT closely monitor performance and address downward trends School Improvement Plan in place, monitored by SLT•	Fully	SLT	

		Reduced student enrolment brings reduction in finance				Regular reporting and review of performance (KPIs) is made to Full LGB and Trust Board Further level of scrutiny at LGB level through Q of E subcommittee			
3. **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 school 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 and personalised learning.									
3.01	An Ofsted judgement of Requires Improvement or Inadequate	The reputation of the Schools is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced student enrolment brings reduction in finance	3	1	3	Experienced SLT closely monitor performance and address downward trends Appropriate training is provided to staff, governors and trustees Regular reporting and review of performance (KPIs) is made to Full LGB and Trust Board, with review of Ofsted readiness	Fully	SLT LGB Trustees	OFSTED May 2026 Expected Standard The Catholic High School, Chester - Open - Find an Inspection Report - Ofsted

3.02	The School Improvement Plan is ineffective in supporting high standards of teaching and learning	Standards decline, jeopardising the performance of students The reputation of the Schools/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced student enrolment brings reduction in finance	3	1	3	The Trust has a robust School Improvement model overseen by the EH Regular meetings between the EH and school leaders to monitor performance and standards Regular reporting and review of performance (KPIs) is made to Full LGB and Trust Board Staff performance issues are addressed promptly through support procedures	Fully	SLT	
3.03	The Trust's CPD programme fails to support staff development and a culture of continuous improvement	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	3	1	2	The Trust has a robust CPD programme which supports staff's development needs Development needs are identified through appraisal and structured needs analysis	Fully	Headteacher	

		Risk of poor morale affecting staff and students				CPD provision is continually evaluated to ensure quality and relevance			
3.04	The Trust fails to follow Examination Board procedures for the conduct of assessments and release of results	Student outcomes and opportunities beyond school are jeopardised Legal challenge by parents/carers Challenge by Ofsted The reputation of the School/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced student enrolment brings reduction in finance	3	2	6	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 Deputy Headteacher and Exams Officer The Headteacher quality assures the exam procedures Full training is given to all staff involved in the examination process, including results release The responsibilities of staff for the assessment and	Fully	Headteacher	

						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 SLT That line managers and officers are notified immediately of any breach of examination regulations and that support is sought.			
4. **Personal Development, Pastoral Care, Behaviour and Safeguarding** – we provide high standards of pastoral care and support of children and young people in our school 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.									
4.01	Failure to ensure that the Trust is compliant with safeguarding requirements under KCSII	Risk of harm to students School subject to Ofsted inspection and placed in a category	3	1	3	Safeguarding policy adopted and kept under review by the Trustees and Full LGV Trained DSL and DDSL in the school Regular staff training programme		Assistant Headteacher	

		The reputation of the School is severely damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced student enrolment brings reduction in finance				implemented and kept under review Associated policies in place and monitored accordingly			
5. **<u>Community and Parental Engagement</u>** – we develop our school so that it remains popular, with high applications 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 quality of education across our area									
5.01	Failure to recruit sufficient learners to make academies viable	Failure to recruit sufficient learners to make academies viable Reduced student enrolment brings reduction in finance Risk that the confidence of stakeholders is diminished	3	2	6	Admissions Policy in place and monitored by Trust Board Marketing Strategy in place and monitored Networking with key stakeholders, including local primary schools	Partially	Headteacher, SLT	Numbers rising year 7 intake 141 September 2026 Open Evening September 2026, busier than previous years.

		Staff redundancies risk quality of education and poor morale affecting staff and students							
5.02	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	Risk that competitors make a more attractive offer to students • Risk that stakeholders fail to differentiate between Trust schools and their competitor • Risk of competition for the same share of the market • Risk that the Trust fails to respond to new opportunities – e.g. housing developments	3	2	6	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 Fully CEO	Partially	HeadteacherSLT	
5.03	Failure to assess and maintain alliances and partnerships with other organisations, including DfE, Diocese of Shrewsbury, Local Authority	Risk that key alliances or partnerships are not made or effective Risk to the integrity of the Trust from failures of partner organisations.	1	1	2	Networking with key stakeholders and partner organisations, including the DfE, Diocese of Shrewsbury, Local Authority Visits to other schools	Fully	Headteacher	

		The reputation of the Schools/Trust is damaged. Opportunities for growth of the Trust are missed				Attendance at local head teacher meetings and regional events			
6. **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.									
6.01	Failure to monitor the effect of risks over which the Trust/school has no or little control such as disruption caused by economic or natural disaster	Financial risk associated with maintenance and/or recovery of the key systems Risk of litigation due to negligence claims The reputation of the Schools/Trust is damaged	3	2	3	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	Headteacher, Business Manager	Whilst the likelihood remains as is, due to the school current financial position the risk or recovery to cover the initial costs remains high.
6.02	Failure to ensure that Information Technology	IT security risk – e.g. cyber-attack	3	2	6	IT Support contract covers all key security issues.	Fully	Headteacher	Mitigate by ensuring hardware updates by staff,

	is maintained to the highest standard .	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				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		DPO/ICT Manager	IT Technician performs weekly server updates Restricted access to student devices to 6th form and specific KS3 AND 4 students with specific needs or requirements Risk increased to Amber due to the financial situation of the school, and the potential to not be able to replace hardware in the event of an attack etc.
6.03	Failure to ensure that the Management Information produced by the school is timely and accurate	Risk that financial and non-financial performance can't be relied upon by SLT because it is out of date/inaccurate.	3	2	6	Regular review of ICT systems by ICT manager Regular scrutiny of timeliness and accuracy of management	Fully	ICT Manager Business Manager	All software packages patched Have in place, firewall, filtering,

		Risk that financial and non-financial performance can't be challenged by the Trustees and LGB Body because it is out of date/inaccurate Risk to the Trust/school of receiving poor audits and inspections Regular review of ICT systems by ICT manager				information by SLT Regular reporting of management information to Full LGB and Trust Effective Internal and External Audits reported to A&R			
6.04	Failure to ensure that the Trust ensures that Data Protection systems, procedures and processes are adequate	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 SLT because it is out of date. Risk to the Trust/school of receiving poor audits and inspections.	3	2	6	Trust has Data protection policies and procedures in place, which are monitored and annually reviewed Trust Data Protection Officer supports policies and procedures Staff and governor training provided as necessary	Partially	DPO, Business Manager, Headteacher	All staff trained in GDPR, Cyber Security, reminders via staff briefings and email

		Risk of enforcement action by the Data Commissioner							
6.05	Failure to ensure that the income due to the Trust/school is collected in a timely and efficient manner and fully reconciled as per financial regulations	Financial risk to operations Risk to the achievement of the Trust's/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	3	1	3	Regular monitoring reports to SLT, FAB and Full LGB 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	Partially	Business Manager Finance Manager	Likelihood Is low, but with the number of families with debt for residential school trips and school dinners growing this will impact on day to day income. Lettings income growing year on year as the school is able to support more lettings especially over weekends As grants are lagged from previous years Census funding lower this year due to a small year 11 last year.

6.06	Failure to ensure that the Trust has adequate insurance cover to cover replacement costs	Financial risk if insurance cover inadequate Risk of litigation Reputational risk if operations adversely affected.	3	1	3	The trust's insurance review process organised by the Finance team Regular correspondence with insurance companies Buildings insurance held by the school under the RPA. Employee insurance held by the Trust as employer; Vehicles hired through the school, Fixtures, Fittings, Employer, Public Liability, Professional Indemnity held by the school	Partially	Business Manager	
6.07	Failure of the School to monitor expenditure through accurate and regular management accounts	Expenditure is not controlled within budget and is not directed according to need Management and admin costs are perceived as too high	3	2	6	Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations.	Partially	Business Manager Headteacher	Monthly checks, of expenditure against budget expectations

		by the Trustees, LGB, Auditors School reserves are seen to be too high and not directed towards meeting the school objectives				Regular monitoring reports to SLT, FAB and Full LGB Effective Internal and External Audits reported to A&R			However due to the current financial situation with the school this has been increased to amber to ensure that all parties are aware of the issues.
6.08	Failure of the Schools to have financial management systems that prevent fraud	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	3	2	6	Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations Regular monitoring reports to SLT, FAB Committee and Full LGB Effective Internal and External Audits reported to A&R	Fully	Business Manager DPO Headteacher	School systems are robust but to reflect the schools current financial situation this has been increased to amber

6.09	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	Financial risk Reputational risk Risk to the achievement of the school's strategic objectives • Risk to the financial viability of suppliers Risk of breaking financial regulations Risk of poor audit reports including qualified accounts Risk of breaking the Bribery Act leading to litigation	3	2	2	Regular monitoring reports to SLT, FAB and Full LGB Finance team monitor compliance with financial regulations and ensure payments to suppliers are made in time 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	Partially	Business Manager Finance Manager	Process for purchasing being reviewed constantly in line with the needs of the school as a whole School systems are robust but to reflect the schools current financial situation this has been increased to amber
6.10	Failure to implement a risk management strategy	Failure to optimise educational opportunities Non-compliance with school funding agency requirements. Exposure of the school to unnecessary risk	1	3	3	Risk policy and register in place and kept under regular review • Regular consideration of the risk register by A&R	Partially	Business Manager	

		Increased costs e.g. insurance. Reputational risk if Trust fails to respond to emerging risks				Effective Internal and External Audits reported to A&R			
6.11	Failure to ensure that the Financial Reporting requirements of the School are met	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	3	2	6	3 year financial forecasts are produced • Regular monitoring reports to SLT, Trust FAB Commitee and Full LGB 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	Partially	Business Manager	In line with the current financial position of the school, the risk has been increased to amber

6.12	Failure to ensure that the Trust comply with legislation regarding Tax	Risk that legislative requirements relating to VAT, PAYE, NI, and Pensions etc. are not known or complied with Financial risk Litigation risk Ensure and review external payroll provision to ensure compliance	3	1	3	Regular monitoring reports to SLT, FAB and Full LGB 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 reports to A&R	Fully	Business Manager Finance Manager	VAT claims being processed, but are being offset by the HMRC for PAYE payments
6.13	Failure to ensure that an adequate disaster recovery plan is in place in relation to the school's financial systems	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	2	3	6	Trust Disaster Recovery Plan in place and annually reviewed Trust Business Continuity Plan being rewritten to include new legislation Security systems operated by the school	Partially	Headteacher SLT, ICT Manager Business Manager Full LGB	Due to financial position of the school, increased to amber rating as recovery costs may cause further cost pressures

		Significant operational risk Reputational risks if financial costs cannot be recovered				Risk Assessment Policy and Procedures operated by the school Off-site back-up storage and enhanced systems to recover information and data for previous financial system's historical data Current financial system held on line as web based application held under providers data recovery plan			
6.14	Failure to ensure that the schools have a robust set of Treasury procedures in place	Risk that cash flow requirements are not forecasted for Financial Risk that the trust runs out of money	3	3	9	Regular monitoring reports to SLT, FAB and Full LGB 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	Partial	Business Manager	School now overdrawn regularly at the end of each month. Payment plans set up with a number of suppliers to clear debt Bank have confirmed that they will honour pay to employees and their own credit card payments but

									not creditor payments once overdrawn.
6.15	Failure to ensure that the Trust/school has a robust set of Fixed Asset procedures in place	Risk that assets are not capitalised Risk that the depreciation rate is not appropriate Risk that replacement schedules are not adhered to	1	2	2	Regular monitoring reports to SLT, FAB and LGB 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	Partial	Business Manager, ICT Manager Premises Manager	
6.16	Failure of the Trust/school to monitor the performance of the employee pension scheme(s)	Risk that the pension scheme(s) are in significant deficit Risk that the employer pension contribution increases significantly Risk that the school is not making the correct	1	1	1	Staff pension provision made following advice from independent Pension Consultant Teachers' and Local Government pension schemes are historically low risk national schemes	Fully	Business Manager	

		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				Staff contributions implemented by payroll provider Pension provision included within External Audit and reported to A&R Advanced budget planning to incorporate potential increases			
7. **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									
7.01	Failure to ensure that the objectives of the Trust are met	Risk that the Trust 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	3	1	3	Articles of Association, Schedule of delegation 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	Partially	Trustees Full LGB FAB, A&R, and QofE Committees Clerk of Governors	

		unfavourable OFSTED report Risk that the objectives of the school are seen as controversial Reputational risk if the school is seen as poorly governed				and are annually reviewed Business Manager carries out monthly monitoring of financial and operational performance Operational delivery is regularly reviewed by the Trustees and LGB		Headteacher Business Manager	
7.02	Failure of Trust/school to comply with legislative requirements	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	3	1	3	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	Partially	Trustees Full LGB FAB, A&R, and QofE Committees Clerk of Governors Headteacher	

						and Safety, Data Protection.		Business Manager	
7.03	Failure of the School and the Governing Body to ensure that there is a robust organisational approach in place to deliver governance	Risk that committees fail to operate Risk that committee delegation is poor Risk that the Trust/Local Governing Body do not delegate or delegate too much to the Headteacher Risk that terms of reference are inadequate and unfit for purpose Reputational risk if Trust/schools seen as poorly governed	2	1	2	Governance overseen at all levels by clerk provided by 3rd party Programme of Governor training and induction in place Register of Trustee/Governor interests in place and reviewed at each meeting Internal audit reported to A&R External reviews of governance in the light of good practice Annual Skills Audit of Trustees and Governors	Fully	Business Manager Headteacher Clerk of Governors	
7.04	Failure to ensure that the Trustees/ Governors who are recruited possess the skills and experience	Risk of insufficient educational knowledge within the Trustees and /or Governing Body Risk that Trustees/Governors do	2	1	2	Structured approach to trustee/governor recruitment – e.g. profile of skills required Independent Clerk to the Governing Body		Clerk Business Manager, Chair of LGB	

	required to run the Trust/school	not have the required experience Risk that Trustees/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 Trust/school are then ignored Risk that Trustees/Governors become too involved with management of the Trust/school Risk that Trustees/Governors do not act solely in the interest of the school but for other interests Risk that the Trust/Governing Body				oversees recruitment process Governor training and induction programme in place Register of Trustee/Governing Body interests in place and reviewed at each meeting Annual skills audit of trustees/governors			

		lacks financial expertise Risk that Trustees/Governors play a "passive" role on the Board/Governing Body							
7.05	Failure to ensure that the school complies with employee legislation; Health and Safety legislation	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	3	2	6	Relevant policies and procedures in place via the school HR support Key decisions taken with professional HR advice Data Protection Officer supports relevant data protection policies and procedures	Fully	Business Manager, Premises Manager DPO	A number of issues around this Due to some of the larger needs of the school building and infrastructure, there is a need to update 1. fire systems, both evacuation routes including fire doors, compartmentalisation and emergency lighting. Impact on health and safety at work and putting staff at risk in case of fire. 2. Safety of roof on majority of the

		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							school buildings. This has been deemed at end of life by successive roof surveys for at least 5 years but no funding in place or successful CIF bids to update 3. Due to financial situation of the school, site team not able to carry out day to day repairs easily to make good defects. Temporary fixes in place to plug gaps. 4. Potential tribunal case for ex-employee dismissed for persistent short term absence. Is claiming discrimination under Equality Act

7.06	Failure to ensure that up to date information regarding the legislation relating to charities is maintained and kept updated by senior leadership team.	Risk that legislative requirements are not known or complied with Risk that the Trust/Governing Body are not aware of their legislative obligations Reputational risk if Trust seen as non-compliant	1	2	2	Company Secretary and Clerk to the Governors advise on charity legislation Networking with strategic partners, EFA Updates reported to Board as appropriate Periodic independent review of governance across the Trust includes review of legislative requirements	Fully	Clerk of Governors , Chair of LGB and Chair f Trustees Business Manager, Headteacher	
7.07	Failure to ensure that the Trust/school is compliant in respect of the educational requirements of the sector	Risk that the legislative requirements relating to child safeguarding/mental health/Prevent are not known or complied with Failure to implement DfE requirements applying to the schools' sector	3	1	3	Ofsted Inspection evidence reviewed and acted upon Networking and receipt of information at local, regional and national levels by the Headteacher Liaison with the DfE/Diocese/Other relevant bodies Head teacher meetings	Fully	Headteacher, SLT	

7.08	Failure to ensure that the Trust/school is compliant in respect of the requirements of the Government and the Local Authority	Risk that the terms and conditions relating to the payment of grant is not known of complied with Risk that the legislative requirements relating to licensing are not known or complied with Reputational risk if Trust seen as non-compliant	2	3	6	Independent Clerk to the Governing Body Reports to SLT and the Governing Body Ofsted Inspections acted upon Internal and External Audit Networking and receipt of information at local, regional and national levels by SLT Visits to other schools Head teacher meetings	Fully	Headteacher, SLT, Business Manager	Currently under a notice to improve from the DfE, due to the financial situation of the school.
7.09	Failure of Key infrastructure components leading to unplanned closures	Unplanned closures disrupt educational provision • Reputational risk if provision disrupted • Stakeholder concerns • Reputational risk if Trust seen as failing to manage risk	3	2	6	Disaster Recovery Plan in place and monitored Maintenance and legislative compliance programmes in place Situation monitored monthly by Premises Manager and Business Manager	Partially	Premises Manager, Business Manager, IT Manager	Number of areas of the school closed due to failure of the roof. Currently this relates to offices rather than classroom but the work that the site team do has meant that classroom

						Appropriate service contracts being put in place			have been able to remain open. However this position will only worsen. Fire safety reports indicates school is a fire risk
7.10	Failure of the Trust/schools to have procedures in place to cover the absence of the Headteacher or other members of SLT	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	3	3	Clear senior staff roles with delegations set out in job descriptions. Distributed leadership structures in schools Clear cover arrangements in place and publicised Structure charts reported to Trust Board/LGB Succession planning arrangements in place	Fully	Headteacher SLT	