

Risk framework guidance

Charter.

**Better Futures
for Children &
Young People**

**RISK: The threat
or possibility
that an action
or event will
adversely or
beneficially
affect an
organisation's
ability to achieve
its objectives.**

Introduction

This document is a guidance document that accompanies the Risk Framework document, and the aim of it is to provide a long list of questions that you may want to ask yourself when assessing risk. This does not mean that every question must be asked or ticked off. It functions as an aid and a prompt in assessing risk accurately.

What is risk?

"The threat or possibility that an action or event will adversely or beneficially affect an organisation's ability to achieve its objectives."
(HEFCE, 2001)

An analogy of this:

When crossing the road, you will subconsciously ask yourself many questions to assess the risk of reaching the other side unharmed. Examples of these are:

- Is there a zebra crossing?
- How fast are the cars driving?
- What type of road is it? Motorway, A road, B road etc.
- Is the road slippery/wet?
- Will my footwear hinder me?

There may be further questions only apply in certain circumstances – e.g. if you are taking a dog for a walk.

This document should be use in a similar manner. Ask the questions that are relevant and that help reassure you that your risk assessment is thorough and robust. Some questions may be asked more frequently than others.

How do we measure risk?

Broadly speaking risk is measured by looking at how likely something is to happen, AND if it did happen what would the impact/consequences be. In TCSET we give both likelihood and impact a numerical value.

Value	Likelihood	Impact/consequences
1	Rare	Negligible
2	Unlikely	Minor
3	Possible	Moderate
4	Likely	Major
5	Almost certain	Severe

Risk = Likelihood × Impact

Both Likelihood and Impact are scored on a scale of 1-5

Maximum risk score is therefore 25

Click [here](#) to watch a short clip that explains how risk is calculated

Defining Likelihood

Rating	Likelihood of occurrence in the next 12 months	What this means in practical terms
5 Almost Certain	Greater than 95% Expected to occur	This risk is highly likely to materialise multiple times in the next year unless steps are taken to reduce this likelihood.
4 Likely	Between 66% and 95% Probably will occur (no surprises)	This risk is likely to materialise in the next year at least once, unless steps are taken to reduce this likelihood.
3 Possible	Between 26%-65% May occur at some stage	Although it is possible that this risk will occur in the next year this is not likely. We would expect this risk to materialise once in 3 years unless steps are taken that reduce this likelihood.
2 Unlikely	5%-25% Would be surprising if it occurred	There is a low chance that this risk will materialise in the next year (but not impossible). We would expect the risk to materialize once in 5 years unless steps are taken
1 Rare	Less than 5% May never occur	This risk will manifest rarely, perhaps once in 10 years.

Defining impact/consequences



Rating	Description
	→ Severe harm or death of staff or child or injury to a larger group of children/staff. → Severe impact on the operation of the Trust/school – potential for current operating model to be no longer viable or closure of the Trust/school. → Failure or loss of multiple schools from the Trust → Severe and potentially irreversible reputational damage at a national/international level. → Severe regulatory issues. Trust is subject to severe regulatory censure which will result in enforcement action or a large fine.
	→ Harm to staff or child or harm to a group of staff/children. → Large scale impact on the operation of the Trust/school with wide reaching remedial action required. This may include medium to long-term closure of a school. → Loss of a single school from the Trust. → Substantial reputational damage at a regional/national/ international level. Wide-spread loss of public confidence in Trust/school. → Substantial regulatory issues. Trust is subject to substantial regulatory censure which may result in enforcement action or a fine.
	→ Harm to individuals or groups → Reputational damage locally (perhaps in the local press) → Medium to long term impact on the operation of the Trust which may include a school closing for 5-10 days or more → There are important regulatory issues which will lead to external intervention and follow but not necessarily enforcement or fines
	→ Harm to individual staff or child. → Some short to medium term impact on the operation of the Trust. This may include short-term closure of a school. (a couple of days) → Reputational damage in a local area resulting in loss of public confidence. → Important regulatory issues affecting the school which may lead to external intervention/review with follow-up actions.
	→ No tangible impact on the operation of the Trust. → Some adverse reaction from the press but little to no reputational damage. → Minor regulatory breaches with no fine. → Tolerable delay in the achievement of objectives

			Impact				
			1	2	3	4	5
			Negligible	Minor	Moderate	Major	Severe
Likelihood	5	Almost certain	5	10	15	20	25
	4	Likely	4	8	12	16	20
	3	Possible	3	6	9	12	15
	2	Unlikely	2	4	6	8	10
	1	Rare	1	2	3	4	5

Key vocabulary associated with the risk process

Raw risk

The level of risk faced by the Trust/school before any internal controls are applied.

Net risk

The level of risk faced by the Trust/school after internal controls have been applied.

Control measures

The processes, policies and procedures taken to mitigate or reduce the risks identified by the Trust/schools to deal with a particular situation. A judgement has to be made by the risk owner (usually the headteacher) as to the numerical reduction to the raw risk score to produce the net risk score.

Risk owner

A named individual staff member, who is closely involved with the risk, is able to monitor it, initiate action if the risk becomes more serious, or escalate to the right person if necessary.

Risk tolerance

The amount of risk the Trust/school is willing to endure before action is needed to reduce it, some have a large tolerance for high risk, some have a low tolerance for high risk. This booklet attempts to align our tolerance for risk as a Trust so we can benchmark together what are the high risks that governors, and trustees and CEO need to know about.

The level of tolerance is related to our role as a public sector organisation, our safeguarding responsibilities, our capacity as a medium sized trust with low reserves and our trust values.

Risk indicators

Provide the risk owner with early warning that action may be required to mitigate that risk through stronger control measures or, if it is outside the Trust/school's control, to be aware of it and closely monitor.

Risk appetite

Refers to the level of risk that a school is willing to accept or take on in pursuit of its goals and objectives.

Our description of risk appetite

Risk	Level	Description
R1 Strategic	VERY LOW	For reputational damage. We focus on proactive reputation management and responsive strategies to protect the Trust's image and relationships with key stakeholders, maintaining a strong public image of trustworthiness and educational quality.
	LOW	For underperformance in OFSTED inspections. We are committed to maintaining a reputation for excellence.
	MODERATE	For challenging established practices when it comes to school leadership and teaching strategies, provided that these changes are evidence-based and have a clear plan for continuous improvement For taking calculated risks in leadership decisions that aim to drive innovation and improvement. However, these risks are only taken with clear plans for addressing potential areas of concern.

Risk	Level	Description
R2 Operational	VERY LOW	for compromising safeguarding standards, and we will not tolerate any risks to safeguarding practices.
	LOW	for underachievement in pupil outcomes, particularly for pupils eligible for the pupil premium.
	MODERATE	for innovative and evidence informed strategies to improve pupil attendance, and teaching and learning. While we are committed to using research-backed strategies, we are open to trialling new methods, provided they are carefully evaluated and aligned with our long-term goals.

Risk	Level	Description
R3 Finance	VERY LOW	For unexpected expenditure that cannot be justified by clear educational or operational benefits. We ensure that all financial commitments are well-planned, and contingency funds are in place to address unforeseen costs without impacting core services.
	LOW	For overspending beyond the approved budget. For financial deficits. We prioritize maintaining a balanced budget and ensuring that spending aligns with revenue, with clear measures in place to address any financial shortfalls.
	MODERATE	For utilising core reserves to fund essential projects or initiatives that support the long-term sustainability and growth of the Trust, provided that reserves remain above the agreed-upon minimum threshold For undertaking prudent investments that enhance educational outcomes or operational efficiency. We will consider opportunities for investment, but only after a thorough risk assessment and alignment with our strategic objectives.

Risk	Level	Description
R4 Compliance	VERY LOW	for non-compliance with legal and regulatory requirements, safeguarding or health and safety. We are committed to ensuring that all school activities follow strict policies, and practices that adhere to the relevant laws and guidelines,
	LOW	for inadequate risk assessment processes. We prioritize the implementation of comprehensive, regularly reviewed risk assessments across all areas of school operations, ensuring that risks are identified, mitigated, and appropriately managed to protect the safety and well-being of students and staff. for any legal or reputational risks arising from school website content.
	MODERATE	for adopting new technologies or digital platforms, provided they are thoroughly vetted for compliance with legal and security standards. Any new tools or platforms must align with the Trust's overall digital strategy and not compromise legal or data protection obligations.

Risk	Level	Description
R5 People	VERY LOW	for failing to meet staff needs in terms of professional development and career progression. We are committed to investing in continuous learning and development, ensuring that staff have the resources and opportunities to grow in their roles
	LOW	for neglecting staff well-being and morale. We are committed to fostering a supportive work environment that prioritizes the mental health and well-being of all staff members, offering regular support services, development opportunities, and a balanced workload to ensure staff are motivated and engaged. for high staff turnover. We prioritize the recruitment and retention of high-quality staff, professional development opportunities, and a positive working culture to ensure long-term staff stability and satisfaction.
	MODERATE	for experimenting with flexible work arrangements or innovative approaches to workforce management, provided that these approaches are carefully assessed for their potential impact on productivity, morale, and the overall effectiveness of the school environment.
Risk	Level	Description
R6 Technology	VERY LOW	for data breaches or cyberattacks. We commit to maintaining high security standards, including regular software updates, encryption, and employee training, to protect sensitive student and staff data.
	LOW	for IT system failures that could disrupt learning or administration. We prioritize the implementation of robust systems, regular backups, and a strong IT support framework to minimize disruptions. Third-party IT service providers must meet rigorous security and compliance standards. We prioritize working with trusted partners.
	MODERATE	for adopting new IT technologies, provided that thorough risk assessments and pilot testing are conducted. We are open to innovation but prioritize ensuring that any new technology aligns with our security standards and educational goals. for system upgrades and changes to improve educational experiences, as long as these changes do not compromise the stability of existing IT infrastructure or data security.

Risk	Level	Description
R7 Estates & Environment	VERY LOW	The Trust has a very low risk appetite for compromising health and safety standards. We adhere to all relevant health and safety regulations and best practices, with regular audits and immediate action on any identified risks.
	LOW	for neglecting essential estates maintenance. We prioritize the ongoing maintenance and repair of school facilities. Regular inspections and clear maintenance plans are in place to address issues before they impact the quality of education or safety.
	MODERATE	for innovative approaches to achieving net zero carbon emissions. While we are committed to reducing our carbon footprint, we will take a phased and evidence-based approach to sustainability, prioritizing solutions that are both cost-effective and aligned with our long-term environmental goals. for investing in estates development projects, provided that these projects are aligned with the Trust's long-term strategy, enhance educational outcomes, and are supported by a clear business case and risk management plan. We will carefully manage the costs and timelines of any development to minimize disruption and ensure value for money.

Our Risk Process

Risk is a cycle that is ongoing, like assessment, so we have to be aware of it all the time.

We do this quite naturally as it is part of our work, so we know that if there are certain aspects of the job that are not done well, then the school declines rapidly.

For example:

- Every school needs to have a strategic plan that everyone works to, (SDP) and if there isn't one this is a strategy risk.
- Every school needs to have key people within it in order for it to run smoothly, if a key person left where no one else could do that job immediately, then that is an operational risk,
- Every school must ensure the buildings and people are safe, if no one ensures this is happening, this is a wellbeing and safety risk, and also a legal and compliance risk
- Every school needs to set a balanced budget and not run up a large deficit, if this happens then this is a financial risk.

Within the risk register there are risks recorded that are part of our everyday work over time, and these are recorded to demonstrate we have recognised and recorded them, we come back to these once per year at a Trust wide level.

There are also more pressing risks that are significant in individual schools during a defined period of time (which for TCSET is 1 full term). These are the risks recorded on a school's risk register and what the rest of the booklet is designed to support you in assessing.

For example:

- School A has a broken fire alarm
- School B has two stage 3 complaints in process which are taking up a lot of time
- School C has started to notice needles and drinks cans from drug users being thrown into their playground at least twice per week
- School D is dealing with disgruntled parents who have set up a WhatsApp group

The risk cycle is designed to ensure leaders have mechanisms for knowing about the risks in their setting, have set up relevant and effective controls, work to reduce any resultant risk. This works on two levels, at the individual schools and for the Trust as a whole.

The Trust board and the CEO need to know about any risk considered major (10+) so that resources can be allocated to reduce that risk quickly



The Risk Categories

Risk Name	Risk content	There is a risk that.....	Risk overseen by
R1 Strategic	NEW Leadership including Governance Stakeholders, reputation, Media Complaints OFSTED	..ineffective strategic planning from leaders, media mismanagement, or mishandling of complaints could negatively impact the school's reputation, stakeholder confidence, and overall community trust.	standards
R2 Operational	activities, safeguarding, curriculum delivery Pedagogy, SEND Assessment Pupil premium, Pupil achievement attendance	...school/Trust leaders are not ensuring an acceptable standard of education because teaching is ineffective, curriculum is not fit for purpose and attendance is low. These result in poor outcomes particularly for pupil premium.	standards
R3 Finance	NEW Budget management, income and expenditure Core reserves Investment reserves Contingency reserves	... a school and/or the Trust fails to meet its financial commitments as a result of, financial	finance
R4 Compliance	NEW: Regulatory and statutory risks Website Compliance Risk assessments Policies	...the school/ Trust fails to meet regulatory or legal obligations	Audit and risk

Risk Name	Risk content	There is a risk that.....	Risk overseen by
R5 People	NEW: Regulatory and statutory risks Website Compliance Risk assessments Policies	the school/Trust fails to meet regulatory or legal obligations	Audit and risk
R6 Technology	NEW: workforce, well-being, recruitment and retention Professional learning and development	 the school/Trust may be unable to effectively recruit, retain, and manage a high-quality workforce. Staff perceive increasing workload pressures, insufficient investment in professional development, so well-being and morale are low	People and pay
R7 Estates & Environment	NEW: facilities management, sustainability, safety Projects	...a child, member of staff, or a member of the public comes to actual physical harm, do to either an unsafe condition or systemic failure to manage health, safety and property related risks	finance

Level / impact	Description
1 Negligible	Any reputational damage would be easily contained, stakeholder confidence would remain largely unaffected, no significant disruption to school operations, student recruitment, or staff morale.
2 Minor	Impact limited and manageable. Any negative publicity or stakeholder concerns would be short-lived, with minimal effect. Response strategies would ensure that any incidents are quickly addressed, preventing escalation and maintaining overall trust in the school.
3 Moderate	Issues occur occasionally and could have a noticeable impact. While the school's operations would not be significantly disrupted, addressing the issues would require targeted interventions, such as additional communication efforts, reputation management strategies, or procedural improvements to prevent recurrence.
4 Major	Significant and potentially prolonged impact which could include widespread negative publicity and/or regulatory scrutiny. This will require extensive crisis management, reputational repair efforts, and strategic interventions to rebuild confidence and stability. Operational disruption is likely, and the school's long-term success could be affected if the issues are not effectively addressed.
5 Severe	Profound and potentially irreversible impact on the school which could involve extensive negative media coverage, legal or regulatory intervention. The school's reputation could suffer long-term damage, leading to financial instability, governance challenges, or even the risk of closure. Crisis management would be essential, requiring immediate, large-scale intervention to attempt to restore trust and operational viability.

Level / impact	Description
 1 Negligible	Any issues are extremely rare, quickly identified and resolved and have minimal impact. Stakeholder confidence remains high, and overall quality of education and safeguarding is consistently maintained. Outcomes: for all pupils are in line with or above targets set. Pupil premium outcomes are above those for all pupils Safeguarding: SCR compliant 80-90% of audit areas are green the first time Attendance: is above 96% with PA being lower than 5%
 2 Minor	Issues are occasional and small-scale where any impact is limited, manageable and short lived. The school has effective systems in place to address concerns promptly Outcomes: For all pupils are just below targets set. Pupil premium outcomes are in line with those for all pupils Safeguarding: 70-80% of audit scores are green. Attendance: is between 95-96% with PA being under 10%
 3 Moderate	While the school remains functional, additional support, staff training, or policy adjustments or SLT intervention, may be necessary to address the concerns Outcomes Achievement remains static and less than Trust expectations. Achievement of PPG is below that for all pupils. Safeguarding: Some audit sections are red due to ineffective practice, lack of systems, some poorer recording – but these can be fixed quickly Attendance: at national with PA at national

Level / impact	Description
4 Major	Significant issues occur regularly and have a substantial impact on the school. These challenges may result in widening attainment gaps, increased safeguarding concerns, and reputational damage, requiring urgent and sustained intervention Outcomes For all pupils are lower than national Pupil premium outcomes are significantly lower than those for all pupils Safeguarding: Pupils/Staff have come to harm SCR not compliant Safeguarding practice in school is systemically lacking and ineffective Attendance below national with PA just above national
5 Severe	Critical and systemic failures have a potentially irreversible impact on the school. School may face substantial reputational damage, and the risk of rebrokering if urgent and large-scale interventions are not implemented to address the crisis. Outcomes particularly for PPG, are significantly below national, where the school is in the bottom 10% nationally Safeguarding Pupils/Staff have come to significant harm due to an absence of safeguarding culture, training, and understanding Criminal activity has occurred due to widespread safeguarding breaches Attendance: well below national and truancy is entrenched

Level / impact	Description
	Small loss that can be absorbed
	Loss of 'consumable' assets <2% deviation from the budget Minor fraud possible
	
	Loss of significant assets 6-15% deviation from budget External audit qualification on accounts High-level fraud committed
	Loss of key assets >15% deviation from budget Systematic and high-value fraud

Level / impact	Description
1 Negligible	Minimal likelihood of error or oversight. Strong internal systems, responsibilities, and checks ensure that any minor issues are swiftly identified and addressed, Full regulatory compliance is maintained and best practice restored quickly and easily
2 Minor	Occasional, low-impact compliance issues may occur—e.g. slightly outdated policy or a delayed review of a non-critical risk assessment—but these have limited consequences. Any lapses are quickly identified and rectified, with minimal effect on the school's operations. Overall, the school remains compliant, and such issues are unlikely to attract significant attention or result in formal action from oversight bodies.
3 Moderate	Occasional lapses in compliance—e.g. missing or outdated statutory policies, incomplete risk assessments, or significant omissions on the school website. These may lead to concern and negative feedback from regulatory bodies. While not immediately severe, these gaps require timely corrective action and stronger internal oversight to prevent escalation or reputational harm.
4 Major	Significant compliance failures occur regularly—e.g. absence of critical statutory policies, incomplete or outdated risk assessments, or a non-functional website. These have a serious impact on the school's ability to meet legal or regulatory requirements. Corrective actions would require considerable effort and resources to resolve the compliance gaps and restore confidence. External regulatory bodies are involved.
5 Severe	Critical and widespread compliance failures—e.g. ongoing absence of key statutory policies, failure to conduct required risk assessments, or a completely non-compliant or inaccessible website—pose a serious threat to the school's legal standing and reputation. These issues could lead to severe regulatory action and potential legal consequences. Immediate, large-scale intervention would be necessary to rectify the situation, prevent long-term damage, and restore the school's operational viability and public image.
	Programmes/operations ceased by regulatory body

Level / impact	Description
1 Negligible	The school has effective systems in place for staff, with minimal likelihood of issues arising. Any minor concerns are rare and quickly resolved without affecting the quality of teaching, school performance, or staff satisfaction. TEP scores very high
2 Minor	Occasional, low-level issues may arise—e.g. short-term recruitment delays, isolated cases of staff dissatisfaction, or minor gaps in professional development—but these have limited and manageable impact. Any challenges are quickly addressed through existing systems and support mechanisms, with little to no disruption to the school's performance or day-to-day operations. Staff well being is reported as below optimal (TEP)
3 Moderate	Challenges arise with some regularity, affecting aspects of school performance. While the school remains operational and able to deliver core functions, these issues may impact the consistency of teaching, place additional pressure on remaining staff, and require targeted interventions to prevent further disruption and ensure staff are adequately supported. Individuals feel unhappy and stressed at work
4 Major	Issues are persistent and widespread significantly affecting the school's ability to function effectively. There is increased/perceived high workload. The school may struggle to maintain stability, with a growing impact on performance, and long-term sustainability, requiring substantial intervention and resource investment to address workforce challenges. Staffing not stable - high attrition, very low TEP scores Complaints and grievances a regular occurrence
5 Severe	Critical and ongoing issues are severely undermining the school's ability to operate effectively. There is a breakdown in workforce stability, significantly compromising the quality of education, safeguarding, and student outcomes. The school may face serious operational disruption, reputational damage, and potential regulatory intervention, with urgent, large-scale action required to restore a functional and sustainable staffing structure. Tribunal from staff

Level / impact	Description
1 Negligible	Strong, up-to-date systems in place, with minimal likelihood of issues arising. Cybersecurity protocols are regularly reviewed, staff are well-trained in data protection practices, and GDPR compliance is consistently maintained. Any minor, isolated incidents are swiftly addressed without any significant impact on data security, school operations, or regulatory compliance. The risk of data breaches or operational disruption is extremely low.
2 Minor	Occasional, low-level issues may arise, e.g. minor lapses in data protection practices or slight delays in system updates. These issues would have limited impact on data security, school operations, or compliance. Any concerns are promptly identified and resolved, with no significant disruption to the school's activities. The overall risk remains manageable, and the school continues to maintain adequate data protection and cybersecurity measures.
3 Moderate	Issues arise with some regularity e.g. occasional breaches of data protection protocols, GDPR, delays in updating systems. While not catastrophic, these issues could lead to concerns from regulatory bodies, temporary loss of data integrity, or minor reputational damage. Prompt corrective actions would be required to address these concerns and ensure ongoing compliance and security.
4 Major	Issues are significant and recurring, e.g. serious data breaches, substantial system failures, or repeated non-compliance with GDPR. These lead to significant disruption in school operations, loss of sensitive information, or legal/regulatory consequences. These issues could result in reputational damage, financial penalties, requiring urgent and comprehensive intervention to restore security and compliance.
5 Severe	There are critical and widespread failures which have a devastating effect on the school's operations. E.g. major data breaches, prolonged system outages, or ongoing non-compliance with GDPR, resulting in significant legal action, substantial financial penalties, and irreversible reputational damage. The school could face severe operational disruption and potential regulatory sanctions, requiring immediate, large-scale intervention to resolve the issues and prevent long-term harm.

Level / impact	Description
1 Negligible	School consistently meets health and safety standards, maintains facilities efficiently, and makes steady progress toward sustainability goals. Any minor issues, are quickly identified and resolved with no significant impact on daily operations. The school is fully compliant with regulations and effectively managing its resources, with minimal risk to its reputation or operations. Injuries Minor injury requiring no first aid or in-school support for stress or trauma
2 Minor	Occasional, low-level issues may arise, which are quickly addressed and have limited impact on daily operations. There is no significant harm to the school's reputation or regulatory compliance, and the overall risk remains manageable with prompt corrective actions. Injuries Injury or ill health requiring first aid In-school support for stress or trauma required
3 Moderate	Issues arise with some regularity, leading to noticeable but temporary disruptions or concerns, These would require prompt intervention and targeted strategies to mitigate their impact and prevent further escalation. Injuries Injury or ill health requiring medical attention Professional support for stress or trauma required
4 Major	Significant and ongoing issues are severely impacting the school's operations. Urgent, large-scale intervention would be required to address these challenges and prevent further damage to the school's reputation and operations. Injuries Injury or ill health requiring hospital admission Ongoing clinical support for stress or trauma required
5 Severe	Critical and widespread failures are causing severe disruption to the school's operations. These issues could result in significant harm to students or staff, severe reputational damage, legal consequences, and regulatory sanctions. Immediate and comprehensive intervention to address the situation is required urgently. Injuries Fatality or permanent disability Extensive clinical support for multiple individuals for stress or trauma required

Content of risk: Leadership including Governance, stakeholders, reputation, media, complaints, OFSTED



Possible Questions to Ask

PUPIL, STAFF AND PARENT FEEDBACK

- Is pupil, staff and parent feedback regarding safety at school regularly sampled?
- Do pupils feel protected and safe? (TEP)
- How is a broad and balanced sample of views ensured?
- Does the school effectively engage with parents?
 - Do leaders seek to engage parents and their community thoughtfully and positively in a way that supports pupils' education?
 - Also, are leaders thoughtful in drawing boundaries and resisting inappropriate attempts to influence what is taught and the day-to-day life of the school (particularly where parental demands are contrary to British values and equalities).

OFSTED

- Is the school ready for the next inspection and will be at least secure or strong on the scorecard?
- How secure is the school's self-evaluation judgment? Has it been verified through external scrutiny?

COMPLAINTS PROCESS

- How are any concerns raised by pupils, staff and parents responded to, and how is the effectiveness of this gauged?
- Are policies and procedures to formally raise concerns, i.e. complaints, whistleblowing, made appropriately available to staff and parents?
- Are pupils aware of how they can raise a concern?
- How has the outcome/s of any formal concerns or complaints from pupils, staff and parents been reflected on, and how have lessons learned been integrated into future practice?
- Is dealing with complaints interfering with the time needed to run the school effectively? Are there significant parent complaints? Do parents feel they are listened to and any concerns are addressed and resolved?
- How many complaints has the school received this term/year and what is the resolution rate?
- Are there any patterns in the nature of the complaints and if so, what actions have been taken to address these?

MEDIA

- How effective is governance?
- Do those responsible for governance understand their role and carry this out effectively?
 - Does the local governing body have a clear understanding of the scheme of delegation and the role of local governance within this? Is there a clear understanding of what local governing bodies are (and are not) responsible for?
 - Do governors/trustees ensure that the school has a clear vision and strategy?
 - Are the governors able to challenge leaders on their contribution to sustainability targets?



Possible Questions to Ask

LEADERSHIP OF CHANGE

- Are school development priorities and targets for pupil outcomes sufficiently ambitious and reflect current self evaluation?
- What progress has been made in relation to the priorities in the school improvement plan? What progress has been made against the areas for improvement from the last inspection?
- Is there sufficient capacity within the leadership of the school to effect sustainable change at the appropriate pace? - How effectively do leaders engage all staff to support school improvement?
- What evidence is there that all leaders have contributed to the development of strategic plans and the vision and ethos of the school?
- Are effective arrangements for performance management in place? How effectively do leaders monitor the quality of teaching and use this information to improve it?
- Are staff members fully on board with the vision of the Trust and see themselves as part of it?

R2 Operational

Content of risk: Daily activities, safeguarding, curriculum delivery, Pedagogy, SEND, Pupil premium, Pupil achievement, assessment



Possible Questions to Ask

PEDAGOGY

- Is the school addressing poor teaching robustly so achievement of pupils improve?
- Is pedagogy and practice evidence informed?
- Has there been any external validation of the school's judgment about the quality of teaching?
- Are class-based leaders (eg, phase leaders and subject leaders) exemplary practitioners themselves?
- How effective are additional staff at contributing to teaching and learning (eg, Teaching Assistants)? Is their deployment evidenced informed?

ASSESSMENT

- Is assessment accurate? How do we know? Are the different kinds of assessment triangulated?
- How effectively is assessment used to improve pupils' learning? Is this consistent across the school?
- Is the assessment cycle fully embedded and systemised, data is collated and inputted on time and in the right place?

CURRICULUM

- Are statutory requirements met? Are all subjects taught? Is there clear information showing the curriculum content for each subject in each year group? Does the content include sustainability themes?
- Are leaders able to provide clear and compelling evidence about how the planned curriculum for the school provides pupils with 'cultural capital' (defined as "the essential knowledge that pupils need to be educated citizens, introducing them to the best that has been thought and said and helping to engender an appreciation of human creativity and achievement.")
- Is the curriculum based around the following principles:
 - Balanced:** the curriculum promotes intellectual, moral, spiritual, aesthetic, creative, emotional and physical development as equally important.
 - Rigorous:** the curriculum develops powerful, subject-specific ways of thinking; the subject matter is taught in a way that is faithful to its discipline.
 - Coherent:** the curriculum makes explicit connections and links between the different subjects and experiences encountered
 - Vertical integration:** the curriculum focuses on progression by carefully sequencing knowledge; it provides clarity about what getting better at the subject means
 - Appropriate:** the curriculum looks to avoid making unreasonable demands by matching level of challenge to a pupil's current level of maturity/knowledge
 - Focus:** the curriculum seeks to keep the curriculum manageable by teaching the most important knowledge; it identifies the big ideas or key concepts within a subject.
 - Relevance:** the curriculum seeks to connect the valued outcomes of a curriculum to the pupils being taught it; provides opportunities for pupils to make informed choices.
- How is the curriculum designed and adapted to give all pupils, particularly disadvantaged pupils and pupils with SEND, the knowledge and cultural capital they need to succeed in life?
- How is reading prioritised so that pupils are able to access the full curriculum offer?
- Does this include a sharp focus on early reading and ensuring that younger pupils gain the phonic knowledge that they need?
- Is the teaching of English and Maths securely embedded and delivered excellently?



Possible Questions to Ask

OUTCOMES

Are pupils achieving well enough?

- How do our outcomes compare to national in each key stage? Is the school significantly above national (80%/35% in each subject)
- What does pupil data tracking tell us about current progress and attainment?
- Are pupil progress meetings effective in raising achievement?
- What are our barriers to better progress? What are we doing about it?

PPG

Is the school taking sufficient action to raise achievement for disadvantaged pupils?

- Is the spending of the pupil premium grant effectively evaluated? (EEF research)
- Has this evaluation ensured that the current pupil premium strategy is fit for purpose? (Is it on the website and compliant?)
- Are our PPG pupils achieving in line with other pupils in our cohorts

SEND

What are our outcomes for SEND pupils?

- Are they making progress relative to their starting points?
- Where it is appropriate to use different forms of assessment (due to complex SEND), how do we know these pupils are making sufficient progress?
- Is teaching taking into account EEF research about 5 a day

POSITIVE CLIMATE FOR LEARNING

What do records of behaviour incidents, suspensions and exclusions tell us?

- Any issues or increases/decline in particular year groups or classes?
- What action is being taken?
- Are there any groups of pupils where behaviour incidents are more prevalent? (eg, SEND)
- Are pupils aware of (and confident in how to respond to) different forms of prejudice based bullying?

What is current attendance / persistent absence compared to Trust average?

- How does this compare to the previous year?
- Are leaders' actions to improve it effective?
- How are pupils, who are at risk of becoming CME known, highlighted and responded to?

How do leaders, staff and pupils create a positive environment in which bullying is not tolerated?

- If bullying, aggression, discrimination and derogatory language occur, are they dealt with quickly and effectively and are not allowed?
- When pupils are spoken to do they say they feel safe? Are they confident that bullying is tackled?



Possible Questions to Ask

TCSET SAFE- GUARDING AUDITS

- All three safeguarding audits have no red areas and limited amber areas

PUPIL ENGAGEMENT AND WELLBEING

- Have leaders made deliberate decisions about how the curriculum will support and promote pupils' personal development?
 - Does it extend beyond the academic, technical or vocational?
 - How do leaders ensure that pupils know how to discuss and debate issues and ideas in a considered way?
 - Does it ensure that pupils have an age appropriate understanding of healthy relationships?
 - Is the PHSE/RSE content in line with the published scheme and the parent consultation?
 - How do leaders ensure the curriculum support pupils to recognise and to manage risk?
 - Online and offline risks to their well-being
 - Enabling pupils to recognise the dangers of inappropriate use of mobile technology and social media including AI
 - Enabling pupils to spot fake news, deep fakes and hallucinations with a critical eye
 - How does the school promote an inclusive environment that meets the needs of all pupils, irrespective of age, disability, gender questioning, race, religion or belief, sex or sexual orientation?
 - Is equality of opportunity promoted? Are differences respected and celebrated?
 - Do pupils engage with views, beliefs and opinions that are different from their own in considered ways? Do leaders provide opportunities so that pupils can show respect for the different protected
 - characteristics (as defined in law) so that no forms of discrimination are tolerated?
 - The school promotes British values and SMSC work effectively
 - How does the school help pupils to understand the importance of being physically healthy, eating healthily and maintaining an active lifestyle.
 - How does the school promote good mental health
 - Does the school provide a wide range of opportunities to nurture, develop and stretch pupils' talents and interests? Do pupils appreciate these and make good use of them?
 - The numbers of pupils in extra curricular activities on a regular basis is high, particularly for disadvantaged pupils
-

R3 Financial Sustainability

Budget management, income and expenditure, Core reserves, investment reserves, Contingency reserves



Possible Questions to Ask

CORE RESERVES

- Does the school have a minimum of 5% of GAG in their reserves at the last year end?
- Does the school have a minimum of 5% of GAG in their reserves in the outturn for the current year?
- Does the school have a budget that includes a minimum of 5% of GAG in their reserves for all years? If 'No' to any of the above, does the school have a written plan to get to 5% of GAG in their reserves at a point in the future? When is this?

INVESTMENT RESERVES

- Has the school carried out an assessment of all investments (non-annual expenditure) required from the schools budget over at least the next 5 years? Is this investment expenditure included in the most recent school budget?
- If not, can the Core Reserves be maintained if necessary expenditure is made?

CONTINGENCY RESERVES

- Has the school carried out an assessment of the likely contingency required in the schools budget annually? Is this contingency built into the most recent school budget?
- If not, can the Core and Investment Reserves be maintained if contingency expenditure is required?

GENERAL

- Have all staff been fully trained on financial procedures relating to their role?
- Have all recommendations from Internal Audits been implemented?
- Is the school roll increasing? Declining? Steady? And is there a responsive marketing plan?
- Can the school afford the staffing structure of the next three year period?
- Is the impact on the budget of staff absences unsustainable / high?

Risk 4: Compliance

Regulatory and statutory risks, Website, Compliance, Risk assessments Policies



Possible Questions to Ask

LEGAL

- How do you ensure that all pupils are treated fairly in accordance with the Equalities Act and that no pupil is disadvantaged by being unfairly excluded or moved?
- Is the LGB acting within its remit as defined by the scheme of delegation?
- What procedures are in place when there is a failure to comply with statutory regulations (GDPR) for data protection or a breach?
- Are there are cases which involve legal costs/settlements pending?
- The school is able to make use of the services of Stone King

COMPLIANCE

- Is the school's website is up-to-date and legally compliant?
 - Is governance information is up-to date on Governor Hub, and GIAS?
 - Are all necessary statutory compliance risk assessments (including reviews), contracts and services in place and being carried out?
 - Are all policies updated in time, including the school's business continuity plan
-

Risk 5: People

Workforce, well-being, recruitment and retention, Professional learning and development



Possible Questions to Ask

EMPLOYEE RELATIONS

- Are there any unresolved employee relations issues, such as disciplinaries, grievances at formal stage – what risk do they represent?
- Are the relevant HR colleagues aware when applicable e.g. serious cases, disciplinaries which may result in dismissal?
- Do staff feel protected from bullying and harassment? Are their whistleblowing investigations and grievances happening at the school?
- Is staff morale and motivation high, do staff feel well looked after, are they attending work? Are there a variety of options to work flexibly if needed/wanted?

RECRUITMENT AND RETENTION

- Are there any vacancies for SLT roles within the school?
- Are other key roles within the school vacant?
- Does the number of teaching vacancies present a difficulty for the school to operate effectively?
- Is the school in an area in which it is difficult to recruit?
 - How high is the staff turnover?

STAFFING STRUCTURE

- Is the staffing structure fit for purpose? Is it appropriately benchmarked against similar schools?
- Is there likely to be a staffing restructure needed within the next term?
- Are requirements of any EHCPs met within the current structure?

ALLEGATIONS AGAINST STAFF

- Are allegations against staff managed according to KCSIE (including allegations/disclosures considered low-level)? Do staff have a clear understanding of whistleblowing?

STAFF WELLBEING AND WORKLOAD

- Are there steps being taken to reduce workload and minimise unnecessary burdens for staff?
- Does the school have mechanisms for evaluating workload and wellbeing, responding to feedback given?
- Is the school meeting its statutory equalities duty? Are objectives relevant? Is this on the website? Are opportunities available to everyone, do staff feel they belong and are making a difference?
- Does the school follow the TCSET sickness absence management policy?
- Are absence management procedures being effectively managed at the school and are all records up to date? How high is staff absence? (Any differences for different groups of staff?)

PROMOTING A PROFESSIONAL LEARNING COMMUNITY

- Are there many and varied opportunities for ongoing professional development and learning which are accessible to all?
- Staff look for opportunities and have a desire to engage in professional development and learning opportunities – therefore their practice and approach is evidence-informed, ensuring higher achievement and progress for all pupils.
- Do staff engage in opportunities to be outward facing – collaborating with colleagues on best practice
- Do staff understand the EEF guidance on implementation and use this accordingly when planning and delivering CPD?

Risk 6: Technology

IT systems, cyber security, data protection, GDPR



Possible Questions to Ask

IT SYSTEM FAILURE

- In the event of the school server, broadband, telephony services failing what is in place to reinstate services?
- In the event of loss of data, are robust processes and procedures in place?
- In the event of power surge, or rolling blackouts and school infrastructure is damaged, what processes and procedures are in place?

INVESTMENT IN IT AND SUPPORT

- How will the following be managed if they occur?:
 - Microsoft withdraw support for Windows Server & operating system leaving systems vulnerable
 - Insufficient bandwidth on network links to handle the data and/or voice traffic.
 - Inadequate equipment due to age for students, Teaching & Admin Staff
 - Inadequate investment in upgrading & maintaining equipment
 - Insufficient storage space to save data on servers
 - Equipment incapable of carrying out its required function effectively.
- What support is in place to maintain health of IT systems / resolve IT Issues to maintain delivery of Teaching & Learning?
- How effective is this in managing issues in a timely manner?

CYBERSECURITY

- What procedures, policies and systems are in place to secure the network and the devices within it?
- What mechanisms are in place to identify and treat a virus?
- What procedures are in place to prevent / mitigate social engineering (Phishing)
- Is access and commentary to the media controlled – so there is little risk of someone hacking school accounts and posting as the school or as members of staff. Is there a process in place to deal with such occurrences?
- Is there an appropriate and effective filtering system in place for all Internet-based devices, and does it restrict access to inappropriate material by pupils and staff? Are any incidents reported and appropriately responded to?
- How is data stored & secured?
- What procedures are in place for Data Retention?
- How are external devices i.e. USB drives / external hard drives managed?
- How are mobile devices (Laptops, tablets, phones) managed?
- Are there policies in place for accessing & sharing data? What controls & checks are in place for Third Parties & Suppliers?
- What policies are in place to regulate user (both staff / student) access to ICT resources

Risk 7: Estates and Environment

Facilities management, sustainability, safety, estates projects



Possible Questions to Ask

MANAGEMENT OF HEALTH AND SAFETY

- Is there a school level Health & Safety Policy that details:
 - Statement of intent signed by the Head Teacher
 - Clear roles and responsibilities for all staff including a named governor
 - Arrangements in place for the management of H&S
- How does the school share and communicate the content of the policy and the site arrangements for managing safety?
- Has the school level H&S policy been reviewed within the last 12 months?
- Has the H&S governor engaged with the leadership team to drive forward improvements
- Is there a person delegated at the school with overall responsibility for H&S Management? If so, has that person received appropriate training in how to fulfil their duties?
- Does the school have a structured meeting in place to discuss aspects of H&S management, such as a H&S steering group or committee? If so, how does the group act to improve levels of safety performance within the school?

OPERATIONAL RISK ASSESSMENTS

- Does the school have a process in place to manage risk assessments? How does the school determine what tasks and activities to assess?
- Is there a structured review program in place to ensure that risk assessments are reviewed?
- How does the school ensure the competency of those staff involved in the risk assessment process?
- How do risk assessments get agreed and approved? Is there a method of ensuring that the school has access to up to date guidance on activities?
- Is the Site Manager regime of regular checks (i.e. Estates Housekeeping & Maintenance Checklist) completed and up to date with all resultant actions closed out?
- Is there an accurate oversight and understanding of known risks in the school by the Headteacher, and are processes for managing situations known to pose risk monitored for effectiveness?

TRAINING AND COMPETENCY

- How does the school ensure that staff have received relevant training for their role, such as COSHH, Work at Height and EVC training?
- Is there a process in place to review training undertaken by staff to ensure it is refreshed at an agreed interval?
- How does the school check and validate that staff have undertaken their required training? Is there an agreed process to follow up and ensure action is taken against those not completing required training?
- How does the school ensure that all staff and new starters are provided relevant safety information? Is there a formal staff induction process in place and is it recorded?



Possible Questions to Ask

ACCIDENTS AND INCIDENTS

- Is there a formal process in place for the recording of incidents and near misses within the school and for off-site activities?
- Does the school ensure that all incidents are investigated and appropriate action taken to prevent their reoccurrence? If so, what does incident data tell you about trends and issues within the school?
- Are SLT involved in the review of school incidents to review trends and ensure that the school has appropriately investigated all incidents?
- How does the school ensure that all staff are aware of the process to report incidents? This may extend to cover staff and contractors.
- Has the school assessed and recorded its first aid needs?
- Has the school ensured that an appropriate number of staff have been first aid / emergency first aid and or paediatric first aid trained?
- Are records or training available on site and in date?
- How does the school ensure that incident data is communicated to LGB members?
- Is there a process of feedback review to ensure that corrective actions are critically reviewed to drive performance?

PLAYGROUND AND PLAY EQUIPMENT

- How does the school ensure that: Annual inspections are undertaken on external play equipment by a competent RPII inspector
- Maintenance and repairs are undertaken to defective equipment
- The undertaking of weekly routine visual inspections are completed and recorded.
- Is there a process or management system in place to ensure that external play fields and play areas are inspected for damage and defects? How are defects managed and escalated?
- Are there shaded/cool areas in the playground for pupils?
- Is there a system for checking the temperature of the equipment during very hot weather to ascertain if it is safe for use?

TREES

- For trees within the school's management control, how do you ensure that they are safe and do not pose a risk to occupants? Particularly during increased extreme weather
- Are trees inspected every three years by a competent person, such as a tree surgeon?
- Are regular inspections undertaken by the school to identify damage or disease that may occur through the year?
- How do you use the inspection and monitoring data to ensure appropriate action has been taken?



Possible Questions to Ask

PREVENTING TRIPS AND SLIPS

- Are the floor surfaces in the school appropriate for their intended use and free from excess damage that may cause a trip hazard?
- Do you have in place a procedure for dealing with spills and floor contamination? How are lunch and break times managed to ensure that spills are dealt with to prevent slipping?

DEFECT REPORTING

- How do staff and others make the school leadership team and premises team aware of property defect and issues?
- Is there a way to formally record issues and if so who owns and manages that process?
- Is there evidence to demonstrate that defect reporting is effective and that issues are getting resolved as a result of reporting?

ELECTRICAL SAFETY

- Is the school able to demonstrate that all of the fixed electrical circuits have been inspected by a competent person within the last 5 years (10 years for new schools)?
- How are defects managed?
- Can the school demonstrate that all C1 issues are rectified that that C2 risk are either closed on in progress?
- Has the school a program of portable electrical equipment checks?

FIRE SAFETY

- Has the school ensured that it has an up to date fire risk assessment that covers the entire premises?
- Are the school aware and managing the actions that have been identified in the fire risk assessment?
- How does the school make all relevant staff aware of fire safety precautions for the site, including what to do in the event of a fire?
- Do SLT members check that all staff understand the information provided, such as spot checks or refresher sessions?
- How regularly are procedures such as fire drills and lockdowns practised and what has been learnt from the practice drills?
- How does the school test its fire safety systems, for example how do you use termly drill to test understanding of fire safety procedures?
- In the event of a blackout, what procedures are in place to ensure the restoration of the fire safety system?

FLOOD SAFETY

- Are schools aware of their particular risk of flooding – historical?
 - Are there procedures in place in the event that a flash flood or any flood closes the school? In particular making electrical and gas supplies safe.
 - Are the ground surfaces of the school e.g. the playgrounds porous to enable the water to disperse rather than overwhelm the drainage?
 - When surfaces are replaced do they make allowances for sustainable urban drainage and managing the flow of water?
-



Possible Questions to Ask

OVERHEATING

- How is the risk of overheating being managed?
 - Passive (doesn't require energy) – is there a way of keeping the heat out in the building e.g. shutters/blinds on windows, opening windows (including at night if possible), thickness of walls and what they are made out of, classrooms facing north rather than south, mechanisms to shade.
 - Active –(whole building system to keep the air cool that uses energy) air conditioning, fixed ceiling fans. Are these maintained appropriately and part of the school's risk assessments
- When refurbishing the building has there been consideration of overheating risk e.g. TM59 'Design methodology for the assessment of overheating risk'

BIODIVERSITY

- Is there a biodiversity action plan for the school grounds – see green spaces advisory board
 - Drought tolerant planting
 - Appropriate surfaces that allow drainage and not overheating e.g. not tarmac or astroturf

ENERGY

- Has the school made allowances for the increases in energy costs?
- what are the mitigations the school has put in place to reduce the cost of energy
- Has the school (along with the Trust) made provision within a long term financial plan for the cost of decarbonisation within the building structure and the way it uses energy (boilers)
- Has energy been procured correctly, responsibly and ethically – with a deliberate choice to use energy generated by renewable sources? And joint procurements where practical?

PUPIL SAFETY (INCLUDING SCHOOL JOURNEY)

- Have any alternative provisions had full checks undertaken of safer recruitment and safeguarding policy, practice and procedure?
- How is the safety of pupils attending alternative provision checked?
- How does the school assess and manage the risk of school trip and journeys?
- Is there a process of risk assessment in place that has been communicated to staff?
- Is there a named Educational Visits Coordinator for the school? If so, what training and experience do they have to effectively manage journeys?
- How does the school agree and approve journeys?
- Are perimeter and building checks implemented at the beginning and end of each day?
- Are all security systems fit for purpose, checked, maintained and fully operational (e.g. CCTV, Redwall system, intruder alarm, panic alarm, automated door / gate entry systems, door maglock systems etc?)
- Is there an effective external secure line?
- Is there an effective internal secure line at reception and entrance areas?
- Are external contractors compliant with DBS requirements and provisions for safeguarding?



Possible Questions to Ask

PROJECTS AND ESTATES

- Do Governors review project milestones and ensure that projects are delivered on time and as close to budget as possible?
 - Are all necessary statutory compliance risk assessments (including reviews), contracts and services in place and being carried out?
 - Are all necessary term / cyclical / preventative maintenance contracts and services in place and being carried out? Including restoration of service in the event of power blackouts
 - Are all actions (of an operational nature) recorded during Maintenance Surveyor visits carried out OR programmed to be implemented by priority?
 - Are items from the School Condition Survey (of an operational nature) identified as a responsibility of the school been actioned OR programmed to be actioned as per the survey Grading & Priority protocols?
 - Are construction and / or maintenance works carried out in accordance with CDM 2015 and other relevant statutory, Planning and Building Control requirements?
-

The Risk register

Section	Name of section	Columns
1	Risk Details Gives you the basic details of the risk 'There is a risk that.....'	A-E
2	Causes and Consequences As it says, what has caused this to be a risk and what might happen if it is not addressed	F and G
3	Control measures Relating to what you have in place already, how well implemented is it and is what you have done and how you have implemented it effective - refer to the triangle of controlling risks	H, I, J
4	Scores What scores would you give your control measures and therefore how risky is it	K, L, M, N
5	Actions Always consider if there is anything you can do to implement your existing controls better, or implement new controls to reduce the risk further, and once this has been written down how would you assess the risk then? (would it be a more acceptable risk) (this would be your target risk scores)	O - U
6	Closure	V

The Risk register - what goes where

A	B	C	D	E
Risk details				
Risk reference number	Date raised	Risk owner	Risk category	Risk description
				HERE FIRST What is the risk? Start with 'There is a risk that the school fails to meet its financial commitments due a deficit budget.'

F	G
Risk details	
Risk causes	Risk consequences
HERE SECOND Start with 'The risk has been caused by.....' Think internal factors first as these are within your control e.g. leadership costs are high, supply costs 3x more than anticipated, contingency budget not set last year and we had to pay for the roof. Then turn to external factors – less hard to control e.g. falling roll, additional maternity leave.	HERE THIRD Start with 'This could result in... which could result in the school unable to deliver its goals. (refer to slides 5 and 6)

The Risk register - what goes where

H	I	J
Control measures		
Existing control measures	Status of implementation	Effectiveness of controls
HERE FOURTH What are you doing already to control the risk – I.E. what you have written in E, F and G? Reduced the supply budget line from 20K to 5K, did not replace the mat leave colleague and covered internally, produced a marketing plan to try to increase the roll	FULLY MET PARTIALLY MET NOT MET	EFFECTIVE ACCEPTABLE NEEDS IMPROVEMENT INEFFECTIVE

K	L	M	N
Scores			
Likelihood	Impact	Overall risk	Risk acceptability
What is the likelihood of what you have in E happening?	What is the impact if the thing in E happens	This will be filled automatically	This will be filled automatically.

The Risk register - what goes where

O	P	Q
Action		
Details of actions required to improve controls	Person/group responsible	Target likelihood score
So what we have already done is not controlling the risk enough – we need to do more so the controls are implemented better and/or we are doing more to control the risk Reduce the supply budget to 1K and always cover internally Investigate insurance costs to cover unexpected maternity leave in the future Restructure of senior leadership roles Put in additional parent tours and take some new photographs for the website		by completing the further actions in O – what will the likelihood of what you wrote in e happening?

R	S	T	U
Action			
Target impact score	Target overall risk score	Target risk acceptability	Target date for completion
Will the impact of the risk in E be further reduced if the actions in O are implemented?	THIS WILL BE FILLED IN AUTOMATICALLY	THIS WILL BE FILLED IN AUTOMATICALLY	

Top tips for completing your risk register

Fill in column E first RISK

1. Be very specific about the risk you are describing. It should be something that is worrying you at the moment e.g. In finance, I am most worried about the deficit increasing and not being able to set a balanced budget
2. Describe the risk (worry about the deficit/balanced budget) clearly e.g. The current deficit is large and growing and there is a risk that I cannot set a balanced budget and the school will fail to meet its financial commitments.
3. Be very mindful of the language you use to describe the risk, don't imply an OFSTED grade lower than your self-evaluation (safeguarding is particularly vulnerable to this).

Fill in columns F and G next RISK

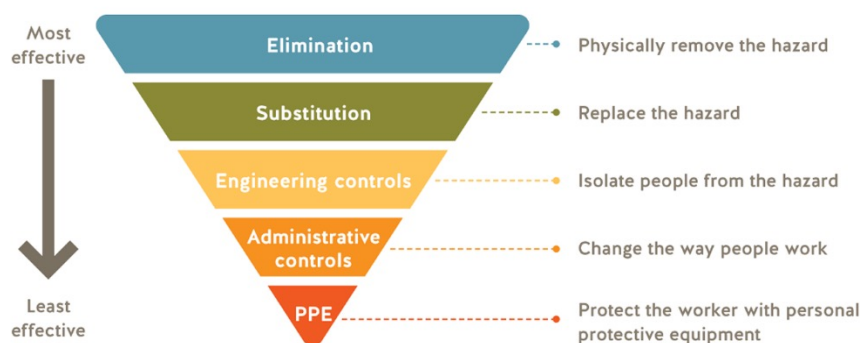
1. When describing the causes of the risk, think internal factors first as these are within your control e.g. I have a legacy leadership structure which means costs are high, and supply costs were 3x higher than the budget that was set, there was no contingency in the set budget last year and we had to pay unexpectedly for fixing the roof.
2. Then go to external factors e.g. there has been an additional maternity leave, falling roll in Reception
3. Column G – the consequences of this should link to the risk description in column E. Start with 'This could result in....' e.g. This could result in the school not able to set a balanced budget and therefore unable to deliver its financial and educational goals.

Fill in columns A-D

These are pretty straightforward. D has a drop down menu – so for this example you would choose financial. If you are not sure about the category please refer to the guidance booklet or to the PPT from 12th January 2023.

Fill in column H CONTROLS

Explain specifically what you are doing right now, in your everyday work to control that risk that you wrote in E F and G. Think who does it, what do they do and how often do they do it e.g. we will cover internally as far as possible if there is staff absence, we will not replace people who are leaving. Remember the hierarchy of controls as some controls are more effective than others.



Fill in columns I and J CONTROLS

These refer back to column H, so for those controls you have listed, how fully have they been implemented and how effective are those controls? So you may have some great controls but you have enacted them yet, so column I would read not met and column J would be 'ineffective'. E.g. you have reduced the supply budget line from 20k to 5k but the monthly BMR shows the spend on this is already at £4789, with another term to go, so you might say it has been 'fully implemented' but its effect 'needs improvement'

Fill in columns K and L (M and N then fill automatically with formulae)

1. Considering all the control measures you have in place already (column H), how would you evaluate the risk? Use the guidance, charts, matrix (x and y axes) to help you. Remember likelihood first (column K) (y axis) then impact (column L) (x axis).

The tendency at the moment is to overstate the risk, mostly through over-estimating how often it could happen within the school. The risk guidance asks you to think first, in terms of the next year, but also consider the risk over the next three, five and ten years. Only if it has materialised in your school (or in a similar school) more than 6 times over those 10 years (for example), is it considered to be likely. Remember these figures are a guide, a best fit.

If you are specific about your risk in column E, then it should be easier to evaluate the likelihood of it occurring and the subsequent impact.

Anything with a risk rating of more than 10 will be scrutinised externally as it is considered moving towards an unacceptable risk

Fill in column O ACTIONS

Despite what is in place already to mitigate the risk (column H), this might not be enough, and the risk remains too high. You will need to do more going forward to reduce the risk – these are your actions

1. First, think about whether your existing controls are enough, if they are they need to be implemented better so how will you do that? If they are not enough what else will you do?
2. Always think first about what is in your gift to do and will reduce the risk rating
3. Next, list the actions that only others, so not within your 'gift', can undertake (reasonably speaking)
4. Ensure each of the further actions detailed in column O have a specific person who is responsible for that action (column P) with a date for completing (column U)
5. Have you considered all the relevant factors, have you given reassurance where it is needed (i.e. a 10+ risk is being addressed robustly)?

Fill in columns Q and R (S and T will fill automatically) ACTIONS

IF all of your actions can be completed, what will the risk rating be? We aim for as low as possible, but not every risk can be low (3 or less) or routine (4 or 5). If a risk register's target ratings are all 3, 2 or 1, particularly where risk started at 15+ (high), then this raises lots of questions about whether the controls that have been proposed are actually doable.

Charter.