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| Abbreviations |
| SLTT - Symphony Learning Trust Trustees |
| EH - Executive Heads |
| SBMS - School Business Managers |
| LGB - Local Governing Boards |
| HT - Head teachers |
| HOS - Heads of School |
| AO - Accounting officer |
| CFO - Chief Financial officer |
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Risk Register

| Attributable Risk | Impact | | | | | Probability | Risk Factor | Response | Action Plan – Controls and Monitoring | | |
|------------------------|---|----------|--------------|---------|--------|-------------|-------------|----------|---|---------------------------------|---------|
| | Finance. | Operate. | Stake Holder | Average | Action | | | | Person(s) responsible | Review of risk | |
| Compliance Risk | Overall failure of the SLT due to being a 'new' organisation (numerous factors could contribute) | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | The following risks in this Risk Register are identified to mitigate this likelihood:- | SLTT / SBMS / EH / HT / HOS LGB | Termly |
| Compliance Risk | Legislative requirements regarding employment law are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | SLT is aware of current legislation, seeks advice from HR Advisors and has contact with solicitors. The Trust carries legal cover insurance. | SLTT / SBMS / EH / LGB | Termly |
| Compliance Risk | Legislative requirements regarding data protection are not complied with that could lead to data being used inappropriately | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a Data Protection Policy | SLTT / SBMS / EH / LGB | Termly |
| Compliance Risk | Legislative requirements regarding freedom of information are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a Freedom of Information Policy | SLTT / SBMS / EH / LGB | Termly |
| Compliance Risk | Legislative requirements regarding equal opportunities are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Academies have Equality Policy & Plans | SLTT / SBMS / EH / LGB | Termly |
| Compliance Risk | Legislative requirements regarding statutory accounts are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a strong Finance team who work alongside the EFA, Auditors and Responsible Officer | SLTFC / AO / CFO / LGBFC | Termly |
| Compliance Risk | Legislative requirements regarding Accounting standards are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a strong Finance team who work alongside the EFA, Auditors and Responsible Officer | SLTFC / AO / CFO / LGBFC | Termly |
| Compliance Risk | Legislative requirements regarding Statement of Recommended Practice are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a strong Finance team who work alongside the EFA, Auditors and Responsible Officer | SLTFC / AO / CFO / LGBFC | Termly |
| Compliance Risk | Legislative requirements regarding Charities Act are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a strong Finance team who work alongside the EFA, Auditors and Responsible Officer | SLTFC / AO / CFO / LGBFC | Termly |
| Compliance Risk | Legislative requirements regarding tax changes are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Trust has a strong Finance team who work alongside the EFA, Auditors and Responsible Officer | SLTFC / AO / CFO / LGBFC | Termly |
| Compliance Risk | The Board is not aware of legislative requirements | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Auditors recommend changes through annual reporting | SLTT | Termly |
| Compliance Risk | Legislative requirements regarding Child Protection/Safeguarding/PREVENT are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | There are robust training and recruitment processes in place All staff to attend school-based Safeguarding training in its entirety School-based Safeguarding audits are to take place annually (Spring Term) and reported to the Trustees Pupils are made aware of how to report safeguarding issues The Trust/Academies keeps up to date with changes in legislation and have appropriate policies in place Regular updates are provided to the Hub Council A Single Central Register is in place | SLTT / SBMS / EH / LGB | Termly |
| Compliance Risk | Legislative requirements regarding National Curriculum are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | Curriculum for each school is available with attendance and timetables known | EH | Termly |
| Compliance Risk | Legislative changes regarding food safety are not complied with | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | LA Catering used by all schools | EH / SBMS | Termly |
| Financial Risk | The Academy cannot meet its budgets and runs at a deficit | 3.00 | 3.00 | 3.00 | 3.00 | 2.00 | 4.00 | Avoid | Management accounts are produced to the agreed time-scale and submitted to Board and Finance Committee termly. | SLTFC / AO / CFO / LGBFC | Termly |
| Financial Risk | Changes in funding are not reacted to in a speedy manner | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Any funding change is reported at Board, Finance Committee and SLTT in a speedy manner | SLTFC / AO / CFO / LGBFC | Termly |
| Financial Risk | Fraudulent activity within the Academy | 3.00 | 2.00 | 1.00 | 2.00 | 1.00 | 2.00 | Mitigate | Financial regulations and procedures are updated annually. Any suspicion of fraud is reported to the Chair of the Board immediately. All staff to be made aware of Financial regulations and Procedures and their responsibilities. Trust appoint auditors for annual audit. | SLTFC / AO / CFO / LGBFC | Termly |
| Financial Risk | Expenditure is incurred or committed to without adequate authorisation | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Financial procedures and Scheme of Delegation are embedded within the Academy. These include authorisation limits | EH / SBMS | Termly |
| Financial Risk | Local Government pension Scheme is in deficit | 3.00 | 1.00 | 1.00 | 1.67 | 1.00 | 1.67 | Accept | Obtain annual valuations and provide, in full, in accounts as per FRS17 | SLTFC / AO / CFO / LGBFC | Termly |
| Financial Risk | Invoices are not raised for all transaction | 3.00 | 1.00 | 1.00 | 1.67 | 1.00 | 1.67 | Avoid | Budgets are checked monthly to ensure that anticipated income is received. All new income streams not anticipated at budget build time to be notified to Finance | HT / HOS / SBMS | monthly |
| Financial Risk | New Health and Safety legislation results in increasing costs | 3.00 | 1.00 | 1.00 | 1.67 | 2.00 | 3.33 | Accept | Changes in legislation are inevitable. Careful consideration of all changes to be reported to the Board | SBMS | monthly |
| Generic Risks | Failure of IT systems leading to data/communications loss | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Avoid | Data backups in place and checked routinely. Disaster recovery plan to be formulated | LGBS / EH / HT / HOS | termly |

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Risk Register

| | Attributable Risk | Impact | | | | | Probability | Risk Factor | Response | Action Plan – Controls and Monitoring | | |
|-------------------|---|----------|----------|--------------|---------|--------|-------------|-------------|---|--|----------------|--|
| | | Finance. | Operate. | Stake Holder | Average | Action | | | | Person(s) responsible | Review of risk | |
| Generic Risks | Major disruption of the building due to fire, flood or other disaster | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Review disaster recovery plan to ensure that recovery actions are in place | SBMS | termly | |
| Operational Risks | Information produced (financial and non-financial) for Board and Senior Leadership Team is not accurate or not in a format suitable for monitoring the performance of the Trust | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Regular review by SLTT | SBMS / EH / AO / CFO | termly | |
| Operational Risks | Management information is not available quickly after the period to which it relates | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Regular review by SLTT | LGBS / EH / HT / HOS / SLTT | termly | |
| Operational Risks | Management information is not subject to review nor that action is taken after the review | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Regular review by SLTT | LGBS / EH / HT / HOS / SLTT | termly | |
| Operational Risks | Board members have insufficient experience of Academy or education sector | 1.00 | 3.00 | 3.00 | 2.33 | 1.00 | 2.33 | Accept | New members have been appointed to strengthen the board. Training for Board members as appropriate | SLTT | annually | |
| Operational Risks | Board has a lack of expertise in specific areas | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Board has been strengthened to increase knowledge. Appropriate strength to be added to support educational aspirations. A review of governance has been undertaken | SLTT | annually | |
| Operational Risks | Board becomes too involved with the management of the Trust and are not independent. | 3.00 | 3.00 | 1.00 | 2.33 | 1.00 | 2.33 | Accept | Monitor by Chair of SLTT | SLTT / Chair of SLT | termly | |
| Operational Risks | Loss of a key member of staff due to illness or other reason | 2.00 | 2.00 | 1.00 | 1.67 | 3.00 | 5.00 | Mitigate | Continual training and succession planning Staff can work across hubs | CEO / EH / HT / HOS / CEO | ongoing | |
| Operational Risks | Staff morale declines to an unacceptable level | 1.00 | 3.00 | 3.00 | 2.33 | 1.00 | 2.33 | Mitigate | Trust-wide Wellbeing programme in operation. Regular staff surveys to be carried out. A communication strategy to be implemented with the Trust vision communicated routinely | EH / HT / HOS / LGB | termly | |
| Operational Risks | Poor retention of staff leads heavy requirement of recruitment | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Performance management system in place. Day to day engagement to minimise and prevent | EH / HT / HOS / SBMS / LGB | ongoing | |
| Operational Risks | Recruitment processes lead to the recruiting of the wrong person or someone unsuitable to work with children | 1.00 | 3.00 | 2.00 | 2.00 | 1.00 | 2.00 | Avoid | Full safeguarding processes in place for interviews, references and DBS checks. | EH / HT / HOS / SBMS / LGB | ongoing | |
| Operational Risks | Staff matters not referred to HR professionals may lead to litigation | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Avoid | All staff to be briefed on procedures to be followed | EH / HT / HOS / SBMS / LGB | ongoing | |
| Operational Risks | Continual training of staff does not take place | 1.00 | 3.00 | 3.00 | 2.33 | 1.00 | 2.33 | Mitigate | Continuous staff development plans with suitable budget allowance | EH / HT / HOS / LGB | ongoing | |
| Operational Risks | A fatality to a member of staff, pupil or visitor | 1.00 | 3.00 | 2.00 | 2.00 | 1.00 | 3.00 | Mitigate | H&S policy to be articulated. H&S review underway and H&S training will be rolled out. Staff H&S inductions to be held. Sufficient insurance guards against financial loss. Risk assessments for high risk areas. Risk management audit to be held. | SBMS / EH / HT / HOS / Human resource advise | termly | |
| Operational Risks | Income is heavily reliant on a single funder | 3.00 | 3.00 | 3.00 | 3.00 | 2.00 | 6.00 | Accept | Funding agreement with EFA in place. Current funding reliance is too high on EFA | SBMS / EH / HT | termly | |
| Operational Risks | Grants receivable may not be used for the purpose for which they were given | 3.00 | 3.00 | 1.00 | 2.33 | 1.00 | 2.33 | Mitigate | Monitor actual expenditure against budget/grant specifications Cost Centres used to separate income received. Documentation held and liaison with granting body maintained. | SBMS / EH / HT / HOS | termly | |
| Operational Risks | Grant receivable reporting guidelines are not kept to | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Accept | The EFA always warn Academies when a return is due | SBMS / EH / HT / HOS | termly | |
| Operational Risks | Suppliers are connected to either a member of the Board or staff | 1.00 | 3.00 | 3.00 | 2.33 | 2.00 | 4.67 | Mitigate | Declarations of interest to be made by all Board members and staff in position of influence. Trust have agreed to have no related party transactions. | SLTT / FGB / EH / SBMS | termly | |
| Operational Risks | Dependency on suppliers is restricted in terms of choice or availability | 3.00 | 1.00 | 1.00 | 1.67 | 2.00 | 3.33 | Accept | No fully dependent suppliers are in use. | SLTT / FGB / EH / SBMS | termly | |
| Operational Risks | Staff absence levels affect the effective operation of the Academy | 2.00 | 3.00 | 3.00 | 2.67 | 2.00 | 5.33 | Mitigate | Financial planning in place to support cover needs and also to ensure the engagement of staff with the correct skill set to deliver long term cover as necessary. Leaders need to be more responsive to return to work interviews | SBMS / EH / HT / HOS | termly | |

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|----------------------------|--|----------|----------|--------------|---------|------|-------------|-------------|--|---------------------------------------|-----------------------|----------------|
| | | Finance. | Operate. | Stake Holder | Average | | | | | Action | Person(s) responsible | Review of risk |
| Operational Risks | Service providers fail to perform or have poor risk management which impacts on the Academy | 2.00 | 1.00 | 3.00 | 2.00 | 1.00 | 2.00 | Accept | Careful monitoring of all suppliers. Any which fail to meet the expected standards for an Academy and therefore the SLT will cease being used by the SLT | SBMS / EH / HT / HOS | termly | |
| Operational Risks | Need to consider recruitment issues and timings | 2.00 | 3.00 | 2.00 | 2.33 | 3.00 | 7.00 | Mitigate | Checks to be made on the quality of applications to ensure that the correct staff are appointed | SBMS / EH / HT / HOS | termly | |
| Strategic and Reputational | Academy is not operating within its objectives | 2.00 | 2.00 | 2.00 | 2.00 | 1.00 | 2.00 | Accept | CEO and EH / HT / HOS review of activities and strategic plan against objects. Regular reports to Board by CEO/Senior Leadership Team | CEO / SLTT / EH / HT / HOS / LGB | termly | |
| Strategic and Reputational | Academy receives unfavourable Ofsted report | 2.00 | 2.00 | 3.00 | 2.33 | 1.00 | 2.33 | Accept | Monitoring teaching & learning to Ofsted specifications. Implement Academy improvement plan and post Ofsted action plan (to be developed). Regularly review and update Ofsted cycle. | SLTT / EH / HT / HOS / LGB / SBMS | ongoing | |
| Strategic and Reputational | Insufficient demand for Academy's service leaves it unsustainable | 1.00 | 2.00 | 3.00 | 2.00 | 1.00 | 2.00 | Accept | Business plan with recruitment targets, open days, nursery links and pre-school focus. Improved marketing plan in place | EH / SBMS / HT / HOS LGB | ongoing | |
| Strategic and Reputational | Presence of other competitor organisations with similar objectives | 2.00 | 3.00 | 3.00 | 2.67 | 2.00 | 5.33 | Mitigate | Extensive advertising of Open Evenings. Quality activities and information on Open Evenings. Close relationships with nurseries | EH / SBMS / HT / HOS LGB | ongoing | |
| Strategic and Reputational | Beneficiaries/other stakeholders do not consider that the Academy provides a valuable/high quality service | 2.00 | 2.00 | 3.00 | 2.33 | 1.00 | 2.33 | Accept | Open Evenings etc provide feedback to staff. Reported to Board | EH / SBMS / HT / HOS LGB | ongoing | |
| Strategic and Reputational | Risk of financial loss/inability to replace items if Academy does not have adequate insurance cover | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Transfer | Full insurance cover in place. | SBMS / EH / LGBS | termly | |
| Strategic and Reputational | Information security risk | 1.00 | 2.00 | 3.00 | 2.00 | 1.00 | 2.00 | Accept | ICT Policy, Firewalls and website security for pupils and staff. Virus scanning in place. | SBMS / IT Manager | termly | |
| Strategic and Reputational | Objectives of the Academy are controversial or may attract a high level of public interest | 1.00 | 1.00 | 3.00 | 1.67 | 1.00 | 1.67 | Accept | SLTT and Headteacher review strategy annually | SLTT / LGB / EH / HT / HOS | termly | |
| Strategic and Reputational | Salary, Premises Management and administration costs are perceived, by the public, to be too high | 1.00 | 3.00 | 3.00 | 2.33 | 1.00 | 2.33 | Accept | SLTT to monitor | SLTT / LGB / EH | termly | |
| Strategic and Reputational | Trust is perceived to be holding high levels of revenue reserves | 2.00 | 1.00 | 1.00 | 1.33 | 1.00 | 1.33 | Mitigate | Reserves Policy in place | SLTTFC / AO / CFO | termly | |
| Strategic and Reputational | Fraud discovered at the Academy attracts adverse publicity | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | All procedures to be continually up-dated and documented | SLTT / SLTFC / SBMS / EH / LGB | termly | |
| Strategic and Reputational | Failure to comply with Health and Safety legislation results in someone being injured and attracting adverse publicity | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Review and monitor H & S practices regularly at Board meetings with a continual review of all risk assessments | SLTT / SBMS / EH / LGB | termly | |
| Strategic and Reputational | Failure to comply with employment law resulting in litigation attracts adverse publicity | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Review and Monitor all HR practices | SLTT / SBMS / EH | termly | |
| Strategic and Reputational | Board delegate too little/too much to the Finance Committee or Headteacher | 3.00 | 3.00 | 3.00 | 3.00 | 1.00 | 3.00 | Mitigate | Terms of reference apply | SLTT | termly | |
| Strategic and Reputational | There is a serious outbreak of communicable disease | 1.00 | 2.00 | 2.00 | 1.67 | 1.00 | 1.67 | Mitigate | Ensure that the Critical Incident plan is updated on a continual basis | SLTT / SBMS / EH | termly | |
| Strategic and Reputational | Resource requirements required to deliver key objectives are not fully identified | 3.00 | 2.00 | 2.00 | 2.33 | 3.00 | 7.00 | Mitigate | Ensure that all projects have full business plans completed prior to implementation. | SLTT / SBMS / EH / LGB | ongoing | |
| Strategic and Reputational | The Academy fails to achieve adequate surpluses for it to replace capital items as they reach the end of their lives | 2.00 | 3.00 | 3.00 | 2.67 | 2.00 | 5.33 | Mitigate | Long term budgeting to be carried out to ensure that adequate surpluses are generated. Capital replacement plans are in place. | SLTT / SLTFC / SBMS / EH / LGB | ongoing | |
| Strategic and Reputational | Changes to performance tables present our achievement in an unfavourable light. | 1.00 | 2.00 | 3.00 | 2.00 | 3.00 | 6.00 | Mitigate | Review of all tables to ensure that data is accurate and timely. | SLTT / LGB / EH / HT / HOS | ongoing | |
| Strategic and Reputational | Risks attached to educational visits are not accurately assessed | 2.00 | 3.00 | 3.00 | 2.67 | 1.00 | 2.67 | Avoid | Ensure all staff are aware of process and procedure ref. Educational Visits. All paperwork checked. New staff have training as soon as possible dependant on need. | EH / HT / HOS / SBMS / LGB | ongoing | |
| Strategic and Reputational | Key member(s) of the Board leave prior to a succession plan being implemented | 1.00 | 3.00 | 3.00 | 2.33 | 2.00 | 4.67 | Mitigate | Succession Planning to take place | SLTT | termly | |