



Risk Management Policy

Document Control

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INTRODUCTION

This Risk Management Policy forms part of Leger Educational Trust's (Leger) system of internal control. The policy explains Leger's approach to risk management, documents the roles and responsibilities of key groups at Trust and local school level. The document also outlines key aspects of the risk management process and identifies the main reporting procedures. Governors use this policy and associated risk register to assist with their evaluation of the effectiveness of each school and the Trust's internal control procedures.

Leger is committed to ensuring the safety of pupils, staff (including volunteers, such as governors), parents and the public through putting in place an effective risk management framework and adopting a proactive approach to risk identification and management.

The delivery of education will always involve a degree of risk, for example through safeguarding, effective risk management systems and a positive learning environment that supports improvement in all areas will reduce that risk.

The organisation cannot manage its risks effectively unless it knows what the risks are. Risk identification and management is therefore vital to the organisational success.

In order to ensure that Leger operates in way that minimises risk the Trust will:

- Adopt a robust approach to risk identification, assessment and management.
- Seek to effectively embed risk management across the organisation
- Seek to improve decision-making, planning and prioritisation
- Seek to anticipate what may go wrong, minimising the amount of fire fighting

In particular, the Trust's policy is to:

- Understand the risks it faces, their causes and control, and the cost of risks
- Prevent wherever possible the exposure to a risk which has not been identified
- Ensure risks are recorded and assessed appropriately ensuring due regard is given to the possible impact, likelihood and resource costs associated with mitigation
- Ensure action plans are robust and implemented in a timely manner, paying due regard to severity and resource costs
- Ensure lessons learned are disseminated as appropriate
- Ensure the health, safety and welfare of pupils, visitors and staff
- Ensure staff understand their roles in risk management
- Significantly improve the probability that Leger's strategic plan will be delivered
- Allocate capital and resources more efficiently

RISK MANAGEMENT PROCEDURE

This document combines the risk management policy and procedure for Leger. Risk management covers both safeguarding and other issues. Effective risk management is a fundamental part of ensuring legal compliance and ensuring Ofsted requirements are met. Effective risk management is also a fundamental element of ensuring compliance with regulatory and legal requirements.

Risk management is also an integral part of the overall governance of Leger and aligns closely with a number of other key processes and policies.

AIMS AND OBJECTIVES

The aim of this procedure is to embed a dynamic risk culture and use of consistent risk methodology.

The objectives of this procedure are to ensure that appropriate systems and processes are in place to support the organisation's risk management approach by:

- ensuring the identification of risks
- adopting a consistent approach to risk evaluation and risk treatment
- effective monitoring of risk performance

SCOPE

This policy and procedure applies to all staff in the organisation (including seconded, honorary, voluntary, locum, students, bank and agency staff) with particular reference to key individuals with nominated responsibilities for the management of identified risks.

This policy and process document is applicable to all corporate and operational risks that Leger could be exposed to, including safeguarding, information governance, financial and educational risks.

RESPONSIBILITIES

This section sets out the responsibilities of the Risk Owner and explains the Committee Structure for risk management. Further details of individual responsibilities are laid out in Legers Risk Management Strategy (Section 4)

Risk Owner

The Risk Owner has responsibility for the development, implementation, review and reporting on action plans associated with risks for which they have responsibility. Risk owners will seek the support of other colleagues where appropriate to ensure the timely completion of actions designed to mitigate risks. Where the relevant Board Committee feel a risk is not being addressed robustly enough the risk owner may be held to account. It is the responsibility of the risk owner to escalate the risk where they feel it is appropriate.

Committee Structure for Risk Management

The Leger Board has overall responsibility for ensuring that a sound system of risk management and internal control is maintained to support the achievement of its aims and objectives whilst also safeguarding all the school's funds and assets.

- There is an open and receptive approach to resolving risk issues.
- The Trust's Executive Leaders Group (ELG) advises on and is responsible for encouraging and implementing good risk management practice within the overall Trust.
- Each individual school makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks.
- Key risks are identified and monitored on a regular basis.

Role of the Leger Board

The Board has a fundamental role to play in setting the tone and influencing the culture of Risk Management within the trust, this includes:

- Determining the trust's approach to risk as a whole or on any relevant individual issue.
- Determining which types of risk are acceptable and which are not.
- Setting the standards and expectations of members of the governing body and staff with respect to conduct and probity.
- To approve major decisions affecting the trust's risk profile or exposure.
- To monitor the management of fundamental risks to reduce the likelihood of unwelcome surprises.

- To be satisfied that less fundamental risks are being actively managed, with the appropriate controls in place and operating effectively.
- Through the Board's Audit Committee to review regularly the Trust's risk register and approve changes or improvements to key elements of its processes and procedures.

Role of the ELG

- To implement policies on risk management
- To identify and evaluate the fundamental risks faced by the Trust for consideration by the Trust Board.
- Provide adequate information in a timely manner to the Trust Board and its committees on the status of risks and controls.
- To assist the Audit Committee in undertaking an annual review of the risk register and the systems of internal control.

The Leger Board has established a committee structure which integrates risk management and other forms of governance. The committees have responsibility for identifying and reviewing risks within the scope of their terms of reference. The committees within the current structure are listed below.

- Progress and Standards Committee
- Finance and Resource Committee
- Audit Committee

Human Resource advice is provided to a committee, as needed, by Advanced HR.

In addition, and for each school within Leger Educational Trust there is the following structure:

- Local Governing Body with its own Finance, and Progress and Standards remit.

Each committee has terms of reference which include:

- Reporting arrangements
- Membership
- Required frequency of attendance by members
- Requirements for a quorum
- Frequency of meetings
- Duties

Details of the organisational structure of LET are provided in a separate document.

DEFINITION OF TERMS

The following table explains terms that are used in risk management.

TERM	DEFINITION
Action	Planned action to control or reduce the risk.
Assurance	Evidence that risks are being effectively managed (e.g. planned or received audit reviews).
Control	Actions in place to manage the risk
Gaps in Assurance or Control	Where an additional system or process is needed, or evidence of effective management of the risk is lacking.

TERM	DEFINITION
Hazard	This is any event or situation with the potential to cause harm or loss
Impact	A measure of the impact that the predicted harm, loss or damage would have on the people, property or objectives affected
Likelihood	a measure of the likelihood that the predicted harm, loss or damage will occur
Risk appetite	The amount of risk that an organisation is prepared to accept, tolerate or be exposed to at any point in time
Risk	The chance of an unplanned event occurring that may turn out less favourably than expected.
Risk assessment	Is the process used to evaluate the hazard/risk and to determine whether precautions are adequate or more should be done.
Risk rating	This represents the quantification of the risk and is the result of the multiplication of the impact and likelihood score resulting in a value between one and twenty-five
Risk register	A risk register is a log of risks of all kinds that threaten an organisation's success in achieving its objectives. It is a dynamic living depository which is populated through the organisation's risk assessment and evaluation process
Risk treatment	The action (s) taken to remove or reduce risks
Risk Owner	Has responsibility for the development, implementation, review and reporting on action plans associated with risks for which they have responsibility.

RISK ASSESSMENT

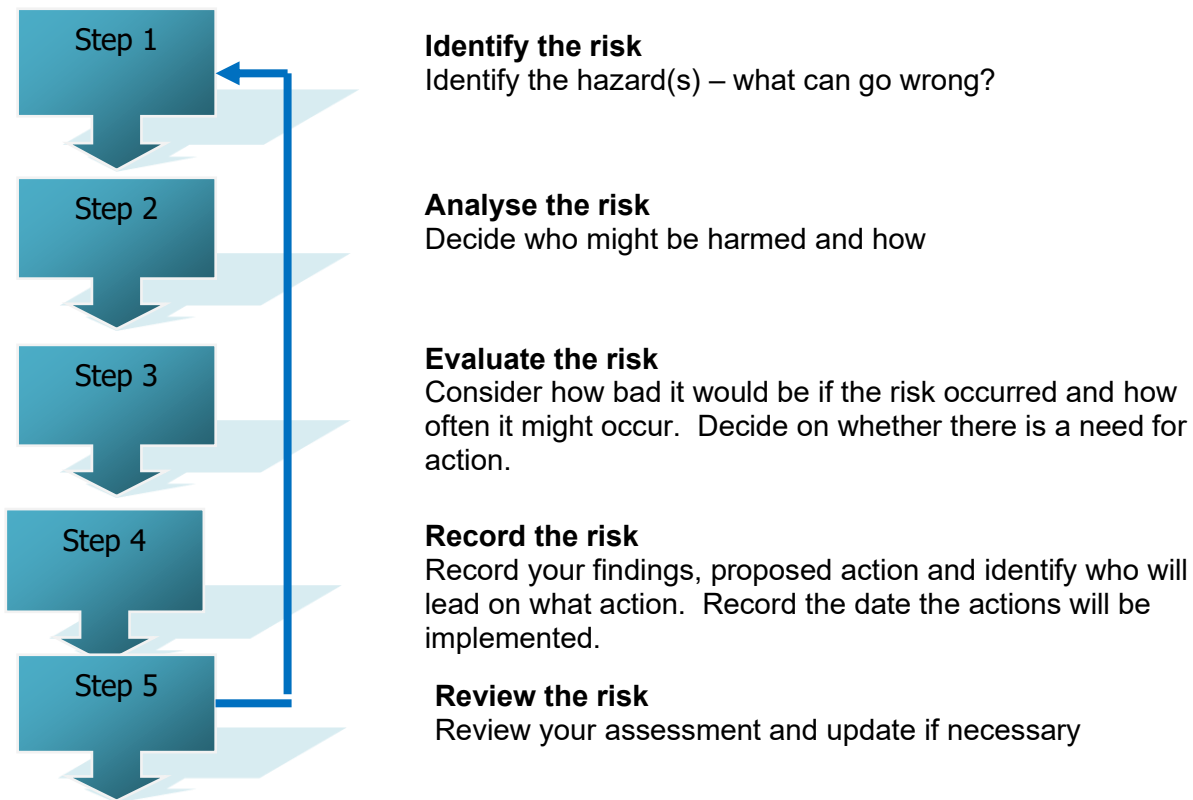
Risk assessment is a continuous process for the identification of actual / potential risks that threaten the objectives of the individual schools and / or the organisation as a whole and how these risks are or are not being managed through the controls established.

A risk assessment should seek to answer four simple questions:

- 1. What can go wrong?**
- 2. How bad would it be if it happened?**
- 3. How often might it occur?**
- 4. Is there a need for action?**

It is not usually possible to eliminate all risks but staff have a duty to protect pupils and staff as far as "reasonably practicable". This means avoiding unnecessary risk. It is best to focus on the risks that really matter, those with the potential to cause harm.

What is the process? The process of risk management covers the following five steps to risk assessment:



6.1.1 Step 1 – Identify the Risk

This step is about deciding what may go wrong, what the risk / hazard is?

All staff can identify risks through the course of their work and their interaction with pupils, the public, partner organisations and other key stakeholders.

Risk identification should take place on a continual basis but particularly where new activities are planned, new legislation or policy requirements are identified, at the initiation of projects or where incidents or near misses have taken place.

Risks can be identified from many sources of information. Some of these are reactive (e.g. incidents) and some are proactive (risk assessments). Risks can also be identified internally (e.g. new school joining LET) or externally (e.g. Ofsted inspections). It is essential that the risk identification process is both wide-ranging and comprehensive

Common sources of information used to identify risks are shown below.

Reactive	Proactive
<p>INTERNAL</p> <ul style="list-style-type: none"> • Internal inspections • Audits • Complaints • Incidents 	<p>INTERNAL</p> <ul style="list-style-type: none"> • Assessments • Work plans • Organisational objectives • Consultation – staff, pupils and parents
<p>EXTERNAL</p> <ul style="list-style-type: none"> • External inspections • National initiatives • External audit 	<p>EXTERNAL</p> <ul style="list-style-type: none"> • Benchmarking • National enquiry reports • Consultation with external stakeholders • Mandatory / statutory targets

6.1.2 Step 2- Analyse the Risk

This step is deciding who and / or what might be harmed and how.

In deciding who / what is at risk you will need to:

- Recognise that people make mistakes. It is therefore necessary to anticipate some degree of human error and try to prevent this resulting in harm
- Consider, for example, the number of people that might be affected over a stated period
- Consider groups / entities who may be particularly at risk, e.g. children, young / inexperienced workers, people with disability, volunteers, students, visitors, members of the public, the organisation
- Think about the complexity of the task(s)
- Consider work-related factors e.g. lone workers and workload
- Consider provision of and / or level of training
- Consider experience / technical knowledge

6.1.3 Step 3 – Evaluate the Risk

This step is considering how often the risk might occur and how bad it would be if it happened.

In order to separate those risks that are unacceptable from those that are tolerable it is essential that risks are evaluated systemically so that they can be classified and remedial action can be prioritised. It is necessary for all risks to be quantified using a standard methodology to enable risks to be effectively managed.

6.1.3.1 Risk Assessment Methodology

The risk assessment scoring methodology / risk evaluation is shown in *appendix 1*. The tool provides a simple way of assessing and rating risks and should be used for all risk assessments within the

organisation. To use the tool, it is necessary to identify the impact (effect) and likelihood of occurrence of harm from the risk. From this the degree of risk can be calculated as a risk score.

IMPACT x LIKELIHOOD = RISK SCORE

This allows construction of a risk matrix which can be used as the basis of identifying acceptable and unacceptable risks.

6.1.3.2 Risk Control

As part of the risk assessment process the established controls should be identified. The risk should be analysed after the application of the controls to identify the "residual" risk.

Table 1 provides examples of the types of controls that could be in place to support risk mitigation:

Table 1 – examples of control

<p>Directive Controls (positive consequence) To cause or encourage a desirable event to occur <i>e.g. Policies, procedures, codes of conduct, memorandums of understanding, organisational structure, objective setting, performance targets, budgeting, training</i></p>
<p>Detective Controls (negative consequence) To detect and correct undesirable events which have occurred <i>e.g. inspections, audits, supervision, data interrogation, detectors (fire, smoke, water, temperature), exception reports</i></p>
<p>Preventive Controls (negative consequence) To deter undesirable events from occurring <i>e.g. segregation of duties, passwords, access rights</i></p>

6.1.3.3 Risk Decision

The risk appetite for LET has been defined as shown in Table 2 (in accordance with the Risk Management Strategy). The risk appetite sets out the decisions that can be made according to the level of risk:

Table 2 – Risk Appetite

Risk Score	Category	Definition	Decision
1-3	VERY LOW	An acceptable level of risk. Managed and monitored at service level.	TOLERATE
4-6	LOW	<p>Likelihood 2 or less: An acceptable level of risk which is subject to possible action and remains subject to review.</p> <p>Likelihood more than 3: These risks require action and review. Any exceptions must be authorised by the Executive Leadership Group</p>	<p>TOLERATE</p> <p>TREAT</p>
8-12	MODERATE	Requires action and review except where the residual score is 8 or below with a likelihood of 2 or less	TREAT or TRANSFER or

Risk Score	Category	Definition	Decision
			TOLERATE
15-26	HIGH	Unacceptable level of risk. Requires urgent / immediate review and action. Risk is escalated to the Executive Leadership Group meeting for moderation.	TREAT or TRANSFER or TERMINATE

Table 3 provides further details of the response to a risk and should be used in conjunction with Table 2 – Risk Appetite when deciding on how a risk should be managed.

Table 3 – Risk decision

DECISION	DESCRIPTOR
TOLERATE	On reviewing this type of risk it may still be decided that some cost effective action would reduce the risk still further. Action on this risk is a low priority
TREAT	In many cases action can be taken to change the way activities are carried out in order to reduce the risk identified.
TRANSFER	This involves another party bearing or sharing some part of the risk e.g. through the use of contracts (HR support for example) and insurance arrangements
TERMINATE	It may be decided a particular risk should be avoided altogether. This may involve ceasing the activity giving rise to the risk.

Any risks classed as tolerated will be assessed by the Executive Leadership Group and where the above detailed criteria are not met an explanation will be requested as to why the risk should be tolerated.

Where the decision is made to treat the risk the risk owner is responsible for implementing and monitoring any identified additional risk control measures within their designated areas. Where implementation of risk control measures is beyond the authority or resources available to them this should be escalated to the appropriate headteacher/chair and, dependent on the seriousness, then onwards to the CEO/ELG.

Where risk treatment plans require significant additional funding above that available or where changes to working patterns of the organisations are needed approval will be required from the LET Board.

6.1.4 Step 4 – Record the Risk

This step is the recording of the risk on the risk register.

A risk register is a management tool that enables an organisation to understand its comprehensive risk profile. It is simply a repository for all risk information that threatens an organisation's success in achieving its declared aims and objectives. It is a dynamic living repository, which is populated through the organisations risk assessment and evaluation process. A static risk register may suggest that whilst risks are being identified, they are not being managed.

Risks must be recorded on the relevant risk register, allowing each School, the Executive Leadership Group and the LET Board to have a complete picture of its risks in one place and must contain enough detail for them to be understood and assessed.

Individual School risks: Each school must maintain its own risk register and the Head Teacher is responsible for ensuring the register is produced, with the local governing body ratifying it. Risks should be recorded at one of the following levels:

- Trust Office (corporate)
- Campsmount
- Littlemoor
- Moss Road
- Spa

Corporate risks: Risks that may have an impact on the achievement of strategic objectives should be recorded on the Corporate risk register by the person who has identified the risk following discussion with the ELG. Where an existing risk is escalated from an individual school Risk Register to the Corporate Risk Register the reason for escalation must be added.

The corporate risk register enables the Board and its Committees to be assured of the management of these risks.

The Executive Leadership Group monitors and manages these risks on behalf of the Board.

6.1.5 Step 5 – Review the Risk

All risks recorded on the risk register are subject to regular review. The risk owner is responsible for ensuring any changes to the risk description or rating are captured and that any actions are implemented. They are also responsible for reviewing the risk in accordance with the timescales specified in Table 4.

Table 4 – Risk Register Review Timescales

Risk Score	Category	Review Period
1-3	LOW	Annual review or earlier when activities change
4-6	MODERATE	Six-monthly review or earlier when activities change
8-12	HIGH	Bi-monthly review or earlier when activities change
15-26	EXTREME	Monthly review or earlier when activities change

A reminder will be sent out to the Risk Handler that the risk is due for review. The Risk Handler is responsible for contacting the risk owner and ensuring that the risk is updated within the specified timescales.

When undertaking a review of the risks the risk owner should work through the risk details as follows:

- Risk Description – does it still reflect the current situation and potential / actual impact of the risk occurring? Does the description need minor or significant revision? If only a minor revision is needed, then save the amendment as a “New Version”. Where a significant revision is required then consideration should be made as to whether the existing risk should be closed and a new risk added.
- Risk Rating – has the risk rating changed? Is it reduced or increasing? Is the risk rating the same as the Target Rating, if so can the risk be closed or are more actions required in order to mitigate against the risk? Where the risk rating needs to be changed then save the amendment as a “New Version”.
- Controls –check the adequacy of the control and consider whether this has changed updating accordingly.

- Actions – provide a progress report on the actions, if no progress has been made this should be reflected in the progress report. Update the action status, can this now be closed?
- Reviews – enter a short summary of the review that has been undertaken, e.g. risk rating amended. Where the status of the risk has not changed “no change” should be entered.

A periodic review of all Leger level risks will be undertaken by the Audit Committee with focus primarily on long standing risks and the mitigation of high and extreme risks within the timescales set. The same will happen at a local school level with school level risks. The results of these reviews will be presented to LGB / Leger Board (as appropriate) in accordance with their terms of reference.

6.1.5.1 Risk Escalation

When new risks are recorded the local level with responsibility for the risk group will automatically be notified as shown in the Table 5 and the local headteacher notified that a new risk has been added to the register. The risk should be escalated to the Head Teacher board and ELG as appropriate.

Table 5 – Risk Notification Rules

Risk Group	Notification (depends on severity)	
	at local school	at Leger level
Business Continuity	Headteacher	ELG
Safeguarding	Headteacher	ELG
Environmental	Headteacher	ELG
Financial	Headteacher	ELG
Health, Safety & Security	Headteacher	ELG
Human Resources	Headteacher	ELG
Information Governance	Headteacher	ELG
Information Technology	Headteacher	ELG
Legal / Regulatory	Headteacher	ELG
Operational	Headteacher	ELG
Organisational Development	Headteacher	ELG
Public Relations	Headteacher	ELG
Reputational	Headteacher	ELG
Supply Chain	Headteacher	ELG

When any of the following risks are recorded this will automatically trigger a notification to the Executive Leadership Group:

Individual school risks – High (15 and above)

- Corporate risks – all levels
- All new risks where the decision is to tolerate the risk

Whilst this notification is automatic it is the responsibility of the relevant Head Teacher to ensure that a member of the Executive Leadership Group, who has lead responsibility for the risk group, is informed.

6.1.5.2 Monitoring of Risks

The Headteacher is responsible for providing reports on the status of the risk register reviews and providing a summary of any changes made including any risks that have been closed.

All risks are reported in line with the level of risk as per Table 6.

Table 6 – Risk Review Timescales and Responsibilities

Risk Score	Category	Leger Board	Audit Committee	ELG	Local School
1-3	VERY LOW		Annual	Annual	Annual
4-6	LOW		Annual	Annual	Annual
8-12	MODERATE	Annual	Six-monthly	Six-monthly	Six-monthly
15-26	HIGH	Each meeting	Each meeting	Monthly	Bi-monthly

TRAINING IMPLICATIONS

Staff groups requiring training	How often should this be undertaken	Length of training	Delivery method	Training delivered by whom	Where are the records of attendance held?
All staff	On induction and then 3 yearly		Face to face	In-house	Organisational Development
Head Teachers	As required, if new in post or when a new service transfers		Face to face	In-house	Organisational Development
Executive Leadership Group	As required and if new in post		Face to face	In-house	Organisational Development

MONITORING ARRANGEMENTS

Area for Monitoring	How	Who by	Reported to	Frequency
Risk management framework	Review of the risk management structure, detailing all those committees and groups which have some responsibility for risk	Internal audit	Finance and Resources Committee	Annual
Training	Review of attendance at mandatory and statutory training	Head of Learning and Development	Human Resources and Organisational Development Committee	Bi-monthly
Risk management process	Review of how risks are assessed and escalated	Internal Audit	Finance performance & Business Change /Board	Annual
Risk reviews and updates	Review of risk reviews and updates, including action planning, risk rating and controls	Internal Audit	All committees to receive relevant updates. Finance, Performance & Business Change Committee to have full oversight.	Annual
Risk reporting	Review of how the Board and its committees review the organisation wide risk register	Internal Audit	Finance, Performance & Business Change Committee/Board	Annual

LINKS TO KEY DOCUMENTS/STRATEGIES

- Risk Management Strategy
- Health and Safety Policy
- Incident reporting Policy
- Complaints policy
- Scheme of Delegation
- Organisational Structure

Systems of Internal Control

This risk management policy includes systems of internal control. These controls encompass a number of elements that together facilitate an effective and efficient operation, enabling the trust to respond to a variety of operational, financial and commercial risks. These elements include:

a. Policies and Procedures

A series of policies underpin the internal control process. These policies are set by the Trust Board through its committees and the individual Academies. Written procedures support the policies where appropriate.

b. Planning and Budgeting

The planning and budgeting process is used to set objectives, agree action plans and allocate resources. Progress towards meeting planned objectives is then monitored regularly.

c. Risk Register(s)

As detailed in this policy these are formally reviewed regularly, with emerging risks added as required. Staff at all levels are encouraged to develop and use this approach to ensure that significant risks in all areas are identified, assessed and monitored.

d. Internal Audit

The Responsible Officer follows an internal audit programme for all financial matters to ensure that responsibilities are being undertaken. The Responsible Officer reports to the relevant Committee to facilitate monitoring by the Trust board.

e. External Audit

External audit provides feedback to the Trust Board on the operation of the internal financial and other controls that are reviewed as part of the annual audit and monitored through the Responsible Officer.

REFERENCES

- Institute of Risk Management
- Health and Safety at Work Act 1974
- Information Governance Toolkit

APPENDIX 1 RISK ASSESSMENT GUIDANCE

IMPACT X LIKELIHOOD = RISK SCORE

Choose the most appropriate domain for the identified risk from the left hand side of the table. Then, work along the columns in the same row to assess the impact of the risk on the scale of 1 to 5 to determine the Impact Score, which is the number given at the top of the column. If there are multiple domains involved the one with the highest Impact Score should be used when assessing the risk.

Table 1 – Impact (Effect) Score

Domains ▼	Impact (Effect) Score and examples of descriptors				
	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
Adverse publicity/ reputation <ul style="list-style-type: none"> Public Relations 	Rumours Potential for public concern Damage to an individual's reputation	Local media coverage - short-term reduction in public confidence Elements of public expectation not being met Damage to a team's reputation	Local media coverage – long-term reduction in public confidence Damage to a school's reputation	National media coverage with <3 days service well below reasonable public expectation Damage to the organisation's reputation	National media coverage with >3 days service well below reasonable public expectation. MP concerned (questions in the House) Total loss of public confidence Damage to national education reputation.
Business objectives / projects <ul style="list-style-type: none"> Operational Financial 	Insignificant cost increase / schedule slippage	<5 per cent over project budget Schedule slippage	5–10 per cent over project budget Schedule slippage	Non-compliance with national 10–25 per cent over project budget Schedule slippage Key objectives not met	Incident leading >25 per cent over project budget Schedule slippage Key objectives not met
Finance including claims	Small loss Risk of claim remote	Loss of 0.1–0.25 per cent of budget	Loss of 0.25–0.5 per cent of budget	Uncertain delivery of key objective / Loss of 0.5–1.0 per cent of budget	Non-delivery of key objective / Loss of >1 per cent of budget

Domains ▼	Impact (Effect) Score and examples of descriptors				
	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
<ul style="list-style-type: none"> Financial management Legal / Regulatory 		Claim less than £10,000	Claim(s) between £10,000 and £100,000	Claim(s) between £100,000 and £1 million Purchasers failing to pay on time	Failure to meet specification / slippage Loss of contract / payment by results Claim(s) >£1 million
<p>Human resources / organisational development / staffing / competence</p> <ul style="list-style-type: none"> Human Resources (including recruitment checks in place and staffing ratios) Organisational Development Business Continuity 	Short-term low staffing level that temporarily reduces service quality (< 1 day)	Low staffing level that reduces the service quality	Late delivery of key objective/ service due to lack of staff Unsafe staffing level or competence (>1 day) Low staff morale Poor staff attendance for mandatory/key training	Uncertain delivery of key objective/service due to lack of staff Unsafe staffing level or competence (>5 days) Loss of key staff Very low staff morale No staff attending mandatory/ key training	Non-delivery of key objective / service due to lack of staff Ongoing unsafe staffing levels or competence Loss of several key staff No staff attending mandatory training /key training on an ongoing basis
<p>Information Governance</p> <ul style="list-style-type: none"> Information Governance (includes GDPR) 	Minor breach of confidentiality. Less than 5 people affected or risk assessed as low e.g. media interest unlikely, small number of encrypted files	Serious potential breach e.g. unencrypted pupil records lost. Up to 20 people affected.	Serious actual breach of confidentiality affecting up to 100 people.	Serious actual breach of confidentiality involving particularly sensitive records (e.g. child protection) affecting up to 300 people.	Serious actual breach of confidentiality involving over 500 individuals.
Information	System loss affecting one	Short term (up to 1 day)	System loss affecting a	System loss affecting a	System loss affecting the

Domains ▼	Impact (Effect) Score and examples of descriptors				
	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
Management and Technology <ul style="list-style-type: none"> • Information Technology 	individual – no impact on educational standards	system loss affecting a team – no impact on educational standards	team – impacting on educational standards and safeguarding Short term system loss affecting a school – no impact on educational standards or safeguarding	school – impact on Educational standards and safeguarding	organization/
Impact on the safety of pupils, staff or public (physical / psychological harm) <ul style="list-style-type: none"> • Safeguarding • Health , Safety & Security 	Minimal injury requiring no / minimal intervention or treatment. No pupil absence/time off work	Minor injury or illness, requiring minor intervention Requiring pupil absence/time off work for >3 days Increase in length of hospital stay by 1-3 days	Moderate injury requiring professional intervention Requiring pupil absence/ time off work for 4-14 days Increase in length of hospital stay by 4-15 days RIDDOR / agency reportable incident An event which impacts on a small number of pupils/staff	Major injury leading to long-term incapacity / disability Requiring pupil absence/time off work for >14 days Increase in length of hospital stay by >15 days Mismanagement of safeguarding with long-term effects	Incident leading to death Multiple permanent injuries or irreversible health effects An event which impacts on a large number of pupils/staff
Quality / complaints / audit	Peripheral element of school provision suboptimal	Overall service suboptimal Formal complaint (stage 1)	Treatment or service has significantly reduced effectiveness Formal complaint (stage	Non-compliance with national standards with significant risk to patients if unresolved	Totally unacceptable level or quality of treatment/service Gross failure of patient

Domains ▼	Impact (Effect) Score and examples of descriptors				
	1 – Negligible	2 – Minor	3 – Moderate	4 – Major	5 - Catastrophic
<ul style="list-style-type: none"> • Legal / Regulatory (including school website meeting regulatory needs (23)) • Clinical 	Informal complaint / inquiry	Local resolution Single failure to meet internal standards Minor implications for patient safety if unresolved Reduced performance rating if unresolved	2) complaint Local resolution (with potential to go to independent review) Repeated failure to meet internal standards Major patient safety implications if findings are not acted on	Multiple complaints/ independent review Low performance rating Critical report	safety if findings not acted on Inquest/ombudsman inquiry Gross failure to meet national standards
Service / business interruption Environmental impact <ul style="list-style-type: none"> • Business Continuity • Environmental • Supply chain 	Loss/interruption of >1 hour Minimal or no impact on the environment	Loss/interruption of >8 hours Minor impact on environment	Loss/interruption of >1 day Moderate impact on environment	Loss/interruption of >1 week Major impact on environment	Permanent loss of service or facility Catastrophic impact on environment
Statutory duty/ inspections <ul style="list-style-type: none"> • Legal / Regulatory • Policies and Procedures in place 	No or minimal impact or breach of guidance / statutory duty	Breach of statutory legislation Reduced performance rating if unresolved	Single breach in statutory duty Challenging external recommendations / improvement notice	Enforcement action Multiple breaches in statutory duty Improvement notices Low performance rating Critical report	Multiple breaches in statutory duty Prosecution Complete systems change required Zero performance rating Severely critical report

IMPACT X LIKELIHOOD = RISK SCORE

Table 2 - Likelihood Score

Choose the most appropriate score for the identified risk. If possible, score the likelihood by assigning a predicted or known frequency of the risk occurring. Where this is not possible, assign a probability to the risk occurring.

Likelihood basis ▼	Likelihood Score and Descriptors				
	1 – Rare	2- Unlikely	3 – Possible	4 – Likely	5 – Almost certain
Frequency based	This will probably never happen / recur	Do not expect it to happen / recur but it is possible it may do so	Might happen or recur occasionally	Will probably happen / recur but it is not a persisting issue	Will undoubtedly happen / recur possibly frequently
Time based	Not expected to occur for years	Expected to occur at least annually	Expected to occur at least monthly	Expected to occur at least weekly	Expected to occur at least daily
Probability based	0-5% Extremely unlikely	6-20% Low but not impossible	21-50% Fairly likely to occur	51-80% More likely to occur than not	>80% Almost certainly will occur

Table 3 – Risk rating = Impact x Likelihood

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

For rating risk, the scores obtained from the risk matrix are assigned as follows:

1 – 3	Low risk
4-6	Moderate risk
8-12	High risk
15-25	Extreme risk

Instructions for use

- 1 Define the risk(s) explicitly in terms of the adverse consequence(s) that might arise from the risk.
- 2 Use table 1 (page 19) to determine the impact score(s) (C) for the potential adverse outcome(s) relevant to the risk being evaluated.
- 3 Use table 2 (page 23) to determine the likelihood score(s) (L) for those adverse outcomes. If possible, score the likelihood by assigning a predicted frequency of occurrence of the adverse outcome. If this is not possible, assign a probability to the adverse outcome occurring within a given time frame, such as the lifetime of a project or a patient care episode. If it is not possible to determine a numerical probability then use the probability descriptions to determine the most appropriate score.
- 4 Calculate the risk score the risk multiplying the impact by the likelihood: C (consequence) x L (likelihood) = R (risk score)
- 5 Identify the level at which the risk will be managed in the organisation, assign priorities for remedial action, and determine whether risks are to be tolerated on the basis of the guidance below. Add to the overall LET risk register at the appropriate level.

DECISION	DESCRIPTOR
TOLERATE	On reviewing this type of risk it may still be decided that some cost effective action would reduce the risk still further. Action on this risk is a low priority
TREAT	In many cases action can be taken to change the way activities are carried out in order to reduce the risk identified.
TRANSFER	This involves another party bearing or sharing some part of the risk e.g. through the use of contracts, insurance arrangements and organisational structures such as Service Level Agreements
TERMINATE	It may be decided a particular risk should be avoided altogether. This may involve ceasing the activity giving rise to the risk.

Risk Score	Category	Definition	Decision
1-3	VERY LOW	An acceptable level of risk. Managed and monitored at service level.	TOLERATE
4-6	LOW	<p>Likelihood 2 or less: An acceptable level of risk which is subject to possible action and remains subject to review.</p> <p>Likelihood more than 3:</p>	TOLERATE

Risk Score	Category	Definition	Decision
		These risks require action and review. Any exceptions must be authorised by the Executive Leadership Group	TREAT
8-12	MODERATE	Requires action and review except where the residual score is 8 or below with a likelihood of 2 or less	TREAT or TRANSFER or TOLERATE
15-26	HIGH	Unacceptable level of risk. Requires urgent / immediate review and action. Risk is escalated to the Executive Leadership Group meeting for moderation.	TREAT or TRANSFER or TERMINATE

APPENDIX 2 RISK REGISTER TEMPLATE



Risk Domain/Number	#	Risks	Risk Assessment & Evaluation			Existing Control Measures & Mitigating Actions to Reduce/Eliminate Risk	Mitigated Risk Assessment & Evaluation			Decisions (Tolerate/Treat/Transfer/Terminate) Further Actions Required	Responsible	Reviewed Date	Previous Score	Trend
			Impact	Likelihood	Score		Impact	Likelihood	Score					