

Presdales School



Title: Risk Register

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Author/title: Fiona Richardson, School Business Manager

Committee responsible: Resources Committee

Trustee Link: Mike Robinson

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Enquiries & comments

Any enquiries and comments about this publication may be made to:

Telephone: 01920 462210 / Email: admin@presdales.herts.sch.uk

Address: Hoe Lane, Ware, Hertfordshire SG12 9NX

A. Risk Register – Strategic and Reputational									
Category	Sub Category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (tolerate or treat)	Control Procedures and Target Date		Person(s) responsible for action	Next review
Strategic Risk	Academy objects risks	Academy is not operating within its objects	1	5	Treat	Half-termly Trustees meeting		Trustees	Ongoing
		Academy objects become out of date /are no longer appropriate	1	1	Tolerate	Members keep under review		Chair	Ongoing
		Academy receives unfavourable Ofsted report	1	4	Treat	Regular review of school evaluation and performance		Headteacher and Trustees	Ongoing
	Competition risk	Other organisations competing for the same sources of income. Presence of organisations with similar objectives	1	2	Treat	Regular discussion in SLT and board meetings to identify ways of improving further and marketing the school		Headteacher and Trustees	Ongoing
	Insurance risk	Risk of financial loss/inability to replace items if academy does not have adequate insurance cover	1	5	Treat	Insurance cover reviewed annually (currently RPA through ESFA).		Business	Annual
	Natural disaster risk	Risk of the impact an uncontrollable event will have on the Academy e.g. fire, flood	2	5	Treat	Business Continuity Plan/Emergency Response Plan in place/adequate insurance		Headteacher/ Business Manager & Trustees	Annual
	Technology risk	Information security risk	3	4	Treat	Regularly update security		Headteacher/IT consultants	Ongoing
		Cyber/Virus risk, corruption of data risk	4	5	Treat	Up to date virus protection. Training and reminders to all staff		Headteacher/IT consultants	Monthly/Ongoing
		IT systems out of date / un-supported	3	4	Treat	Annual review		Headteacher	Monthly/Ongoing
	National curriculum	Risk that school does not comply with requirement of National Curriculum	1	2	Treat	SLT responsible for Curriculum plan		SLT	Ongoing
		Risk that students do not achieve maximum potential	1	4	Treat	Rigorous Assessment and Data Processing		SLT/Teaching Staff	Ongoing
	SEND	Risk that learning support and learning enrichment needs are not recognised	1	4	Treat	Ensure policies are up to date		SLT	Ongoing
		Responsiveness of external agencies which in turn affects funding	4	5	Treat	Keep documentation and clear evidence of action taken. Work with the professionals: re-referrals		SEND department	Ongoing
	Key Education Policies	Risk of inconsistent treatment of students caused by key policies not being in place	1	2	Treat	Ensure policies are in place and updated regularly		SLT	Ongoing
	Student Conduct	Risk of student conduct not being of an acceptable standard	1	2	Treat	Behaviour policy in place		Pastoral Team	Ongoing
	Safeguarding	Risk that safeguard arrangements are inaccurate	1	5	Treat	Safer resistant procedures adhered to specifically KCSIE policy		Headteacher/ Business Manager	Ongoing
Public profile risk	Trustee profile risk	Trustees have a high public profile and may cause the Academy to attract publicity	1	4	Treat	Careful recruitment, monitoring CVs, carrying out DBS checks.		Chair and Trustees	Ongoing
	Academy objects risk	Academy not seen by the public to be meeting its objectives	1	3	Treat	Publicise what the school actually does		Headteacher	Ongoing
	Expenditure Risk	Management and administrative cost are perceived by the public to be high	2	3	Treat	Regular review by Resources Committee		Chair of Resources	Ongoing
		Salaries of SLT are perceived by the public to be high	1	2	Treat	Salaries reviewed against pay scales – see Pay Policy		Chair	Ongoing
		Academy seen to be holding reserves and not spending enough on its objects	1	1	Tolerate	Regular review by Resources committee		Chair of Resources	Ongoing
	Quality of service risk	Academy provides a poor quality service	1	3	Treat	Regular review to ensure high standards are maintained		Headteacher	Ongoing
	Fraud risk	Fraud discovered at the Academy attracts bad publicity	1	4	Treat	Financial procedures and audit in place		Trustees	Annual
	Failure to comply with legislation	Failure to comply with Health and Safety legislation results in an employee/volunteer/ beneficiary of the Academy being injured at work, attracting bad publicity	2	5	Treat	Health & Safety Policy and procedures kept under review, appropriate training provided		Headteacher/ Trustees	Annual
		Failure to comply with employment law e.g. unfair dismissal of an employee attracts adverse publicity	2	4	Treat	Make full use of HR and legal advice		Headteacher	Ongoing
	Litigation risk	Academy is involved in litigation	1	2	Treat	Appropriate legal advice Maintain high standards in all aspects of the Academy's work		Headteacher	Ongoing
Board of Trustee organisation risk	Trustee risk	Insufficient expertise or experience of academy/ education sector	1	1	Treat	Recruitment procedures for Trustees, Governor training, co-option of persons with expertise		Chair and Trustees	Annual/ Ongoing
		Trustees do not act solely in the interests of the Academy but for their business/other interests etc.	1	1	Treat	Register of business interests reviewed at each meeting		Chair and Trustees	Annual/ Ongoing
		Lack of availability/poor attendance at meetings	1	3	Treat	Attendance reviewed by Trustees		Chair and Trustees	Annual/ Ongoing
		Trustees become too involved with management of the Academy	1	3	Treat	The role of the Trustees explained and understood		Chair and Trustees	Ongoing
		No member with responsibility for financial oversight is appointed	1	4	Treat	Appoint Chair and members of Resources Committee		Chair and Trustees	Annual/ Ongoing
	Delegation risk	Committees not established with delegated authority, e.g. finance, personnel etc.	1	3	Treat	Structure of committees and terms of reference reviewed annually		Chair and Trustees	Annual/ Ongoing
		Committee terms of reference not sufficiently flexible	1	3	Treat	Structure of committees and terms of reference reviewed annually		Chair and Trustees	Annual/ Ongoing
		Trustees delegate too little/too much to the Headteacher and/or Business Manager	1	3	Treat	Regular review of Schedule of Financial Delegation		Resources Committee/ Trustees	Annual/ Ongoing

B. Risk Register – Operational Risks

Category	Sub Category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (tolerate/treat)	Control Procedures and Target Date	Person(s) responsible for action	Next Review
Management information risk	Quality risk	Risk that information produced (financial and non-financial) for trustees and senior management is not accurate or not in a format suitable for monitoring the performance of the Academy	1	4	Treat	Regularly review reporting system	Trustees	Annual
	Timeliness risk	Risk that management information is not available quickly after the period to which it relates	1	3	Treat	Kept under review by Resources Committee and Trustees	Business Manager	Ongoing
	Review risk	Risk that management information is not subject to review	1	3	Treat	Regularly reviewed by Resources Committee	Resources Committee and Trustees	Ongoing
	Quantity risk	Risk that action is not taken after the review of management information	1	3	Treat	Action points always identified in minutes and reviewed at next meeting	Chair of Trustees	Ongoing
Human Resources risk	Management risk	Risk that too little management information is produced to facilitate informed decision making	1	3	Treat	Kept under review by Resources Committee and Trustees	Resources Committee and Trustees	Ongoing
		Senior management capability/ experience of academy sector risk	1	5	Treat	Rigorous recruiting process/active appraisal, provide training	Headteacher/ Trustees	Annual
		Integrity risk	1	4	Treat	Monitored by performance, appraisal and capability	Headteacher	Annual
	Headteacher & Business Manager	Key person loss/ succession risk	1	4	Treat	Performance developed into the role. CPD	Headteacher/ Trustees	Ongoing
		Risk that procedures might not be maintained in the absence of the Headteacher and/or Business Manager	1	4	Treat	Financial Procedures Manual kept up to date, temporary appointment made	Headteacher/ Trustees	Ongoing
	Staff risk	Low morale risk	1	4	Treat	Performance management, good communication, leadership, regular staff meetings	Headteacher	Ongoing
		Recruitment risk (risk of recruiting the wrong person)	1	3	Treat	Rigorous recruiting policy and procedures including staff signing the mandatory policies and procedures before they start	Headteacher	Ongoing
		Recruitment risk (recruiting someone unsuitable to work with children)	1	5	Treat	Safeguarding policy strictly adhered to. KCSIE policy	Trustees	Ongoing
		Retention risk	2	3	Treat	Review pay policy and allowances	Headteacher	Ongoing
		Integrity risk	1	4	Treat	Support environment. Monitored by performance	Headteacher	Ongoing
		Low morale risk/key person loss/succession risk	2	4	Treat	Plan for all eventualities	Headteacher/ Trustees	Ongoing
		Appraisal/assessment risk	1	3	Treat	Make plans to carry out appraisals	Headteacher	Ongoing
		Staff matters not referred to HR professionals may lead to tribunals	1	3	Treat	HR advice sought on all difficult issues	Headteacher	Ongoing
		Industrial action - quality of education and reputation of the school affected	3	5	Treat	Keep communication to parents and staff up to date	Headteacher/Trustees	Annual
		Technical capability and lack of training risk	2	4	Treat	Provide training and training opportunities	Headteacher	Ongoing
	Volunteer risk	Risk that volunteers are not of appropriate quality/vetted/subject to police checks	1	5	Treat	Safeguarding procedures adhered to	Headteacher/ Trustees	Ongoing
Health & Safety risk	Health & Safety risk	Injury to students, staff or visitors whilst on site	3	3	Treat	Ensure adequate number of trained first aiders	Headteacher	Ongoing
		Incident on trip outside school, possibly overseas	2	4	Treat	Ensure trip leaders are aware of risks and complete appropriate risk assessment	Headteacher/ Business Manager	Ongoing
		Outbreak of illness or disease	3	5	Treat	Ensure communication with all parties	SLT/ Premises Manager	Ongoing
		Contractors on site do not abide by H&S rules	2	3	Treat	Ensure appropriate supervision and intervene if breaches occur	Premises Manager	Ongoing
		Fatality/injury to staff, student or third party	1	5	Treat	Apply procedures in Emergency Recovery Plan	Headteacher/ Trustees	Ongoing
Income risk	Income risk	GAG funding affected by reduction in funding	2	4	Treat	Effective marketing at KS3 and KS5	SLT	Ongoing
		Other academies competing for same students and sources of funding	2	3	Treat	Improve marketing and effectiveness of bidding process	SLT	Ongoing
		Reduction in funding	2	4	Treat	Increase business income such as lettings. Find new sources of income	Business Manager /Premises Manager	Ongoing
		The impact on the whole school of SEND expenditure being greater than funding and rising number of EHCPs	4	4	Tolerate	Careful budgetary control, monitoring and reserves managed prudently	Head Teacher/ Business Manager	Ongoing
		Lettings affected by the increase in energy prices	4	3	Treat	Liaise with other schools so as not to price ourself out.	Business Manager / Premises Manager	Ongoing
		Insufficient Income for the 3g Pitch Replacement fund	2	2	Tolerate	Maximise income (within the pricing policy) by filling spaces on the booking schedule	Business Manager / Premises Manager	Ongoing
		GAG received late or sum reduced	2	4	Tolerate	Reserves managed prudently	Business Manager	Ongoing
Supplier risk	Supplier selection risk	Supplier financial viability	2	5	Treat	For large projects – use reputable suppliers, rigorous tendering and payment processes	Business Manager	Ongoing
		Supplier connected with trustees or staff	1	3	Treat	Apply financial procedures. Declarations of Interest from Staff and Trustees	Business Manager	Ongoing
		Delivery risk	1	5	Treat	For large projects – use reputable suppliers, tender quotes. Appoint Project Manager	Business Manager	Ongoing
		Quality risk	1	5	Treat	For large projects – use reputable suppliers, tender quotes, apply Project manager	Business Manager	Ongoing
	Value for money risk	Purchase price risk	2	3	Treat	Regular review of suppliers	Business Manager	Ongoing
		Efficiency risk	1	3	Treat	Regular monitoring	Business Manager	Ongoing

Premises	Condition	Unable to use school buildings/site	1	3	Treat	Revert to online learning	Business Manager/ Premises Manager	Ongoing
	Security	Trespassers on premises	1	3	Treat	Gates/site to be secured during the school day. Ensure site is locked and secure when not in use.	Premises Manager/ Cartaker	Ongoing
		Risk criminal activity resulting in vandalism or theft	2	3	Treat	Improved site security, regularly service burglar and fire alarms	Business Manager/ Premises Manager	Ongoing
	Cleaning	Risk that in-house operation is less cost-effective	1	2	Treat	Monitor and evaluate	Headteacher /Business Manager	Ongoing
	Catering	Risk of ensuring service is viable should uptake reduce	3	4	Treat	Monitor and evaluate services	Catering Manager/ Business Manager	Ongoing

C. Risk Register – Compliance Risks								
Category	Sub Category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Responsible (tolerate/treat)	Control Procedures and Target Date	Person(s) responsible for action	Next review
Main Controlling Agency risk	ESFA risk	Non-compliance with ESFA requirements	1	5	Treat	Ensure deadlines are noted and submissions made on time	Headteacher/ Business Manager	Ongoing
	Academies legislation risk	Risk that legislative requirements are not known or complied with	1	3	Treat	Provide training. Requirements list can be found in the Academies Handbook	Headteacher/ Business Manager	Ongoing
Employee legislation risk	Employment laws risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Regular advice sought from HR and legal support service	Headteacher/ Trustees	Ongoing
		Discrimination risk	1	3	Treat	Equality policy	Headteacher/ Trustees	Ongoing
		Data Protection risk	1	4	Treat	Data Protection/Freedom of Information	Headteacher/ Trustees	Ongoing
		Human Rights risk	1	3	Treat	Equality policy	Headteacher/ Trustees	Ongoing
		Equal Opportunities risk	1	3	Treat	Equality policy	Headteacher/ Trustees	Ongoing
	Contract risk	Risk that legislative requirements are not known or complied with	1	3	Treat	HR/Payroll support service	Headteacher/ Trustees	Ongoing
		Pension risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Purchase HR/Payroll support advise	Headteacher/ Trustees
Financial reporting risk	Health & Safety Policy	Risk that legislative requirements are not known or complied with	1	4	Treat	Apply Health & Safety policy	Headteacher/ Trustees	Ongoing
	Statutory accounts risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Check the Academy Trust Handbook. Seek advise from auditors	Headteacher/ Trustees	Ongoing
	Accounting standards risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Check the Academy Trust Handbook. Seek advise from auditors	Headteacher/ Trustees	Ongoing
	SORP compliance risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Check the Academy Trust Handbook. Seek advise from auditors	Headteacher/ Trustees	Ongoing
Tax legislation risk	VAT/PAYE/NI risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Check the Academy Trust Handbook. Seek advise from payroll providers and auditors	Headteacher/ Trustees	Ongoing
Data Protection Act risk	GDPR	Risk that legislative requirements are not known or complied with	1	4	Treat	Apply GDPR policy	Headteacher/ Trustees	Ongoing
Welfare compliance risk	Disability risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Accessibility plan and policy reviewed regularly	Headteacher/ Trustees	Annual/ Ongoing
	Equality and Diversity	Risk that everybody is not treated the same	2	4	Treat	Promote a healthy working/learning environment	Headteacher	Ongoing
	Child Protection Act risk	Risk that legislative requirements are not known or complied with	1	4	Treat	Regular training, Senior Designated Person has responsibility	Headteacher/ Trustees	Ongoing
Sector Compliance risk	National curriculum compliance	Risk that legislative requirements are not known or complied with	1	5	Treat	Senior Leadership Team has responsibility for Curriculum plan	Headteacher/ Trustees	Ongoing
	Mental Health compliance risk	Risk that legislative requirements are not known or complied with	1	3	Treat	Apply Staff Well Being policy	Headteacher/ Trustees	Ongoing
	Grant criteria risk	Grant terms and conditions are not complied with	1	3	Treat	Regular training, SLT responsible	SLT/Headteacher/Trustees	Ongoing
Local Authority and Central Gov. risk	Licensing risk	Risk that legislative requirements are not known or complied with	1	3	Treat	Apply ICT and copyright procedures	Headteacher/ Trustees	Ongoing

D. Risk Register – Financial Risks

Category	Sub Category	Specific	Likelihood of occurring (5=High, 1=Low)	Impact if occurs (5=Low, 1=High)	Response (tolerate/treat)	Control Procedures and Target Date	Person(s) responsible for action	Next review
Overall financial control risk	Budget risk	Risk that budget cannot be prepared in accordance with DfE timetable	1	2	Treat	Business Manager aware of timetable	Headteacher/ Business Manager	Ongoing
		Risk that the budget will be in deficit	2	3	Treat	Careful planning of resources and ongoing review	Headteacher/ Business Manager	Ongoing
		Risk that actual performance is not measured against budget on a regular basis	1	3	Treat	Regular reports monitored by Headteacher/Business Manager	Headteacher/ Business Manager	Ongoing
	Reconciliation risk	Risk that bank reconciliations/other key reconciliations are not completed and reviewed	1	3	Treat	Apply month end procedures. Monitored by Business Manager	Trustees / Business Manager	Ongoing
		Risk that control accounts are not cleared or reconciled	1	1	Treat	Apply month end procedures. Monitored by Business Manager	Business Manager	Ongoing
Financial system risk	Disaster risk	Risk that financial information cannot be recovered in the event of a disaster (e.g. fire, theft, vandalism)	1	4	Treat	Regular backups that are kept off site	Headteacher/ Business Manager / Network Manager/ IT consultants	Ongoing
	Access risk	Risk of unauthorised access to financial systems	1	3	Treat	Clear division of duty. Access rights controlled	Headteacher/ Business Manager	Ongoing
	Completeness risk	Invoices not raised for all transactions	1	3	Treat	Monitored by Business Manager	Trustees/ Business Manager	Ongoing
Income risk	Restricted income risk	Income is not identified as restricted on receipt	1	2	Treat	Regular checks by Business Manager	Headteacher/ Business Manager	Ongoing
	Fraud risk	Risk that donations are misappropriated	1	3	Treat	Clear division of duties. Regular checks by Business Manager	Trustees/ Business Manager	Ongoing
	Authorisation risk	Risk that expenditure is not authorised	1	3	Treat	Rigorous procedures in place, details of authorised signatures maintained	Headteacher/ Business Manager	Ongoing
Expenditure risk	Fraud risk	False invoice/payment risk	1	2	Treat	Rigorous procedures systems in place	Headteacher/ Business Manager	Ongoing
	Capital construction risk	Risk that assets built by contractors do not meet specification, or actual cost exceeds budget	2	4	Treat	Project Manager/CDM, reputable contractor	Trustees	Ongoing
	Fraud risk	Risk that assets are misappropriated	1	4	Treat	Inventory and Fixed Asset register	Trustees	Ongoing
	Asset recognition risk	Risk that assets are not capitalised	1	1	Treat	Not a practical risk at present	Business Manager	Ongoing
		Risk that depreciation rate is not appropriate	1	1	Treat	Apply financial procedures. Auditors to check	Business Manager	Ongoing
Stock risk	Timeliness risk	Risk that management information is not available quickly after the period to which it relates	1	3	Treat	Kept under review by Resources Committee and Trustees	Business Manager	Ongoing
	Fraud risk	Risk that stock is misappropriated	1	4	Treat	Inventory and Fixed asset register / stock control	Trustees/ Business Manager	Ongoing
	Recoverability risk	Risk that debts are not recovered	1	1	Tolerate	Support from Legal Advisors	Trustees/ Business Manager	Ongoing
Debtors risk	Completeness risk	Risk that debtors record is not complete	1	3	Tolerate	Not material	Trustees/ Business Manager	Ongoing
	Change in legislation risk	Risk that Academy is not aware of changes in legislation	1	2	Treat	Appointed auditors to advise	Headteacher/ Trustees	Ongoing
Provisions and contingency risk	Recognition risk	Risk that Academy is not recognising provisions or commitments in accordance with FRS102	1	2	Treat	Auditor to advise	Headteacher/ Business Manager	Ongoing
	Contractual commitments risk	Risk that the Academy has entered into future contractual commitments without having the future funding available to meet them	1	1	Tolerate	Apply financial procedures. Auditors to check	Business Manager	
Pension risk	Funding risk	Risk that scheme is in significant deficit	4	4	Tolerate	Known and accepted by Trustees	Trustees	Ongoing
	Contribution risk	Risk that employers' contribution rate increases	4	4	Tolerate	Known and accepted by Trustees	Trustees	Ongoing
		Risk that Academy is not making the correct contributions	1	4	Treat	HR/Payroll provider	Headteacher/ Business Manager	Ongoing