

**RISK ACTION PLAN**

**BCWCAT**

**R.A.P Version No 1**

**11.9.18**

**Date: 26/09/2018**

Risk No	Risk Description	Risk Owner	Current status / controls - and action points highlighted	Resources Required	Initial Risk Rating	Target Impact Score	Review Date(s)	Risk Review Alert
(A1)	Directors and Headteachers can evidence they understand and comply with all key educational, H&S, tax/accounting and employment legislation	Chair of Trust / Business Director	1. Ongoing training and events through external links. 2. AVEC office staff provide Finance, HR, legal advice - external support: auditors; solicitors; risk management SLA. 3. Headteachers group will meet every half term - school : school support is excellent through CSP. 4. Range of policies starting to be put in place - working towards full bank of Trust policies to ensure consistent practice.	Trust staff time built into Trust charge	2	2	1.7.18	tolerate
(A2)	Do all individual school Heads and Business Managers have a clear understanding ofGDPR?	Chair of MAT/CEO	1. GDPR policy in place for Trust 2. Trust office act as central data controller with ICO - for FOI / SAR	Central Policy to be finalised	3	2	1.7.18	xxxx
(A3)	Virus risk/corruption of data risk/incorrect release of data will not happen?	Chair of Trust/OneIT	<b>1. Appropriate anti-virus and backup procedures in place at most schools</b> <b>2. Ensure Trust ICT user policy is adopted.</b> <b>3. Establish annual ICT health check</b>	internal audit via business managersr - summer term 2017	3	2	1.7.18	xxxx
(A4)	Can individual schools function in the event of loss of data/technology systems for several days?	Finance Director / School Business Managers	1. Trust 'critical incident' plan in place. Headteachers have received training. 2.Trust business continuity plan in place 3. <b>Method to test / review needed</b>	internal audit	4	2	1.7.18	xxxx
(A5)	Will the impact of an uncontrollable event adversely affect delivery of service - eg fire, flood, chemical spill?	Headteachers	Refer to above: individual school critical incident plans are the responsibility of local Academy Councils to review. Academy councils to do an annual H&S audit. Trust overview in place	Ensure discussion annually through academy councils	2	2	1.7.18	tolerate

(A6)	Are controls in place to ensure individual schools do not spend excessively, or where probity could be an issue?	Accounting Officer / Business Director / Group Accountant	1. Robust monitoring and reporting systems in place through Trust office 2. Appointment of Finance Director has strengthened Finance. 3. Finance handbook reviewed annually and circulated to schools. 4. Business managers conference / training / held each half term. 6. Finance director to advise and attend attends individual schools Academy council meetings annually.		2	2	1.7.18	tolerate
(A7)	Are suppliers/3rd party providers assessed for financial viability, VFM and quality of service?	Business Director / Group Accountant / School Business Managers	1. Individual schools monitor contract review schedules. 2. <b>Working towards central Trust contracts and approved supplier list.</b>	Staff time across the Trust	3	2	1.7.18	xxxx
(A7)	Do the Trust and Academy boards have appropriate levels of delegated authority?	Chair of Trust	Trust scheme of delegation complete, reviewed annually		3	2	1.7.18	xxxx
(A9)	Do Directors have the suitable skills to undertake the tasks expected of them?	Chair of Trust	1. Academy boards will have undertaken skills audit	Ongoing training through external providers	2	2	1.7.18	xxxx
(A10)	Is sound financial management clearly defined within a financial procedures manual?	Business Director / Group Accountant	Finance handbook in place - reviewed and circulated annually		2	1	1.7.18	xxxx
	Is an appropriate schedule of internal controls in place?	Chair/CEO / Group Accountant / Sch head teachers	1. Payroll - by Xentrall 2. Annual H&S audits 3. ICT controls Reports circulated to individual schools, action plans reviewed by Academy boards; 'spot checks' through Trust office. Internal assurance secured by Tait Walker, robust plan in place.	Cost of internal audit	2	2	1.7.18	xxxx

(A11)	Is there appropriate strategic direction in place to safeguard the Trust as a going concern, faced with further funding cuts, potential deficit budgets, including the central Trust budget, pension deficits and a trend towards declining pupil numbers	Board of Directors / Finance & Audit Committee	<ol style="list-style-type: none"> <li>1. Look at Trust charge to of 1 -3%. <b>Need to establish % top slice</b></li> <li>2. Policy for the management of surplus funds to be developed.</li> <li>3. Further centralisation of finance and HR functions under consideration.</li> <li>4. New 'Chairs of AcademyAdvisory Boards' forum meetings to be established, termly, to communicate strategic direction of the Trust</li> </ol>		3	2	1.7.18	xxxx
(A13)	Are assets appropriately safeguarded and not misappropriated?	Chair/CEO / Group Accountant / Sch head teachers	Fixed assest register in place in both schools and reviewed annually.		2	2	1.7.18	xxxx
(A14)	Are the buildings suitably protected and adequately maintained - suitable risk assessment processes in place for all school-based projects and activities?	Chair/CEO / Group Accountant / Sch head teachers	<ol style="list-style-type: none"> <li>1. Individual school actions highlighted in H&amp;S audits. SLA with Stockton LA</li> <li>2. Trust summary received to identify risks and implement Trust-wide strategies.</li> <li>3. Trust H&amp;S policy in place and reviewed annually</li> <li>4. Trust premises development plan to be produced</li> <li>5. Asbestos awareness training completed</li> <li>6. <b>Central, consistent risk assessment in place across key premise staff.</b></li> <li>8. <b>Fire risk assessments require annual review at individual schools</b></li> <li>9. Condition surveys reviewed annually</li> </ol>	Staff time - support of AJG risk management SLA	3	2	1.7.18	xxxx
(A15)	Is successor planning in place to ensure limited reliance on key leadership staff?	Chair of Trust / Chairs of LABs / Headteachers	<ol style="list-style-type: none"> <li>1. Leadership development programme in place through Headteacher group.</li> <li>2. Aspiring leaders training through Diocese</li> <li>3. <b>Appointment of HTs and Deputy HTs present risks owing to reduced fields of applicants (Requiring practising Catholic)</b></li> <li>4. EHT model working well across 4 primary schools</li> <li>5. Teaching School provides opportunities</li> </ol>	Ongoing training	3	2	1.7.18	xxxx

(A16)	Is suitable training provided and CPD regularly reviewed for all staff?	directors/Headteachers / LABs	<b>1. Appraisal Policy to be discussed in 2017.</b>	Policies from HR to be obtained.	3	2	1.7.18	xxxx
(A17)	Are the Board of Directors reassured that standards are adequately monitored to ensure no Ofsted 'surprise' judgements?	Standards Director/Headteachers/LABs	HT Reference group established, CSP director employed by the Trust, One Education a strategic partner. School review programme; networking meetings; leadership development programme; ; work of the Trust Standards sub-committee; Diocesan networking	Training and meeting time	2	2	16/10/2017	review risk now
(A18)	Can the Trust adequately facilitate future expansion?	Board of Directors	1. Policies and procedures for Finance and HR are compliant. 2. Timing and planning is key. 4. Due diligence is key, to avoid financial risks. 5. Auditors appointed - well placed to advise on future expansion challenges 6. Plans for further centralisation are key	Back up staff for Trust office from start-up grants	3	2	16/10/2017	review risk now