



RISK ASSESSMENT POLICY

Date of Next Review: October 2025

Responsible Officers: Director of Estates / Estate Manager



Contents

1. Aims.....	3
2 Legislation.....	3
3. Definitions.....	3
4. Roles & Responsibilities.....	4
5. Risk Assessment Process.....	5
6. Monitoring Arrangements.....	5
7. Links with other Policies.....	5
Appendix 1 Typical Risks in an Academy Trust.....	6
Appendix 2 – Guidance on the Definition and Likelihood and Impact.....	7
Appendix 3 – Risk Register Template.....	9
Appendix 4 – Risk Register Vision Academy Learning Trust.....	10



1. Aims

The Trust aims to ensure that:

- All risks that may cause injury or harm to staff, pupils and visitors are identified, and all control measures that are reasonably practicable are in place to avoid injury or harm
- Risk assessments are conducted and reviewed on a regular basis

2 Legislation

This policy has due regard to all relevant legislation and guidance including, but not limited to, the following:

- Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulations 1999
- Education Act 2002
- The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)
- DfE (2022) 'Health and safety: responsibilities and duties for schools'

This policy operates in conjunction with the following school policies and documents:

- Health and Safety Policy
- Fire Safety Policy
- Fire Safety Risk Assessment

3. Definitions

Risk assessment	A careful examination of what, in the school, could cause harm to people, so that the school can determine whether the necessary precautions are in place or whether more should be done to prevent harm
Hazard	Something with the potential to cause harm to people, such as chemicals or working from height
Risk	The chance (high or low) that people could be harmed by hazards, together with an indication of how serious the harm could be
Control measure	Action taken to prevent people being harmed



4. Roles & Responsibilities

The Governing Board

The governing board has ultimate responsibility for health and safety matters in the school, but will delegate day-to-day responsibility to the Headteacher.

The governing board has a duty to take reasonable steps to ensure that staff and pupils are not exposed to risks to their health and safety. This applies to activities on or off the school premises.

The Academy Trust, as the employer, also has a duty to:

- Assess the risks to staff and others affected by school activities in order to identify and introduce the health and safety measures necessary to manage the risks
- Inform employees about risks and the measures in place to manage them
- Ensuring the relevant incidents and injuries are recorded and reported in line with RIDDOR.

The Headteacher is responsible for

- Appointing a competent health and safety lead to ensure the school meets its health and safety duties
- Ensuring there is an effective approach to risk management in the school.
- Ensuring that any individual tasked to carry out a risk assessment is suitably trained to do so.
- Developing a Health and Safety Policy, subject to reviews based on thorough risk assessment to reflect on and reduce occurrences of newly established risks.

The health and safety lead is responsible for:

- Developing and implementing an effective approach to risk management in the school.
- Recording any significant findings from risk assessments.
- Reporting to the headteacher and governing board, as required

School Staff & Volunteers

School staff are responsible for:

- Taking reasonable care of their own safety, as well as that of pupils, visitors and other staff members
- Assisting with, and participating in, risk assessment processes, as required
- Familiarising themselves with risk assessments
- Implementing control measures identified in risk assessments
- Alerting the headteacher to any risks they find which need assessing

Pupils & Parents

Pupils and parents are responsible for following the school's advice in relation to risks, on-site and off-site, and for reporting any hazards to a member of staff.

Contractors

Contractors are expected to provide evidence that they have adequately risk assessed all their planned work when completing the Control of Contractors form, prior to commencing work



5. Risk Assessment Process

When assessing risks in the school, we will follow the process outlined below.

We will also involve staff, where appropriate, to ensure that all possible hazards have been identified and to discuss control measures, following a risk assessment.

Step 1: identify hazards – we will consider activities, processes and substances within the school and establish what associated-hazards could injure or harm the health of staff, pupils and visitors.

Step 2: decide who may be harmed and how – for each hazard, we will establish who might be harmed, listing groups rather than individuals. We will bear in mind that some people will have special requirements, for instance pupils with special educational needs (SEN) and expectant mothers. We will then establish how these groups might be harmed.

Step 3: evaluate the risks and decide on control measures (reviewing existing ones as well) – we will establish the level of risk posed by each hazard and review existing control measures. We will balance the level of risk against the measures needed to control them and do everything that is reasonably practicable to protect people from harm.

Step 4: record significant findings – the findings from steps 1-3 will be written up and recorded in order to produce the risk assessment. A risk assessment template can be found in appendix 2 of this policy.

Step 5: review the assessment and update, as needed – we will review our risk assessments, as needed, and the following questions will be asked when doing so:

- Have there been any significant changes?
- Are there improvements that still need to be made?
- Have staff or pupils spotted a problem?
- Have we learnt anything from accidents or near misses?

Step 6: retaining risk assessments – risk assessments are retained for the 3 years after the length of time they apply. Risk assessments are securely disposed of.

6. Monitoring Arrangements

Risk assessments are written as needed and reviewed by the appropriate Manager.

This policy will be reviewed by the Estates Manager every 2 years and approved by the Governing body.

7. Links with other Policies

This risk assessment policy links to the following policies:

- Health and safety
- First aid
- Supporting pupils with medical conditions



Appendix 1 Typical Risks in an Academy Trust

Corporate/Strategic

- Lack of strategic planning, no link to financial planning
- Reputation

Governance

- Responsibilities not defined
- Too much/little delegated to Head Teacher and Finance Director
- Unable to attract Trustees / Governors
- Non attendance at meetings by Trustees / Governors

Academic

- Unable to achieve targets
- Staff recruitment and retention

Pupil Support

- Welfare of pupils
- Safety of pupils

Contractual/partnership

- Over-dependency on a relationship, liabilities arising

Financial

- Changes in funding
- Changes in pupil numbers
- Internal control breakdown/Fraud
- Inaccurate financial reporting

IT

- Security risks
- Business continuity
- Obsolescence of current systems

Physical

- Legislation- DDA, fire safety etc.
- Loss, damage or theft of assets

Commercial

- VAT/taxation exposure

Political

- Failure to maximise opportunities

Legal

- Child Protection
- Admissions
- Employment Legislation
- Data Protection, FOI etc
- Contracts etc.



Appendix 2 – Guidance on the Definition and Likelihood and Impact

Likelihood	5	Very High	There is little doubt that it will happen soon
	4	High	Strong chance it will happen in the next year
	3	Significant	50/50 chance this will happen in the next year
	2	Low	Not expected to happen in the next year
	1	Very Low	Almost impossible
Impact	5	Catastrophic	Loss of operations for more than a week; severe injuries or loss of life; gross failure to meet national/professional standards; major long term consequences; extensive coverage in press; major financial loss then threatens existence
	4	High	Loss of operations for up to a week; severe injuries; severe financial loss with impact on operations; damage to reputation, local press coverage
	3	Moderate	Some disruption to operations for 48 hours; short term illness/injuries; some damage to reputation; financial loss than can be managed within budget
	2	Minor	Limited short-term disruption to operations; minor injuries/illness; small financial loss
	1	Insignificant	Not a noticeable effect on the school; no injuries; no damage to reputation



Risk Matrix

LIKELIHOOD	5 Very High					
	4 High					
	3 Significant					
	2 Low					
	1 Very Low					
			1 Insignificant	2 Minor	3 Moderate	4 High
	IMPACT					



Appendix 4 – Risk Register Vision Academy Learning Trust

Specific Risk	Current Control Measures in Place	Likelihood of occurring - 1 Low / 5 High	Impact - 1 Low / 5 High	Response (based on current control measures)	Additional Control measures to be put in place	Person Responsible	Date to be actioned
FINANCIAL RISKS:							
Deficit Budget forecast for Trust in 21/22	Reviewing budgets, curriculum, and staffing	5	5	Constant review of budget and reviewing efficiencies/Strong strategic plan of action	3 year forecast budgets to be reviewed	Trust Board/Chief Accounting officer	Ongoing
Significant variances in expenditure or income	Annual budget preparation reviewed with headteachers	2	4	Termly review of actual expenditure compared with budget. Reports highlighting variances	Regular monitoring by Trust Board	Finance Director	Ongoing
Short Term Cash shortages	Weekly bank reconciliation and reviews	2	3	Short term cash deposits - regular review of cash requirements and cash flow forecast presented to FRC		Finance Director	Ongoing
Long term cash shortages	12 month cash flow forecast updated monthly	2	5	Cash flow forecast based on budget forecast. Review by FRC	Only restricted reserves placed on long term deposit and reviewed regularly	Finance Director	Ongoing



Risk Assessment Policy
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Document Control
Reference: HS-VALT-004
Issue No: 2
Issue Date: October 2023
Page: 11 of 20

Improper or irregular use of funds	Scheme of delegation in place, Internal control structure in place. Responsible officer visits and reviews each term, expenditure authorisation process is clear	1	5	Limited delegated authority to schools, bank reconciliation and control account preparation each month. Review and authorisation of all expenditure undertaken by FD and CEO		Chief Accounting Officer	Ongoing
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Specific Risk	Current Control Measures in Place	Likelihood of occurring - 1 Low / 5 High	Impact - 1 Low / 5 High	Response (based on current control measures)	Additional Control measures to be put in place	Person Responsible	Date to be actioned
Errors in accounts caused by inadequately skilled or experienced staff	Experienced team, constant updating of training and development. Overview of all accounts and transactions undertaken by FD on a regular basis	3	3	Continual development of finance staff and analysis of skills	Review of finance staff skill set to be undertaken	Finance Director/Head teacher	Ongoing
Loss caused by lack of security over assets including cash	Financial handbook procedures on management of assets and cash	1	4	Segregated duties within finance team, asset tagging and review of the fixed asset register	Cashless payment system to be introduced in all schools from September17	Finance Director	Ongoing



Risk Assessment Policy
PUBLIC

Document Control

Reference: HS-VALT-004

Issue No: 2

Issue Date: October 2023

Page: 12 of 20

Fraudulent payment to suppliers	Annual review of effectiveness of internal controls, Expenditure authorisation process. Input and update of supplier database limited to key finance staff	2	2	Limited users allowed to add new suppliers and all are signed off by FD. Accounts and transactions are verified by Finance manager	The FD and CEO are responsible for all supplier payments and undertake a review.	Finance Director	Ongoing
Fraudulent payments to staff	Robust procedures for monthly payroll sign off. Personnel establishment under regular review	1	4	Staffing reviewed by school business managers. Restricted authorisers for both new starters and amendments		Finance Director	Ongoing
Insufficient insurance cover	Annual review of insurance arrangements undertaken by FD	5	4	Trust wide policy is to purchase the DFE RPI insurance with additional insurance being purchased via a framework		Finance Director	Ongoing
Cover for absent CEO and FD	Currently no cover for these key members of staff	2	5	Review staffing to identify key personnel to undertake these roles in the absence of staff	Capacity and funding restraints will have to be reviewed before this can be achieved	Trust Board/Chief Accounting officer	Ongoing



Risk Assessment Policy
PUBLIC

Document Control
Reference: HS-VALT-004
Issue No: 2
Issue Date: October 2023
Page: 13 of 20

Specific Risk	Current Control Measures in Place	Likelihood of occurring - 1 Low / 5 High	Impact - 1 Low / 5 High	Response (based on current control measures)	Additional Control measures to be put in place	Person Responsible	Date to be actioned
BUILDINGS RISKS:							
Fire	Fire Risk Assessment.	2	3-5	Review Fire Risk Assessment annually / whenever significant changes arise.	Temporary Fire Risk Assessments are put in place as required eg. During building works or health crisis – Covid19.	Director of Estates / Estates Manager In conjunction with NYC	Ongoing
	Termly Fire Drill Practice.						
	Weekly Fire System Test.						
	Monthly Fire Safety checks.						
Asbestos	Asbestos Audit	2	3-4	SBC Review Asbestos Audit annually.	Submit Permit to work applications as required. Arrange pre refurbishment	Director of Estates / Estates Manager In conjunction with SBC	On-going.
	& Permit to work scheme through SBC in place.						
	SBC undertake Annual Asbestos Audit Review.			Director of Estates / Estates Manager In conjunction with NYC undertakes annual review of Asbestos. Asbestos management plan, audit and a non-intrusive visual inspection of known asbestos containing materials.	Surveys as required.		
	Pre-refurbishment surveys carried out before work undertaken.						



Risk Assessment Policy
PUBLIC

Document Control
Reference: HS-VALT-004
Issue No: 2
Issue Date: October 2023
Page: 14 of 20

Specific Risk	Current Control Measures in Place	Likelihood of occurring - 1 Low / 5 High	Impact - 1 Low / 5 High	Response (based on current control measures)	Additional Control measures to be put in place	Person Responsible	Date to be actioned
Legionella	Risk Assessment & Audit in place.	2	4-5	Weekly run-off of little used water outlets.	Advice sought from SBC Legionella Officer prior to undertaking work on water systems.	Director of Estates / Estates Manager In conjunction with NYC	On-going.
				Shower heads, etc. cleaned 3 times annually.			
				Annual Review of Legionella Management Policy by Trust Estate Manager.			
				Risk Assessment & Audit undertaken every 2/3 years.			
Contractors	Control of Contractors Procedures in place.	2	2-4	Annual Review of Procedures	Review Procedures prior to significant works being undertaken.	Director of Estates / Estates Manager In conjunction with NYC	On-going.



STRATEGIC & REPUTATIONAL RISKS:							
Management effectiveness within school affected by loss of key staff	<ul style="list-style-type: none"> • Restructure within school to assist teacher development programme, liaise with Chair • Delegation of target setting & management of core subjects • Control actions included within SEF, SIP and HT • Performance documents • Staff training & development programme introduced, CDP • linked to priorities • Planning and training of current / new staff to cover staff on long term absence 	2	4	Through the Trust offer training opportunities and AAHT opportunities	Opportunities for key staff to undertake leadership shadowing programme	School Head Teachers/CEO	On-going review and actions shared with LGB



Risk Assessment Policy
PUBLIC

Document Control
Reference: HS-VALT-004
Issue No: 2
Issue Date: October 2023
Page: 16 of 20

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<p>Educational performance of school falls, resulting in poor external inspection report</p>	<p>Target setting and assessment evaluation within core subjects</p> <p>Programme of staff training and personal development reviews to improve quality of teaching and performance management</p> <p>Develop a programme to include parents within children's learning</p> <p>Programme introduced to improve children's behaviour with revised rules, rewards</p> <p>Increase monitoring by Governors, see SEF, SIP, HT Performance</p>	2	4	<p>Executive HT meeting agenda current progress of key groups of students and identifies Trust wide support</p>	<p>Offer additional staffing / training to directly support underperforming area</p>	<p>CEO and Exec HT</p> <p>School HT</p>	<p>On going review through:</p> <ol style="list-style-type: none"> 1. Exec HT meetings 2. LGB reports 3. Reports to Trustees



Risk Assessment Policy
PUBLIC

Document Control
Reference: HS-VALT-004
Issue No: 2
Issue Date: October 2023
Page: 17 of 20

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Management of Educational Visits	<ul style="list-style-type: none"> • Training of appropriate staff who wish to manage school trips • Use AVEC H&S online facility • Risk Assessment undertaken for each visit assessed by SBM/DHT • Issues raised within SLT and • Phase meetings • Details within School • Development Plan and SIP 	2	4	<p>Annual training for lead EV coordinator</p> <p>Risk assessments completed for all visits</p>	Trip leaders undergo training	School Headteachers	Ongoing review
School unable to meet its obligations under the information governance agenda	<ul style="list-style-type: none"> • Governors agreed policy for school • Training attended by Assistant Head • Issues included in SLT and staff meetings • Procedures altered to meet requirements 	2	4	<p>Reports on Governance to Board</p> <p>Training offered to all LGBs and SLT</p>	Effective clerking in place and ability to deploy NLG	LGB, SLT and Headteachers	Ongoing review



Risk Assessment Policy
PUBLIC

Document Control

Reference: HS-VALT-004

Issue No: 2

Issue Date: October 2023

Page: 18 of 20

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Reputation of the School and Trust	<ul style="list-style-type: none"> • Regular communications Newsletter • School web site developed and reviewed on a regular basis • Staff training programme • Performance monitoring programme • SEF, SIP regularly monitored and reviewed 	2	4	All schools ensure effective communication: <ul style="list-style-type: none"> • Newsletters, • Parent evenings • Letters • websites 	LGB and SLT	Trust Board, CEO and LGB	Ongoing review
School Improvement Plan not delivered	<ul style="list-style-type: none"> • Staffing restructure • Management training by Ex HT • Actions identified in SEF, SIP, HT Reports • Engagement of parents within curriculum subjects • Improved communication with parents 	2	4	Exec HT Meeting and SLTs review progress half termly – action support as necessary	Deploy CEO and Exec HT to redefine actions for SIP, identify and implement actions	CEO and Headteachers	Ongoing reviews



IT SYSTEMS AN PROCEDURES:							
Failure to ensure IT equipment is maintained. Electrical Safety, Data Loss, Data Security, Business Continuity	IT SLAs. PAT Testing. School Policies. IT Strategy.	2	3	Strong.	Continual review of current practices. Update Documentation on IT Strategy	J Clark	Ongoing

Specific Risk	Current Control Measures in Place	Likelihood of occurring - 1 Low / 5 High	Impact - 1 Low / 5 High	Response (based on current control measures)	Additional Control measures to be put in place	Person Responsible	Date to be actioned
Failure to monitor and react to competitor behaviour	Marketing strategy	1	2	Mixed	Further development of marketing strategy. Style guides for design use.	Exec HT comm and R Cussons R Cussons	Ongoing
Failure to comply with legislative requirements.	LA Guidance. ICO guidance on data protection. School policies. IT Strategy.	1	4	Strong	Review of practices for GDPR implications. Review of school website.	A. Sotheby J Clark & R Cussons	Ongoing



Risk Assessment Policy
PUBLIC

Document Control

Reference: HS-VALT-004

Issue No: 2

Issue Date: October 2023

Page: 20 of 20

Long term cash shortages	12 month cash flow forecast updated monthly	2	5	Cash flow forecast based on budget forecast. Review by FRC	Only restricted reserves placed on long term deposit and reviewed regularly	Finance Director	Ongoing
Failure to ensure Data Protection systems and processes are adequate. Financial risk, Litigation risk	School Policies and procedures. IT strategy.	2	4	Strong	IT Strategy. School Policies and procedures. Cyber Insurance	J Clark	Ongoing
Risk of non compliance and also the risk going forward of any data breaches	Trust has appointed data protection officer who leads GDPR review, policy and actions	2	3	DPO has been training and trust wide guidance given. Timeline for audits reviews are in place.	Following audit – action plan to be developed	A. Sotheby	Ongoing