

South Bank Academies Board Meeting

2.00 - 4.00 pm on Thursday, 14 September 2017
in South Bank Engineering UTC, 56 Brixton Hill SW2 1QS

**2.00 – 2.30 pm a tour of the new UTC building*

Agenda

<i>No.</i>	<i>Time</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
9.		MAT risk register	3 - 4	CV

Date of next meeting
14.00 on Thursday, 7 December 2017

Members: David Phoenix (Chair), Rao Bhamidimarri, Adam Crossley, Douglas Denham St Pinnock, Steve McGuire, Richard Parrish and James Stevenson

In attendance Michael Broadway, Claire Viner and Pervena Singh

Apologies Richard Flatman and Tony Giddings

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	CONFIDENTIAL
Paper title:	MAT Risk Register
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	14 September 2017
Author:	Jamie Waller, Projects Administrator
Sponsor:	Rao Bhamidimarri, CEO
Purpose:	To Review
Recommendation:	The Board are asked to note the presented MAT Risk Register.

Executive Summary

The Risk Register 2017-18 highlights the key risks for South Bank Academies under six key categories;

- Compliance
- Finance
- Staffing
- Pupil Levels
- Infrastructure
- Reputation

The register calculates the risk level associated to each risk by combining the probability of the risk and the impact of the risk. Also listed are the actions that have been taken to mitigate each risk. Each risk will have an 'Owner' to take responsibility for the risk and ensure the mitigating actions are undertaken and deployed. The Register is an ongoing document and will be reviewed each year. All current risks will be re-assessed and emergent risks will be added. Each school within the Trust will have its own Risk Register that is aligned to the schools' operations.

Significant change from the last review:

- Staffing – Academy recruitment of permanent principal complete and recruitment targets met for 2017/18 has reduced the risk level from high to low.

High Risk areas currently are:

- Safeguarding as above.
- Compliance – The UTC have now moved into their new building.

South Bank Academies Risk Register

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Owner	Last reviewed	Date for next review	Status	Change
Compliance	Inappropriate Governance structure and organisation	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow.	1	3	3	Department for Education oversight and approval. Periodic Ofsted inspection. Qualified and experienced Governance support.	Chair	Feb-17	May-18	Open	→
Compliance	Inadequate level of challenge and ineffective local governance affects Trust overall	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow. Risk of one establishment not following Trust procedures.	1	3	3	Representation of the Trust on local governing bodies. Annual review of local governing bodies including external audit.	Chair	Feb-17	May-18	Open	→
Compliance	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	2	3	6	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies. Regular reports to the board, Adequate insurance cover. Probability rating currently higher than normal due to temporary building used by UTC.	CEO	Feb-17	May-18	Open	→
Safeguarding	Safeguarding incident at one of the schools.	Risk to reputation nationally and locally, DfE and HSE intervention depending on scale of the event.	2	3	6	All schools employ the services of experienced staff with appropriate safeguarding qualifications. All staff and governors are given safeguarding and prevent training on induction. All students and staff complete e-safety training and fire drills are in place to secure all ICT networks.	CEO	Feb-17	May-18	Open	→
Finance	Changes to Funding via Government policy	Any changes could cause a loss in income.	2	3	6	Monitoring of Government policy, Long term forecasts, Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Finance	Poor financial performance by one or more school	A deficit or liabilities in one or more schools will affect the Trust financial viability and could have significant risk for finance and cash flow and action by DfE	1	3	3	Trust financial controls and procedures will be set and communicated to all staff. Monthly Management accounts, Schedule of delegation, Budget monitoring by LGB and the Trust, Internal and External Audit. Regular reports to Trust members. Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Finance	Financial controls and systems are not adequate or maintained	Risk that policies and procedures are not followed and that value for money is not considered in procurement and staff costs.	2	2	4	Trust financial controls and procedures will be set and communicated to all staff. Monthly Management accounts, Schedule of delegation, Budget monitoring by LGB and the Trust, Internal and External Audit. Regular reports to Trust members. Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Staffing	Failure to recruit key management posts and Inadequate competency of staff within the Trust or the Schools	Staff not able to carry out their duties, poor management and decision making, poor quality of teaching and learning leading to poor student outcomes. Unsatisfactory Ofsted grading leading to reputational risk.	1	3	3	Thorough recruitment programme, comprehensive professional development, Strong Appraisal system. Recruitment of specialist staff for key positions.	CEO/Principals	Feb-17	May-18	Open	↓
Staffing	Inadequate number of staff within the Trust or the Schools	Inadequate teaching and learning and student support.	1	3	3	Monthly monitoring of staffing levels from all schools, independent exit interviews for all staff, comprehensive recruitment processes.	CEO/Principals	Feb-17	May-18	Open	→
Pupils	Failure to recruit sufficient number of pupils in Trust schools	Reduction in pupil led income which could lead to cash flow or long term financial problems.	2	3	6	Trust and school Marketing capacity and effective admissions processes. Monthly reports on pupil numbers for monitoring. Benchmarking against local rival schools.	CEO/Principals	Feb-17	May-18	Open	→
Pupils	Poor students outcomes in Trust schools	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers.	2	2	4	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Principal reports to local governing body.	CEO/Principals	Feb-17	May-18	Open	→
Infrastructure	Land and Buildings are fit for purpose.	Damage to property due to poor maintenance could cause disruption to business continuity and cause damage to pupils learning and Trust reputation	1	3	3	Each school will have a maintenance programme and this will be assessed and monitored by a Trust staff member. Adequate budgets for building maintenance are provided. Regular site checks by facilities team and external audits.	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Infrastructure	New School Projects embarked on without appropriate design and construction. Insufficient due diligence undertaken for going concerns.	Existing school could transfer reputational or financial risks and new schools need an appropriate learning environment.	2	2	4	Professional and independent advice sought before any project undertaken.	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Infrastructure	Failure to safeguard school or academy assets to theft or damage by third party	No provision for security or prevention systems or inadequate insurance causing financial risk or risk to student safety	2	2	4	All schools will have adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment are monitored and audited regularly. Adequate insurance is provided.	Trust Business Manager/CEO	Feb-17	May-18	Open	→
Reputation	High profile event in one school affects Trust overall	Risk to reputation nationally and locally depending on scale of the event.	1	3	3	Critical Incident plan for each school will list what should happen and delegation of duties in the event of an emergency situation.	CEO	Feb-17	May-18	Open	→

Key - Areas	Risk Calculation	Probability		
Compliance	Impact	1 low	2 medium	3 high
Safeguarding	1 low	1	2	3
Finance	2 medium	2	4	6
Staffing	3 high	3	6	9
Pupil Levels				
Infrastructure				
Reputation				