

Stoke by Nayland C of E Primary School Kelly McGrath Headteacher 07/03/2023 17:29 Last Revised: N/A		Likelihood/Impact: Low / Strong = 1 Medium = 2 High / Weak = 3		Gross Score Low between 0-2 Medium between 3-5 High between 6-9		Net Score Low between 0-3 Medium between 4-6 High between 7-9					
Risk		Likelihood	Impact	Gross Score	Gross Risk	Strength of Control(s)	Net Score	Net Risk	Risk Manager	Control	Controls on track?
<b>Financial risks</b>											
1	Financial sustainability risk   Decline in Number on Roll	High	High	9	High	Medium	6	High	LGB	Three year financial plan. Monitoring of Teaching & Learning Outcomes. School Improvement plans. Class structure under review. Change to leadership structure has saved money. MAT oversight.	Yes
2	Overspend Against Agreed Budget	Medium	High	6	High	Medium	6	High	LGB	Budget monitoring and related decisions shared with whole LGB. Budget monitoring shared with MAT.	Yes
3	Poor Value for Money Procurement/authorisation risk; school expenditure is not authorised	Low	High	3	Low	Strong	1	Low	LGB	MAT Procurement policy to be followed. DfE Buying for Schools advice available. Consultation with MAT Finance and Buildings staff when project planning, and professional advice sought where necessary. Scheme of Delegation to be followed. Obtain like for like tendering procedures	Yes
4	Fraud and misappropriation	Low	Low	1	Low	Strong	1	Low	Finance Committee	Charges & Remissions Policy. MAT Whistleblowing policy. MAT Finance training.	Yes
5	Related party risk   Related party transactions/transactions with connected persons are not identified and/or correctly or fully disclosed in the financial statements	Low	Medium	2	Low	Strong	1	Low	LGB	Register of Business and Pecuniary Interests to be completed by all relevant parties and regularly reviewed and updated. MAT Financial Policies and Procedures.	Yes
6	Poor financial position	Medium	High	6	High	Strong	3	Low	LGB	Three year financial plan. Regular reporting to central MAT. Controls are strong - MAT / bursar input but LGB must act according to advice.	Yes
<b>Strategic and reputational risks</b>											

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7	Poor attainment and progress.	High	High	9	High	Medium	6	Medium	Headteacher	Regular review of School Improvement Plan. Close consultation with MAT School Improvement Officer. Sharing of best practice. Regular monitoring of results.	No
8	School Incident Provoking Adverse Publicity	Low	High	3	Medium	Strong	2	Low	Headteacher	Close consultation with MAT Officers over potentially contentious issues. MAT Press Officer. MAT Incident Policy.	

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		Low / Strong = 1		Low between 0-2		Low between 0-3					
		Medium = 2		Medium between 3-5		Medium between 4-6					
		High / Weak = 3		High between 6-9		High between 7-9					
Risk		Likelihood	Impact	Gross Score	Gross Risk	Strength of Control(s)	Net Score	Net Risk	Risk Manager	Control	Controls on track?
9	Absence of mandatory data published on school website	Low	High	3	Medium	Strong	2	Low	Headteacher	Check compliance with DfE requirements	Yes
10	Information Computer Technology ('ICT') security risk	Medium	High	6	Medium	Medium	4	Medium	Headteacher	Professional IT support. Trained governor monitoring.	
<b>Operational risks</b>											
11	Governor Risk   Lack of suitable Governors.	Low	Low	1	Low	Strong	1	Low	LGB	Regular review of terms of office for individual Governors. Skills analysis when recruiting. Consultation with central MAT.	Yes
12	School over-reliant on Headteacher	Low	Low	1	Low	Medium	2	Low	LGB	Information sharing, close collaboration with CoG	
13	Recruitment risk   Not recruiting and retaining the right staff	Medium	High	6	High	Medium	2	Low	Personnel Committee	Adopt external recruitment processes using appropriate modes of assessment. Incorporate probationary periods into Trust employment contracts. MAT support with key appointments.	
14	Health and Safety risk   Staff & Pupils - fatality/injury/sickness	Low	High	3	Medium	Medium	4	Medium	LGB	Implement MAT H&S Policy.	
15	Health and Safety risk   Fatality/injury to pupil/third party	Low	Medium	2	Low	Medium	2	Low	Health & Safety Committee	Risk Protection Arrangement cover in place. Follow membership rules and seek advice from central MAT for queries.	
16	Property   Fit for purpose and safe school accommodation	Low	Medium	2	Low	Medium	2	Low	LGB	Consultation with MAT Buildings Officer and Professional Advisers.	
17	Business Continuity   Risk of major incident, e.g. fire, flood etc.	Medium	Medium	4	Medium	Medium	4	Medium	LGB	Business Continuity Plan. Hard-disk backup.	
18	Capacity risk - High Number on Roll; insufficient space	Low	Low	1	Low	Strong	1	Low	LGB	Refer any admissions over PAN to MAT. Monitor Number on Roll.	

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<b>Compliance risks</b>											
19	Safeguarding	Low	High	3	Medium	Strong	2	Low	LGB / named governor	Adherence to Safeguarding in Schools, regular training. MAT External consultant audit regularly.	Yes
20	Data Protection Risk   Legislative requirements are not complied with	Medium	Medium	4	Medium	Medium	4	Medium	LGB	Adherence to MAT Data Protection Policy.	
21	Health and safety Risk   Legislative requirements are not complied with	Low	High	3	Medium	Medium	4	Medium	Health, Safety & Welfare Committee	Adherence to MAT Health & Safety Policy. Staff training and guidance issued. Advice and support from MAT Buildings Officer. Pay into Vertas property package.	
22	Fire Safety	Low	High	3	Medium	Medium	4	Medium	LGB	Fire Risk Assessment in place, and regularly reviewed by professionals, with actions implemented in a timely fashion. Annual compliance review, and scheduled periodic testing/drills. Monitoring of housekeeping.	
23	Statutory testing of installations & equipment	Low	Medium	2	Low	Strong	1	Low	LGB	Subscription to Property Services Scheme. Adherence to MAT Premises Guidance.	
24	Employment law risks   Legislative requirements are not complied with	Low	Medium	2	Low	Strong	1	Low	Headteacher	Follow MAT HR policies. Seek and follow HR/legal advice where necessary. Always consult HR caseworker on advertising, recruitment, contractual issues, capability etc. Reporting of any potential incidents immediately to central MAT Officers.	