



ARDEN MULTI - ACADEMY TRUST RISK REGISTER 2023 – 2024

Identifying and managing the possible and probable risks that our Trust may face is a key part of effective governance for Arden Multi - Academy Trust. By managing risk effectively, trustees can help ensure that:

- significant risks are known and monitored, enabling Trustees and governors to make informed decisions and take timely action
- the Trust makes the most of opportunities and develops them with the confidence that any risks will be managed
- forward and strategic planning are improved
- the Trust's aims are achieved more successfully
- reporting in its annual report on the steps the Trust has taken to manage risk helps to demonstrate accountability to stakeholders including beneficiaries, funders, employees and the general public.

The responsibility for the management and control of the Arden Multi Academy Trust rests with the Trust Board and the Chief Executive Officer. **The Trust will keep a risk register which will be a working document owned by the Trust Board, with delegated responsibilities for ongoing review and oversight passed to the Audit and Risk Committee.** AMAT school LGBs will have their Risk Register as an agenda item at each termly meeting and the Associate Headteacher will update as required and report to the CEO. Organisations will face some level of risk in most of the things they do. The diverse nature of the education sector means that Multi Academy Trusts face different types of risk and levels of exposure. AMAT has aligned its response to risk alongside their strategic objectives and will ensure that the Trust continues to fulfil these now and, in the future, sustainably. Risk will be considered in terms of the wider environment in which the Trust operates – the financial climate, society and its attitudes, sustainability and the natural environment and changes in the law and government policy, technology and knowledge will all affect the types and impact of the risks that the Trust is exposed to.

The identification of risks is best done by involving those with a detailed knowledge of the way the Trust and its constituent schools operate. Trustees will seek to ensure that Local Governing Bodies follow the risk management procedures of the Trust Board. **Discussion between the CEO, Executive Headteacher, Chief Finance Officer, Associate Headteachers will be essential in ensuring that each school follows appropriate procedures and that the Trust Risk Register as a whole represents a reliable assessment of the Trust's overall risk position.**

Risk management is a dynamic process ensuring that new risks are addressed as they arise. It should also be cyclical to establish how previously identified risks may have changed. Risk management is not a one-off event and should be seen as a process that will require monitoring and assessment. Senior leaders must take responsibility for implementation.



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Probability	Description	Indicator
High - 3	Likely to occur each year, or more than 25% chance of occurrence within the next 12 months	Potential of it occurring several times within a 4 year period Has occurred recently
Medium - 2	Likely to occur within a 4 year time period or less than 25% chance of occurring within the next 12 months	Could occur more than once within a 4 year period Some history of occurrence
Low - 1	Not likely to occur within a 4 year time period or less than 5% chance of occurrence	Has not occurred Is not likely to occur

Impact	Description
High - 3	The financial/reputational impact will be significant [in excess of £50,000] Has a significant impact on the Trust/school's strategy or on teaching and learning Has significant stakeholder concern Can cause significant reputational damage to the Trust/school
Medium - 2	The financial/reputational impact will be moderate [between £25,000 and £49,000] Has no more than a moderate impact on strategy or on teaching and learning Moderate stakeholder concern Can cause moderate reputational damage to the Trust/school
Low - 1	The financial/reputational impact is likely to be low [below £5,000 and £24,000] Has a low impact on strategy or on teaching and learning Low stakeholder concern Is unlikely to cause any reputational damage to the Trust/school



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IMPACT	Medium 3	High 6	High 9
	Low 2	Medium 4	High 6
	Low 1	Low 2	Medium 3
	PROBABILITY		

Notes:

1. Each school has its own risk register based on this model and it is reviewed termly at LGB meetings and with the CEO/EH/CFO and AHT
2. The CEO keeps this risk register under continual review in the light of changing circumstances
3. The register is formally reviewed by the Audit and Risk Committee at least three times a year with any movement recorded
4. Urgent changes may be made on the recommendation of the CEO in consultation with the Chair of A&R, subject to ratification by the A&R committee at the earliest opportunity
5. There was a separate Covid Risk Assessment and Safe Systems of Work covering risks arising during the Covid Pandemic



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1. Leadership and management – we drive continuous improvement of leadership at all levels, within our academies, with the expectation of strongly “Good” with growing evidence of a high percentage of “Outstanding” leadership, CPD, retention, recruitment and succession planning programmes

Risk Ref. No.	Risk Description	Risk Consequences	Risk Score – Likelihood x Impact	Existing Internal Controls and Evidence	Existing Controls Adequate – Fully or partially met	Person Responsible	Movement/ Commentary 16/10/23
1	The Trust lacks direction through poor strategic and operational planning	<ul style="list-style-type: none"> The Trust has no clear vision, strategic plan and objectives Issues are addressed piecemeal with no strategic reference Financial management is not aligned with strategic priorities Loss of reputation with key stakeholders 	1x3= 3 Medium	<ul style="list-style-type: none"> Strategic and Operational Plans set out the key aims and objectives of the Trust CEO carries out monthly monitoring of financial and operational performance Operational delivery is regularly reviewed by the Board 	Fully	CEO	Strategic and operational plans revised autumn 2023
2	Failure to retain good staff threatens the performance of the Trust	<ul style="list-style-type: none"> Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and Professional Association relationships 	1x3= 3 Medium	<ul style="list-style-type: none"> Recruitment, retention and CPD strategy is agreed and kept under review Thrive programme is in place and monitored Regular reports on staff recruitment and retention are made to B&P Committee A succession planning strategy is in place with a focus on leadership 	Fully	CEO/EH School – AHT LGBs	Recruitment and retention continues to be monitored. Succession planning strategy in place.
3	Failure to ensure that staff recruited to the Trust have the required skills and expertise to meet the strategic	<ul style="list-style-type: none"> Operational impact on key projects and priorities Loss of reputation with key stakeholders Poor morale affecting staff Deteriorating employee and 	2 x 2= 4 Medium	<ul style="list-style-type: none"> Recruitment, retention and CPD strategy is agreed and kept under review Thrive programme and staff welfare arrangements are in place and kept under review 	Partially met whilst recruitment of posts evolves during the year	CEO/EH School – AHT LGBs	Increasing problems recruiting teachers to shortage subjects Difficulties recruiting TAs to some posts



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	objectives of the Trust	Professional Association relationships		<ul style="list-style-type: none"> Regular reports on staff recruitment and retention are made to B&P Committee Shortage subject posts to be advertised more widely at market competitive rates Review of departmental support to teachers teaching outside subject specialisms Review of support systems for teachers covering/on temporary contracts TA posts advertised more widely at market competitive rates Review of AMAT strategy as an employer of choice 			External job market changes eg working from home and flexible working have reduced the 'school hours' attraction for associate staff posts
4	Failure to ensure that the Trust supports excellence in the primary phase as primary schools join the Trust from September 2023	<ul style="list-style-type: none"> Standards decline, jeopardising the performance of pupils The reputation of the Schools/Trust is damaged Risk of poor morale affecting staff and students Risk of declining pupil enrolment Reduced pupil enrolment brings reduction in finance Further primary schools are not encouraged to join the Trust 		<ul style="list-style-type: none"> Primary expertise is represented on the Trust Board The Trust establishes the role of Director of Primary Education, with phase specific leads across all the areas of primary school improvement Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board Succession programme in place to evolve the leadership team at Dorridge 	Partially met whilst appointments and reporting arrangements are being established	CEO/EH	It is proposed to appoint a Director for Primary Education from Easter 2024



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2. Outcomes for pupils - Standards of Achievement and Progress – we support and challenge our schools to focus on raising achievement for all our learners so that all key measures are rapidly improving to at least nationally expected standards with many schools achieving outstanding results, which are well above national standards. We also work to ensure the highest possible standards of education at Post-16 which is enhanced with enrichment activities and outstanding preparation for the next level of education or for the world of work

5	A drop in a school/Trust performance outcomes e.g. P8/A8 threatens the performance of the Trust	<ul style="list-style-type: none"> The reputation of the Schools/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1x3 = 3 Medium	<ul style="list-style-type: none"> Experienced SMTs closely monitor performance and address downward trends Structured School Improvement Strategy in place, monitored by EH Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board Further level of scrutiny at LGB level through T&L and BSII subcommittees 	Fully	EH School – AHT LGBs	<p>Performance outcomes 22/23 to be analysed in the autumn term 2023</p> <p>Impact of significant increases in student absence (national issue) is having an impact on outcomes</p>
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3. Teaching, Learning and Assessment – we pay unrelenting attention to classroom practice and pedagogy to ensure teaching is strongly “Good” with many areas of “Outstanding practice” so that our learners can achieve and make excellent progress in our schools. The Quality of Teaching and Learning across the trust must ensure our children overcome any barriers and access a rich well- balanced curriculum – our aim is to raise a love of learning through excellent teaching and personalised learning.

6	An OFSTED judgement of RI/Inadequate in a school/Trust	<ul style="list-style-type: none"> The reputation of the Schools/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1x3 = 3 Medium	<ul style="list-style-type: none"> Experienced SMTs closely monitor performance and address downward trends Ofsted training is provided to staff, governors and trustees Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board, with review of Ofsted readiness 	Fully	EH School – AHT LGBS	3 of 4 secondary schools received Good inspections in 2022/23
7	The Trust’s School Improvement Model is ineffective in supporting high standards of teaching and learning	<ul style="list-style-type: none"> Standards decline, jeopardising the performance of students The reputation of the Schools/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment brings reduction in finance 	1 x 2 = 2 Low	<ul style="list-style-type: none"> The Trust has a robust School Improvement model overseen by the EH Regular meetings between the EH and school leaders to monitor performance and standards Regular reporting and review of performance (KPIs) is made to LGBs and Trust Board Staff performance issues are addressed promptly through support procedures 	Fully	EH	External consultant reporting support the rigorous school improvement model in place across the Trust Schools Primary School development in hand
8	The Trust’s CPD programme fails to support staff development and a culture of continuous improvement	<ul style="list-style-type: none"> Risk that staff fail to keep abreast of developments and good practice Risk that skills become out of date and that student outcomes are jeopardised 	1 x 2 = 2 Low	<ul style="list-style-type: none"> The Trust has a robust CPD programme which supports staff’s development needs Development needs are identified through appraisal and structured needs analysis CPD provision is continually evaluated to ensure quality and relevance 	Fully	EH	



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		<ul style="list-style-type: none"> Risk of poor morale affecting staff and students 					
9	The Trust fails to follow Examination Board procedures for the conduct of assessments and release of results	<ul style="list-style-type: none"> Student outcomes and opportunities beyond school are jeopardised Legal challenge by parents/carers Challenge by Ofsted/RSC The reputation of the School/Trust is damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment bring reduction in finance 	1x3=3 Medium	<ul style="list-style-type: none"> Examination procedures are approved at Trust and school level and verified as compliant with Exam Board regulations The conduct of all assessments is overseen by the AH of each school The EH quality assures the exam procedures in each school Full training is given to all staff involved in the examination process, including results release The responsibilities of staff for the assessment and examination process are clearly set out in job descriptions That any release or upload of exam results to students is overseen personally by a member of the senior staff That line managers and officers of the AMAT are notified immediately of any breach of examination regulations and that support is sought 	Fully	EH	No deficiencies in examination procedures were reported in 2023.
<p>4. <u>Personal Development, Pastoral Care, Behaviour and Safeguarding</u> – we provide high standards of pastoral care and support of children and young people in all our schools so attendance and behaviour for learning is consistently “Good” or better with outstanding safeguarding practices. We must ensure our students will be safe, develop character and positive relationships enabling each individual to develop into strong independent adults. We demand the highest standards of behaviour across our trust.</p>							
10	Failure to ensure that the Trust is compliant with safeguarding	<ul style="list-style-type: none"> Risk of harm to students Schools/the Trust subject to Ofsted inspection and placed in a category 	1x3=3 Medium	<ul style="list-style-type: none"> Safeguarding policy adopted and kept under review by LGBs and Trust Board in the light of KCSII Trained DSLs in all schools 	Fully	EH	Trust and school policies will be updated according to KCSII 2023 in the



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	requirements under KCSII	<ul style="list-style-type: none"> The reputation of the Schools/Trust is severely damaged Risk of poor morale affecting staff and students Risk of declining student enrolment Reduced pupil enrolment bring reduction in finance 		<ul style="list-style-type: none"> Regular staff training programme implemented and kept under review Associated policies – Parent and Carer Communication, CRB, Citizenship, PSHE, in place and monitored by LGBs and the Trust Development and support to engage with Primary Schools in hand 			autumn 2023.
<p>5. <u>Community and Parental Engagement</u> – we develop our schools so that they are very popular, often oversubscribed and the first choice for parents in our community. Parents and the community have a clear understanding of and high satisfaction levels of the Trust and the significant role it has in improving the quality of education across our area.</p>							
11	Failure to recruit sufficient learners to make academies viable	<ul style="list-style-type: none"> Reduced pupil enrolment brings reduction in finance Risk that the confidence of stakeholders is diminished Staff redundancies risk quality of education and poor morale affecting staff and students 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Admissions Policy in place and monitored by Trust Board Monthly admission and school roll report to CEO from all schools Parent and Carer Communication Policy in place and monitored Marketing Strategy in place and monitored Networking with key stakeholders, including feeder schools 	Fully	CEO	
12	Failure to respond to the risks and opportunities associated with changes in the local environment – e.g. housing development, local planning decisions/developments in competitor establishments	<ul style="list-style-type: none"> Risk that competitors make a more attractive offer to students Risk that stakeholders fail to differentiate between Trust schools and their competitor Risk of competition for the same share of the market Risk that the Trust fails to respond to new opportunities – e.g. housing developments 	1 x 1 = 1 Low	<ul style="list-style-type: none"> Marketing Strategy includes survey of local opportunities/threats Effective Networking continues to engage with key stakeholders on local planning issues Designated member of staff with responsibility for Business and Community 	Fully	CEO	CEO continues to monitor progress with the Arden Triangle Development.



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13	Failure to assess and maintain alliances and partnerships with other organisations, including DfE, RSC, Local Authority	<ul style="list-style-type: none"> Risk that key alliances or partnerships are not made or effective Risk to the integrity of the Trust from failures of partner organisations The reputation of the Schools/Trust is damaged Opportunities for growth of the Trust are missed 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Networking with key stakeholders and partner organisations, including the DfE, RSC, LA Visits to other schools Attendance at local head teacher meetings and regional events 	Fully	CEO	CEO continues to liaise with partner organisations and schools in accordance with the ambitions in the Growth Plan.
<p>6. <u>Effective management and trust services</u> – we commit to ensuring the Trust is well led and managed, rigorously held to account by the Trust Board, with effective services for our schools which provide value for money. Budget targets are met each year and the Trust has the financial capacity to support school improvement using the Trust Development Fund.</p>							
14	Failure to monitor the effect of risks over which the Trust/school has no or little control such as disruption caused by economic or natural disaster	<ul style="list-style-type: none"> Financial risk associated with maintenance/recovery of key systems Risk of litigation due to negligence claims The reputation of the Schools/Trust is damaged 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Disaster Recovery Plan in place and annually reviewed Appropriate insurance in place covering key risks - Buildings, Fixtures, Fittings, Employer, Public Liability, Professional Indemnity Insurance policy annually reviewed 	Fully	CEO/CFO	<p>Business Continuity and Disaster Recovery Plans were revised in the summer of 2023.</p> <p>No aerated concrete (RAAC) has been identified in the Trust's estate.</p>



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15	Failure to ensure that Information Technology is maintained to the highest standard	<ul style="list-style-type: none"> IT security risk – e.g. cyber attack Risk of the corruption or loss of data Risk that IT equipment and services are outdated, no longer fit for purpose and inefficient Financial risk – e.g. high maintenance costs of outdated systems Risk of litigation – data loss, failure to comply with GDPR 	1 x 2 = 2 Low	<ul style="list-style-type: none"> IT Support contract covers all key security issues IT strategy takes full account of security risks Staff training raises awareness of cyber security issues and protection measures IT delivery is closely monitored by IT support team A programme of cyber security training for school staff, governors and trustees rolled out in the summer/autumn terms 2023 The Trust's ICT manager will review and, as necessary, strengthen cyber security measures within the Trust 	Fully	CEO	<p>IT security and continuity risks were reviewed in Business Continuity/Disaster Recovery planning summer 2023.</p> <p>Internal audit in summer term will focus on cyber security</p>
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16	Failure to ensure that the Management Information produced by the Trust/school is timely and accurate	<ul style="list-style-type: none"> Risk that financial and non-financial performance can't be relied upon by SMT because it is out of date/inaccurate Risk that financial and non-financial performance can't be challenged by the Board/Governing Body because it is out of date/inaccurate Risk to the Trust/school of receiving poor audits and inspections 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular review of IT systems by IT manager Regular scrutiny of timeliness and accuracy of management information by SMT Regular reporting of management information to LGBs and Trust Effective Internal and External Audits reported to A&R 	Fully	CEO/EH
17	Failure to ensure that the Trust ensures that the Data Protection systems, procedures and processes are adequate	<ul style="list-style-type: none"> Risk that the legislative requirements relating to the protection of data are not known or complied with Risk that financial and non-financial performance can't be managed by SMT because it is out of date Risk to the Trust/school of receiving poor audits and inspections Risk of enforcement action by the Data Commissioner 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Trust has Data protection policies and procedures in place, which are monitored and annually reviewed Trust Data Protection Officer supports policies and procedures Staff and governor training provided as necessary 	Fully	CEO/EH GDPRM
18	Failure to ensure that the income due to the Trust/school is collected in a timely and efficient manner and fully reconciled as per financial regulations	<ul style="list-style-type: none"> Financial risk to operations Risk to the achievement of the Trust's/school's strategic objectives Risk of competitors competing for donations and grants from the same providers Risk that grants may not be used for the purposes they were intended 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system Effective Internal and External Audits reported to A&R 	Fully	CFO



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		<ul style="list-style-type: none"> Risk of poor audit reports and the claw back of funding 					
19	Failure to ensure that the Trust has adequate insurance cover to cover replacement costs	<ul style="list-style-type: none"> Financial risk if insurance cover inadequate Risk of litigation Reputational risk if operations adversely affected 	1 x 1 = 1 Low	<ul style="list-style-type: none"> Part of the Trust's insurance review process organised by the Finance team Regular meetings with insurance companies; Buildings insurance held by the Trust/schools Employee insurance held by the Trust as employer; Vehicles hired through the Trust/school Fixtures, Fittings, Employer, Public Liability, Professional Indemnity held by the Trust/school 	Fully	CEO/CFO	
20	Failure of the Trust/school to monitor expenditure through accurate and regular management accounts	<ul style="list-style-type: none"> Expenditure is not controlled within budget and is not directed according to need Management and admin costs are perceived as too high by the stakeholders MAT/school reserves are seen to be too high and not directed towards meeting the school objectives 	1 x 1 = 1 Low	<ul style="list-style-type: none"> Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations Regular monitoring reports to SMT, B&P and LGBs Effective Internal and External Audits reported to A&R 	Fully	CEO/CFO	
21	Failure of the MAT/schools to have financial management systems that prevent fraud	<ul style="list-style-type: none"> Reputational risk Risk to the achievement of the Trust's/school's strategic objectives Risk to the financial viability of suppliers Risk of breaking financial regulations Risk of poor audit reports Risk of breaking the Bribery Act leading to litigation 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Finance team monitor compliance with financial regulations and ensure regular and timely reconciliation Regular monitoring reports to SMT, B&P and LGBs Effective Internal and External Audits reported to A&R 	Fully	CEO/CFO	



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22	Failure to ensure that Goods and Services are purchased in line with financial regulations and that suppliers are paid in a timely and efficient manner	<ul style="list-style-type: none"> Financial risk Reputational risk Risk to the achievement of the Trust's/school's strategic objectives Risk to the financial viability of suppliers Risk of breaking financial regulations Risk of poor audit reports Risk of breaking the Bribery Act leading to litigation 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure monthly creditor accruals A comprehensive list of suppliers is maintained Finance team ensure accurate use of BACs Payment system Effective Internal and External Audits reported to A&R 	Fully	CFO	
23	Failure to implement a risk management strategy	<ul style="list-style-type: none"> Failure to optimise educational opportunities Non-compliance with school funding agency requirements Exposure of the school to unnecessary risk Increased costs e.g. insurance Reputational risk if Trust fails to respond to emerging risks 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Risk policy and register in place and kept under regular review Regular consideration of the risk register by A&R Effective Internal and External Audits reported to A&R 	Fully	CEO	
24	Failure to ensure that the Financial Reporting requirements of the Trust/schools are met	<ul style="list-style-type: none"> Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with Risk that the legislative requirements relating to Accounting Standards are not known or complied with Risk that the Charities Statement of Recommended Practice (SORP) legislative requirements are not known or complied with 	1 x 2 = 2 Low	<ul style="list-style-type: none"> 3 year financial forecasts are produced Regular monitoring reports to SMT, Trust F&R and LGBs Finance team monitor compliance with financial regulations Finance team keep finance policies and procedures under review Effective Internal and External Audit reported to A&R 	Fully	CFO	



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25	Failure to ensure that the Trust/schools comply with legislation regarding Tax	<ul style="list-style-type: none"> Risk that legislative requirements relating to VAT, PAYE, National Insurance etc. are not known or complied with Financial risk Litigation risk Ensure and review external payroll provision to ensure compliance 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations Trust seeks advice from independent VAT consultant Finance team keep finance policies and procedures under review Effective Internal and External Audit reports to A&R Payroll provision will become an 'in-house' service ensuring future reliability and compliance 	Fully	CFO	
26	Failure to ensure that an adequate disaster recovery plan is in place in relation to the school's financial systems	<ul style="list-style-type: none"> Risk that financial information cannot be recovered in the event of a disaster e.g. fire, vandalism, theft Risk to the delivery of the school's strategic objectives Significant financial risk Significant operational risk Reputational risks if financial costs cannot be recovered 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Trust Disaster Recovery Plan in place and annually reviewed Trust Business Continuity Plan in place and annually reviewed Security systems operated by the Trust/school Risk Assessment Policy and Procedures operated by the Trust/school Availability of other Trust/school sites as back up Off-site back-up storage and enhanced systems to recover information and data 	Fully	CEO/EH School – AHT LGBs	Business Continuity and Disaster Recovery Plans were revised in the summer of 2023. Further review in hand linked to cross Trust H&S developments
27	Failure to ensure that the Trust/schools have a robust set of Treasury procedures in place	<ul style="list-style-type: none"> Risk that cash flow requirements are not forecast Risk that cash is all committed to investment and insufficient is available to meet short term cash flow needs Financial risk 	1 x 2 = 2 Low	<ul style="list-style-type: none"> Regular monitoring reports to SMT, B&P and LGBs Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system Effective Internal and External Audit reported to A&R 	Fully	CFO	



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28	Failure to ensure that the Trust/school has a robust set of Fixed Asset procedures in place	<ul style="list-style-type: none"> • Risk that assets are not capitalised • Risk that the depreciation rate is not appropriate • Risk that replacement schedules are not adhered to 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Regular monitoring reports to SMT, B&P and LGBs • Finance team monitor compliance with financial regulations and ensure regular and timely reconciliations and use of the credit control system • Effective Internal and External Audit reported to A&R 	Fully	CFO	
29	Failure of the Trust/school to monitor the performance of the employee pension scheme(s)	<ul style="list-style-type: none"> • Risk that the pension scheme(s) are in significant deficit • Risk that the employer pension contribution increases significantly • Risk that the Trust/school is not making the correct level of contribution to the pension scheme(s) on behalf of the employees • Risk that the morale of staff may be affected • Financial Risk due to under/over payment 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Staff pension provision made following advice from independent Pension Consultant • Teachers' and Local Government pension schemes are historically low risk national schemes • Staff contributions implemented by payroll provider • Pension provision included within External Audit and reported to A&R • Advanced budget planning to incorporate potential increases 	Fully	CFO	



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30	<p>Funding cuts through DfE/ESFA jeopardise the quality of provision in the Trust and cause schools financial difficulties</p>	<ul style="list-style-type: none"> • Risk that the Trust fails to operate within the strategic objectives agreed by the Trust Board • Risks that the quality of support possible via central services is compromised • Risks that schools are placed in financial difficulties and need to make budget cuts, compromising the quality of provision, through staffing cuts and other measures • Operational impact on key projects and priorities • Loss of reputation with key stakeholders • Poor morale affecting staff Deteriorating employee and Professional Association relationships 	<p>3 x 3 = 9</p> <p>High</p>	<ul style="list-style-type: none"> • 3 year financial forecasts are produced to assess budgets going forward and, as necessary, the potential for deficit budgeting and recovery • Regular monitoring reports to SMT, Trust F&R and LGBs • Finance team undertake contingency planning based on best/worst case scenarios • A prudent approach to expenditure continues to be taken to preserve/create budget surpluses and limit costs • Reserves will support in year deficits at all schools in 2023-2024 however significant staffing cuts will need to take place for 2024-2025 if national funding from DfE does not increase • None funded national pay rises are a significant added risk 	<p>Partially met pending monitoring of funding pressures and expenditure in the 2023/4 school year and beyond</p> <p>Early indication for funding 2024-25 are worrying</p>	CEO	<p>Budget planning to start after Easter – potentially a very difficult year ahead</p>
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31	Growth plans fail to align with DFE/ESFA expectations	<ul style="list-style-type: none"> • Risk that the Trust is not seen as progressive and does not meet the indicative minimum size for a MAT (10 schools/7,500 pupils) • Risk of merger with another Trust/takeover • Risk that the Trust is not seen as a favoured Trust and future sponsor Development of the AMAT Primary department is delayed 	2 x 3 = 6	<ul style="list-style-type: none"> • The Trust has a well-considered and detailed Growth Plan (2020 – 2025), envisaging growth to double our current size, which is closely monitored by the Trust Board • Expansion is already underway through the addition of 2 feeder primary schools • The Trust retains an open attitude to approaches from the RSC and other schools wishing to join the Trust, alongside a robust approach to due diligence and alignment with our values • The Trust is proactive in seeking future member schools and exploring options as they arise • Transition and development of the AMAT Primary Department is started in September 2023 	Partially met pending clarification of Government expectations and ongoing discussions with potential future member schools	CEO	
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7. **Governance and Quality Assurance** – we ensure high quality Governance across the Trust which require that leaders are accountable, challenged and supported. The Trust has effective quality assurance processes in place and an annual programme of external reviews that affirm its effectiveness.

32	Failure to ensure that the objectives of the Trust are met	<ul style="list-style-type: none"> • Risk that the Trust fails to operate within the strategic objectives agreed by the Trust Board • Risk that the school's strategic objectives become out of date or are no longer appropriate 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Articles of Association, Schedule of delegation and terms of reference are in place and subject to periodic independent review • Strategic and Operational Plans set out the key aims and objectives of the Trust and are annually reviewed 	Fully	CEO	
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		<ul style="list-style-type: none"> Risk that a school receives an unfavourable OFSTED report Risk that the objectives of the Trust/school are seen as controversial Reputational risk if Trust/schools seen as poorly governed 		<ul style="list-style-type: none"> CEO carries out monthly monitoring of financial and operational performance Operational delivery is regularly reviewed by the Board 			
33	Failure of Trust/school to comply with legislative requirements	<ul style="list-style-type: none"> Financial risk Reputational risk Risk of litigation Risk of poor morale affecting staff and beneficiaries Risk to the future of the Trust/school Reputational risk if Trust/schools seen as poorly governed 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Articles of Association, Schedule of Delegations and terms of reference are in place and subject to periodic independent review Strategic and Operational Plans set out the key aims and objectives of the Trust Risk Policy and Register in place and regularly reviewed Key Policies in place, monitored and regularly reviewed – e.g. Health and Safety, Data Protection. 	Fully	CEO	
34	Failure of the Trust/Academy and the Governing Body to ensure that there is a robust organisational approach in place to deliver governance	<ul style="list-style-type: none"> Risk that committees fail to operate Risk that committee delegation is poor Risk that the Trust/Local Governing Body do not delegate or delegate too much to the CEO/EP/Head or SMT Risk that terms of reference are inadequate and unfit for purpose Reputational risk if Trust/schools seen as poorly governed 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Governance overseen at all levels by Governance Professional Programme of Governor training and induction in place Register of Trustee/Governor interests in place and reviewed at each meeting Internal audit reported to A&R External reviews of governance in the light of good practice measures, e.g. NGA, All Parliamentary Group Programme of Board and LGB self-review in place Annual skills audit of governors 	Fully	CEO	
35	Failure to ensure that the Trustees/Governors who are recruited possess the skills and	<ul style="list-style-type: none"> Risk of insufficient educational knowledge within the Board/Governing Body Risk that Trustees/Governors do 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> Structured approach to trustee/governor recruitment – e.g. profile of skills required 	Fully	CEO	



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	experience required to run the Trust/school	<p>not have the required experience</p> <ul style="list-style-type: none"> • Risk that Trustees/Governors fail to honour their obligations leading to poor availability and attendance at meetings • Risk that too much emphasis is placed on entrepreneurial work and the strategic objectives of the Trust/school are then ignored • Risk that Trustees/Governors become too involved with management of the Trust/school • Risk that Trustees/Governors do not act solely in the interest of the Trust/school but for other interests • Risk that the Trust/Governing Body lacks financial expertise • Risk that Trustees/Governors play a "passive" role on the Board/Governing Body 		<ul style="list-style-type: none"> • The Trusts' Governance Professional oversees recruitment processes for new trustees/governors • Governor training and induction programme in place • Register of Trustee/Governing Body interests in place and reviewed at each meeting • Annual skills audit of trustees/governors 			
36	Failure to ensure that the Trust/school comply with employee legislation; Health and Safety legislation	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with • Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur • Risk that Data Protection legislation may not be complied with 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Relevant policies and procedures in place via the Trust/school HR Department • Key decisions taken with professional HR advice • Trust Data Protection Officer supports relevant Trust data protection policies and procedures • Trust Health and Safety Officer supports <ul style="list-style-type: none"> ○ Health Safety Policy 	Fully	CEO/HR M/FM	<p>CIe have been appointed into the "Competent person" role: careful monitoring of training, policy and compliance is needed to ensure the arrangements are secure</p>



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		<ul style="list-style-type: none"> • Risk that Human Rights legislation will not be complied with • Risk that employee contract legislation may not be complied with • Risk that employee Pension legislative requirements are not known or complied with • Risk that Health and Safety legislative requirements are not known or complied with • Health and Safety within Academy kitchens is now the responsibility of the Trust 1/09/19 – key issues relating to training have emerged 		<ul style="list-style-type: none"> ○ First Aid Policy ○ Fire Safety Policy • Compliance in Education' have been appointed as our new Competent person' appointed via an SLA – to undertake termly audit and carry out without warning checks – training, policy and compliance. <p>This started well with all schools visited in June 2023 Primary schools engaged</p> <ul style="list-style-type: none"> • AMAT appointed a H&S co-ordinator September 2023 			
37	Failure to ensure that the Trust/school comply with environmental legislation	<ul style="list-style-type: none"> • Risk that UK legislative requirements are not known or complied with • Risk that EU legislative requirements are not known or complied with • Reputational risk if Trust seen as non-compliant 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Trust/school sustainability policies (as Landlord of building) in place, monitored and reviewed • Property and Facilities team support and advise on environmental issues 	Fully	CEO/FM	
38	Failure to ensure that up to date information regarding the legislation relating to charities is maintained and kept updated by senior management	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with • Financial risk • Risk that the Trust/Governing Body are not aware of their legislative obligations • Reputational risk if Trust seen as non-compliant 	1 x 2 = 2 Low	<ul style="list-style-type: none"> • Company Secretary and Governance Professional advise on charity legislation • Networking with strategic partners, including attendance at RSC events • ESFA Updates reported to Board as appropriate • Periodic independent review of governance across the Trust includes review of legislative requirements 	Fully	CFO	
39	Failure to ensure that the	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Ofsted Inspection evidence reviewed and acted upon 	Fully	CEO/EH	



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	Trust/school is compliant in respect of the educational requirements of the sector	<p>National Curriculum/assessment are not known or complied with</p> <ul style="list-style-type: none"> • Risk that the legislative requirements relating to child safeguarding/mental health/Prevent are not known or complied with • Failure to implement DfE/ESFA Requirements applying to the schools' sector 		<ul style="list-style-type: none"> • Networking and receipt of information at local, regional and national levels by the CEO/EH • Liaison with the DfE/RSC/ESFA • Head teacher meetings 			
40	Failure to ensure that the Trust/school is compliant in respect of the requirements of the Government and the Local Authority	<ul style="list-style-type: none"> • Risk that the terms and conditions relating to the payment of grant is not known of complied with • Risk that the legislative requirements relating to licensing are not known or complied with • Reputational risk if Trust seen as non-compliant 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Independent Clerk to the Governing Body • Reports to SMT and the Governing Body • Ofsted Inspections acted upon • Internal and External Audit • Networking and receipt of information at local, regional and national levels by the CEO/EH • Visits to other schools • Head teacher meetings 	Fully	CEO/EH	
41	Failure of Key infrastructure components leading to unplanned closures (NA for Park Hall since PFI)	<ul style="list-style-type: none"> • Unplanned closures disrupt educational provision • Reputational risk if provision disrupted • Stakeholder concerns • Reputational risk if Trust seen as failing to manage risk 	2 x 2 = 4 Medium	<ul style="list-style-type: none"> • Disaster Recovery and Business Continuity Plans in place and monitored • Maintenance and legislative compliance programmes in place • Situation monitored monthly by Facilities Manager and Site Manager • Service contracts in place 	Fully	CEO/EH FM Schools AHT LGBs	Business Continuity and Disaster Recovery Plans were revised in the summer of 2023. No aerated concrete (RAAC) has been identified in the Trust's estate.
42	PFI contractor goes bankrupt/fails to deliver on contractual commitments	<ul style="list-style-type: none"> • Financial risk associated with maintenance of buildings under PFI contract • Risk to quality of education of students • Health and safety related risks if building stock not 	1 x 3 = 3 Medium	<ul style="list-style-type: none"> • Facilities Manager monitors delivery of PFI contract • Issues arising from delivery of contract are raised with ESFA, Local Authority and relevant stakeholders • Insurance position kept under continual review 	Fully	CEO/CFO	



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		<p>maintained to required standards</p> <ul style="list-style-type: none"> • Reputational risk if Trust seen as failing to manage building stock 					
43	<p>Failure of the Trust/schools to have procedures in place to cover the absence of the CEO/EH/AH of the School or other members of SMT</p>	<ul style="list-style-type: none"> • Reputational risk if schools do not have an identified leader • Risk of poor morale affecting staff and students • Risk to the day to day operation of the Trust/school if leadership continuity not guaranteed • Risk of poor Ofsted report 	<p>1 x 2 = 2 Low</p>	<ul style="list-style-type: none"> • Clear senior staff roles with delegations set out in job descriptions • Distributed leadership structures in schools • Clear cover arrangements in place and publicised • Structure charts reported to Trust Board/LGBs • Succession planning arrangements in place – a updated succession strategy in place 	Fully	CEO/EH Schools-AHT LGBs	<p>EH/CFO could provide cover for CEO as necessary. EH now has a deputy who could provide cover in liaison with AHs. Director of Primary will support primary schools from Easter 2024.</p>