

South Bank Academies Audit Committee Meeting

2.30 - 4.30 pm on Wednesday, 29 November 2017
in 1B16 - Technopark, SE1 6LN

Agenda

<i>No.</i>	<i>Time</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
15.		School risk registers (to review)	57 - 62	CV

**Date of next meeting
4.00 pm on Tuesday, 6 March 2018**

Members: Richard Flatman (Chair), Adam Crossley and Tony Giddings

In attendance Claire Viner, Rao Bhamidimarri, Michael Broadway, Joe Kelly and James Stevenson

Apologies

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UTC Risk Register

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Owner	Last reviewed	Date for next review	Status
Compliance	Inadequate level of expertise and challenge on Local Governing Body leading to ineffective local governance.	Failure to achieve mission and objectives of the School/Trust. Poor decision making and information flow.	1	3	3	Appropriate recruitment process for governors. Representation of the Trust on local governing bodies. Annual review of local governing bodies including skills audit.	Trust Board/Chair of LGB	Jun-17	Monthly	Open
Compliance	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	1	3	3	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.	Principal	Jun-18	Jul-18	Open

Safeguarding	Safeguarding incident at one of the schools.	Risk to reputation locally and nationally, DfE and HSE intervention depending on scale of the event.	2	3	6	Experienced SENDCO service acquired from adjoining school. All staff and governors are given safeguarding and prevent training. All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	Principal	Jun-18	Jul-18	Open
Finance	Changes to Funding via Government policy	Proposed changes could cause a loss in income.	1	3	3	Monitoring of Government policy, Long term forecasts monitored by LGB, Financial expertise at Operational and Trustee level.	CFO/CEO	Jun-18	Jul-18	Open
Staffing	Failure to recruit key teaching and support staff posts. Inadequate competency of staff within the School.	Staff not able to carry out their duties, poor management and decision making, poor quality of teaching and learning leading to poor student outcomes. Inadequate Ofsted grading leading to reputational risk.	2	3	6	Thorough recruitment programme with all relevant staff trained, comprehensive professional development, Strong Appraisal system. Competitive remuneration and career development.	Principal	Jun-18	Jul-18	Open

Staffing	Inadequate number of teaching and support staff within UTC	Inadequate teaching and learning and student support leading to poor student outcomes. Negative termly report by DfE potentially leading to intervention.	1	3	3	Monthly monitoring of staffing levels from all schools, independent exit interviews carried out by Trust for all staff, comprehensive recruitment processes.	Principal	Jun-18	Jul-18	Open
Pupils	Failure to recruit sufficient number of pupils in to Year 10.	Reduction in pupil led income which could lead to cash flow or long term financial problems.	3	3	9	Trust and UTC Marketing capacity & delivery and effective admissions processes. Monthly monitoring of pupil numbers. Work with local secondary schools to promote engineering education and careers.	Principal	Jun-18	Jul-18	Open
Pupils	Failure to recruit sufficient number of pupils in to Year 12.	Reduction in pupil led income which could lead to cash flow or long term financial problems.	2	3	6	Trust and UTC Marketing capacity & delivery and effective admissions processes. Monthly monitoring of pupil numbers. Work with local secondary school with no post 16 offer. Networking with feeder schools.	Principal	Jun-18	Jul-18	

Pupils	Poor students outcomes.	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers.	2	3	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Incoming students assessed for suitable attainment levels. Principal reports to local governing body.	Principal	Jun-18	Jul-18	Open
Infrastructure	Land and Buildings are fit for purpose.	New Building: Opened Sept 2017. on-going potential snags. Potential disruption from Phase 2 works	1	3	3	New Building opened on 11th Sept 2017, ahead of schedule. Maintenance programmes are in place for the new building and are assessed and monitored by Principal and forwarded to Trust. Adequate budgets for building maintenance are provided. Regular site checks and external audits.	Principal/Trust Business Manager	Apr-18	May-18	Open

Infrastructure	Failure to safeguard school or assets to theft or damage by third party	Damage to building and assets. Health and safety risk to students and staff. Reputational damage and poor learning outcomes.	1	2	2	UTC has adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment are monitored and audited regularly. Adequate insurance is provided.	Principal	Apr-18	May-18	Open
Reputation	High profile event in the school affects Trust overall	Risk to reputation nationally and locally to the school and the trust.	1	3	3	UTC will have a Critical Incident plan which is regularly assessed listing a delegation of duties in the event of an emergency situation.	Principal/CEO	Apr-18	May-18	Open
Risk Calculation	Probability									
Impact	1 low	2 medium	3 high							
1 low	1	2	3							
2 medium	2	4	6							
3 high	3	6	9							

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