



Batley Multi Academy Trust

Risk Management Policy

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Risk Management

Risk is inherent in everything academy trusts do to deliver high quality services. At Batley Multi Academy Trust (the Trust), risk management is an essential part of governance and leadership, and an integral part of business planning and decision-making processes. Our risk management approach considers the [ICAEW four lines of defence concept](#).

Legislation and Statutory Requirements

This policy is based on the following legislation and Department for Education (DfE) guidance:

- Paragraph 16 of part 3 of [The Education \(Independent School Standards\) Regulations 2014](#) which requires proprietors to have a written risk assessment policy
- Regulations 3 and 16 of [The Management of Health and Safety at Work Regulations 1999](#) require employers to assess risks to the health and safety of their employees, including new and expectant mothers
- Regulation 4 of [The Control of Asbestos Regulations 2012](#) requires that employers carry out an asbestos risk assessment
- Employers must assess the risk to workers from substances hazardous to health under regulation 6 of [The Control of Substances Hazardous to Health Regulations 2002](#)
- Under regulation 2 of [The Health and Safety \(Display Screen Equipment\) Regulations 1992](#), employers must assess the health and safety risks that display screen equipment pose to staff
- Regulation 9 of [The Regulatory Reform \(Fire Safety\) Order 2005](#) says that fire risks must be assessed
- Regulation 4 of [The Manual Handling Operations Regulations 1992](#) requires employers to conduct a risk assessment for manual handling operations
- The [Work at Height Regulations 2005](#) say that employers must conduct a risk assessment to help them identify the measures needed to ensure that work at height is carried out safely

Please see the Trust's Health and Safety Policy for additional information regarding risk and health and safety.

This policy is also based on the following guidance:

- [Academy Trust Management Guidance](#)

It is a requirement of the [Academy Trust Handbook](#) that:

- Academy Trusts must manage risks to ensure their effective operation and they must maintain a risk register.
- The Trust's management of risks must include contingency and business continuity planning.

Roles and Responsibilities

Board of Trustees

The Board of Trustees have overall responsibility for risk management, including ultimate oversight of the risk register. Any delegation of risk is set out in the Scheme of Delegation.

Audit and Risk Sub Committee

The Trust has an audit and risk subcommittee in place, in accordance with [Academy Trust Handbook](#) and this subcommittee operates in line with the relevant Terms of Reference.

Chief Executive Officer (CEO)

The Trust's CEO has responsibility for risk management on a day-to-day basis. This is delegated to the most senior position in school (Headteacher), and they have support from across the Trust Central Team.

School Staff and Volunteers

School staff (including volunteers) are responsible, in their school, for:

- Assisting with, and participating in, risk assessment processes, as required
- Familiarising themselves with risk assessment
- Implementing control measures identified in risk assessments

Risk Management Framework

Risk management involves the identification, measurement, management, monitoring and reporting of threats to business objectives. Such threats can arise from a wide variety of sources such as litigation relating to safeguarding failures, financial uncertainty from a falling roll, security risk from inappropriate access to data, property risk from fire or flood, accidents resulting in injury and natural disasters. School leaders identify risks and implement appropriate mitigating control measures as part of normal business, for example managing the risks associated with educational visits.

Risk management is not about adding new processes, but rather ensuring processes are integrated in the management and operation of businesses. Effectively managing risk informs business decisions, enables a more effective use of precious resources, enhances strategic and business planning, and strengthens contingency planning.



Identification

At the risk identification stage, all potential events that are a threat to the achievement of business objectives (including not capitalising on opportunities) are identified, defined and categorised.

Types of Risk

- **Internal risks** - these are risks over which each school has some control, by managing them through internal controls/additional mitigating actions. Examples of such risks include health and safety risks, data security.
- **External risks** - this focuses on big external events/perils and then considers how to make each school more resilient to such events. Examples of such risks include a pandemic and extreme weather.
- **Strategic risks** – these are risks to the achievement of each school’s and/or the Trust’s core objectives. For example, the risk of high staff turnover.
- **Project risks** – risks associated with any critical projects each school may be involved in. For example, slippage on the delivery timescale for a new building.

Categories of risk used within the Trust’s Risk Register are as follows:

- High quality and inclusive education
- School improvement
- Workforce
- Finance and operations
- Governance and leadership

Measurement

Assessment

Once risks have been identified it is important to measure them to give a standard for comparing the risks consistently. Measurement consists of assessment, evaluation, and ranking. The aim of assessment is to understand better each specific instance of risk, and how it could affect business objectives. The Trust estimates:

- the likelihood (or probability) of it occurring, and
- the impact (or severity) if it did occur

The Trust applies a scoring approach using a range of 1 to 3 for each risk. For example, a score of 3 for likelihood would denote an extremely likely event and 9 for impact would denote a critical level of damage.

Evaluation

Using a range of 1 to 3 generates a numeric score with the minimum being 1 (1x1) and the maximum being 9 (3x3).

Ranking

Once the scores for likelihood and impact have been combined into a single risk score, they are plotted on a risk matrix. The matrix is a grid showing high likelihood/high impact risks to the upper right and low likelihood/low impact risks to the lower left.

Management (Control)

Once risks have been assessed, evaluated and ranked, each school and the Trust Board will need to ensure there are appropriate plans to manage them. These plans include preventative controls, mitigation processes and contingency plans, if risks materialise. The approach taken will depend substantially on risk appetite and risk capacity:

- Risk appetite – the amount of risk each school and the Trust is willing to accept in the pursuit of its objectives.
- Risk capacity – the resources (financial, human etc) which each school and the Trust is able to put in place in managing risk.

Consideration of these factors may generate disagreement owing to differing views of risk, so it is important that discussion involves debate and challenge. Once the risk appetite and capacity have been established, each school/the Trust can move onto developing a risk control strategy. This would include the consideration of the 4 T's:

1. **Tolerating** risk is where no action is taken. This may be because the cost of instituting controls is not cost-effective or the risk or impact is so low that they are considered acceptable.
2. **Treating** risk involves controlling it with actions to minimise the likelihood of occurrence or impact. There may also be contingency measures to reduce impact if it does occur.
3. **Transferring** risk may involve the use of insurance or payment to third parties willing to take on the risk themselves (for instance, through outsourcing).
4. **Terminating** risk can be done by altering an inherently risky process to remove the risk. If this can be done without materially affecting operations, then removal should be considered, rather than attempting to treat, tolerate or transfer. Alternatively, if a risk is ranked highly and the other potential control measures are too expensive or otherwise impractical, the rational decision may well be that this is a process the school or Trust should not be performing at all.

Monitoring, Reporting and Scrutiny

Monitoring is ongoing and continuous. Monitoring also provides assurance on the extent to which the mitigating actions and controls are operating as intended and whether risks are being managed to an acceptable level.

The Board of Trustees are presented with the Trust's Risk Register on an annual basis, for review. The relevant subcommittee reviews this on a more regular basis to undertake scrutiny.

The risk register is central to the Trust's risk monitoring. As risks are identified, they are logged on the register and the associated control measures documented. The risk register is a 'live document' and is an on-going process.

The Risk Protection Arrangement

The Trust has adequate insurance cover in compliance with its legal obligations or be a member of the school's risk protection arrangement (RPA). If the Trust or its schools require cover which is not included in the RPA, this is purchased separately, for e.g. vehicle insurance.

Training

The Trust has training arrangements in place to ensure effective risk management is embedded throughout each school and across the Trust. There are currently several different training networks accessed across the Trust to ensure every team has access to the training and support they need, and that training is specific and bespoke to their professional needs.

The Trust undertakes regular, rigorous and thorough risk assessment and this is frequently reviewed by Trustees and the Trust Central Team. This ensures the risk assessment is up to date, live and accurate throughout the academic year, and the Trust is proactive on its risk management procedures at all times.

Monitoring

This policy will be reviewed on an annual basis and approved by the Board of Trustees at every review.