

TBAP Risk Register



A GOVERNANCE					BOARD NOT MAKING STRATEGIC DECISIONS BASED ON GOOD QUALITY INFORMATION			
RISK No	AREA OF RISK	BRIEF DESCRIPTION OF RISK	BRIEF DESCRIPTION OF CONTROLS	PRIORITY RAG (Red Amber Green)	Risk Likelihood of occurring	RISK OWNER(S)	COMMITTEE RESP	NEXT REVIEW DATE / COMMENTS
A1	Trust lacks direction, strategy and forward planning	The Trust will drift with no clear priorities or plans. Issues are addressed without strategic reference.	Trust has a 5 year strategic plan which sets out key aims, objectives and policies. Trust has 3 year financial plan and budgets. Trust improvement plan sets out actions, planned outturns and success criteria for coming academic year. Committees monitor educational and financial performance. Student and parental surveys are undertaken.		LOW	Chair of Board	Trust Board	January 2015 Whole Trust project to produce a 20:20 Vision for approval by the Board by June 2015
A2	Board lacks relevant skills to oversee the Trust	Trust fails to recognise importance of an area of its operations (probably non educational) inadequate or late decisions result in poor value for money. Board relies on staff and outside professional advice and strategic decisions begin to be made elsewhere.	A list of skills required by the Board is monitored regularly and the skill set of the existing governors is shown as a matrix and is considered when a new trustee appointment is being made. Governor training is offered and taken up. Governor role descriptions drawn up for Chair and Vice Chair. Trustee recruitment process overseen by Board		MEDIUM	Clerk to Board	Trust Board	Appointment of two additional Directors with Commercial and Financial backgrounds
A3	Trustees and/or school leadership have commercial or personal conflicts of interest which are not declared or procedures are improperly followed OR they are paid by the Trust without clear justification.	Decisions are made outside Board structure. Board cannot operate effectively re value for money. Possibility of EFA / DfE or other outside body action. Adverse impact on Governor or staff morale.	Procedure covering conflict of interest and payment of trustees set out in mem and arts of Trust. Meeting procedure and Board decisions well documented and follow best practice. Register of business interests disclosed at meetings. Currently only Executive Headteacher and staff govts are paid by Trust.		LOW	Chair of Board/ Executive Headteacher	Trust Board	January 2015 All policies and procedures under review for issue in T6 2015.

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A4	Trust undertakes activities outside its objects	Liability to repay funders / Loss of funding or DfE confidence / Potential breach of trust deed and regulatory issues.	The Trust's financial systems operate separate and discreet restricted funds to ensure designated funding is used appropriately. Unusual projects are reviewed in advance to ensure funding requirements are met.		LOW	Chair of Board / Executive Headteacher	Finance Committee	January 2015 Development of the TBAP Foundation to ensure the TBAP trust does not undertake activities outside its articles / working closely with StoneKing in relation to TBAP Residence.
A5	Loss of key trustees or Trust leadership	Loss of contact base and corporate knowledge. / Loss of experience and skills. /Operational impact on delivery of projects and priorities.	Succession planning is undertaken for Board trustees and senior staff. / Systems are documented to allow new postholders to take up a post "running". / Training for new Trustees and staff is provided. /Contracts for key staff contain adequate notice periods.		MEDIUM	Chair of Board / Executive Headteacher	Personnel Committee	January 2015. Current risk regarding the leave period for the Executive HT is 4 months.
A6	Reporting to trustees is inaccurate, late or irrelevant.	Inadequate information resulting in poor decision making. / Trustees fail to fulfil their control function. / Board becomes ill informed.	Educational targets and financial budgets are set and agreed in advance. / Report back on main targets direct to Board. / Monitoring against actual is undertaken at committee level. / SDP is reviewed as the year progresses. / Members of Board visit the school "in operation" in order to keep themselves well informed.		HIGH	Executive Headteache/ TBAP Head of Business & Operation	All Committees	January 2015 Board members invited to attend other events and visit schools / arrangements in place for external reports through 3BM and auditors.

<b>B</b>		<b>STRATEGIC</b>						
<b>RISK No</b>	<b>AREA OF RISK</b>	<b>BRIEF DESCRIPTION OF RISK</b>	<b>BRIEF DESCRIPTION OF CONTROLS</b>	<b>PRIORITY</b>	<b>Risk Likelihood of occurring</b>	<b>RISK OWNER(S)</b>	<b>COMMITTEE RESP</b>	<b>NEXT REVIEW DATE</b>
<b>B1</b>	<b>School places declines significantly</b>	Funding declines and the Trust is unsustainable	The Trust actively promotes its services across all London boroughs. If learner numbers decline from the current 4 local boroughs, the Trust will widen the catchment area to attract new learners from other adjacent boroughs.		MEDIUM	Executive Headteacher	Trust Board	January 2015 Regular meetings with LA to ensure there is a fit between TBAP offer and the LA requirements. Application for funding for new projects from other sources.
<b>B2</b>	<b>Government funding inadequate to operate Trust as "required" by Trustees, parents or DfE</b>	Savings are made which put at risk quality of teaching: student enrichment is reduced: the fabric of the Trust is neglected.	Trust plans and budgets in detail and in advance to maximise use of available resources and to achieve best value for money.		HIGH	Executive Headteacher / TBAP Head of Business & Operation	Trust Board	September 2014 Budget monitoring and setting processes to ensure efficiencies are maximised and within available funding.
<b>B3</b>	<b>Trust buildings destroyed by fire or explosion</b>	The Trust has to close for a short or extended period of time as buildings unusable.	The Trust has a disaster recovery plan in place. / The school's fire systems and the proximity of the closest fire station reduce the risks of losing all of the main building or a number of buildings at once.		MEDIUM Work to be outsourced	Executive Headteacher / TBAP Head of Business & Operation	Premises Committee	September 2014 Area of weakness which needs to be addressed now the facilities manager is now in post.

B4	IT data lost or network access unavailable for a prolonged period	Teaching and learning would be severely impacted. / Finance and many other support tasks would completely stop.	Server and network have been upgraded. / Back up of data is taken regularly and stored separately. / IT is a part of the disaster recovery plan. / Data backed up regularly tested for ability to restore.		LOW	Director of IT / Network Manager	Premises Committee	January 2015 Recovery hardware and systems have been strengthened since the failure in August 2014, however there is still a considerable weakness as there is no offsite back from the Bridge site.

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B5	Trust involved in substantial litigation	The risk is: a. financial if the action is criminal or the activity is not covered by Trust insurance. b. Reputational if the Trust is being sued for an activity that impacts on a number of students and their parents. /	The Trust has adequate insurance cover for both legal and actual costs. The management structure is designed to stop individuals making commitment on behalf of the Trust for which they are not qualified.		LOW	Executive Headteacher	Trust Board	January 2014 TBAP insurance arrangements change at the end of March 2015 and further work needs to be done to establish the new EFA new insurance cover levels from the 1 <sup>st</sup> April 2015.

		Education is becoming more litigious.						
<b>B6</b>	<b>Trust enters into inappropriate partnerships or links</b>	The risk is: a. Financial where the Trust is acting as agent for third parties OR where we have an operation which could produce financial loss. b. Reputational where the relationship may be with a business party or organisation that is found to have acted inappropriately	Trust has partnership agreements for those entities where we act as Agent.		MEDIUM	Executive Headteacher / TBAP Head of Business & Operation Manager	Trust Board	January 2015 TBAP has an SLA agreement in place with all third party providers which has been reviewed by Stone King our solicitors
<b>B7</b>	<b>Substantial financial fraud occurs</b>	The Trust makes a financial loss which is uninsured (over £250K) and reputational loss when exposed in the media. / Minor fraud may be covered financially (insurance) but may lead to major fraud and would sap staff morale.	Trust systems of internal control, financial experience of TBAP Head of Business & Operation Manager . Responsible Officer and External Auditor reviews are designed to minimise the risk. Trust has a whistleblowing policy if staffs are concerned about an individual's actions.		LOW	Executive Headteacher / TBAP Head of Business & Operation Manager	Finance Committee	January 2015 TBAP use 3BM and Hays McIntyre to ensure that our systems and processes are robust and protect the Trust against financial fraud occurring.

<b>C</b>	<b>REPUTATION</b>							
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<b>C1</b>	<b>School receives unfavourable OfSTED inspection rating</b>	Staff morale is lowered, Trust management is damaged and the balance of reputation moves towards other local schools.	School's self-evaluation form is kept up to date. / School Improvement Partner undertakes regular reviews and related		MEDIUM	Executive Headteacher	Trust Board	January 2015 As per description of controls

			management judgements. / School leadership addresses identified weaknesses or areas less than outstanding./ Teaching staff are trained and coached so that outstanding teaching grade is reality.					
<b>C2</b>	<b>School's reputation with school community existing or potential parents and pupils severely declines</b>	Parents and others complain to OfSTED about school's activities. Staff recruitment made harder.	School works hard to maintain good links and reputation with parents through swiftly responding to concerns: Partnership with Parents and Parents Evening provides communication and feedback with parents. / Newsletter and website provide additional information.		LOW	Executive Headteacher	Trust Board	January 2015  As per description of controls
<b>C3</b>	<b>Major scandal involving the Executive Headteacher</b>	School's reputation damaged when situation exposed by media; Trust management severely disrupted whilst Executive Headteacher suspended. Financial costs of sorting the problem potentially high. Scandal involving other staff damaging.	Background checks and references and interview process involving a number of Governors, school management and students reduce risks. Good working relationship between Executive Head and Chair of Board and Head and leadership team reduce risk of situation going unnoticed.		LOW	Chair of Board	Trust Board	January 2015  As per description of controls

<b>D</b>	<b>OPERATIONAL</b>							
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<b>D1</b>	<b>Child Protection</b>	A student is:	The Trust's Safeguarding		MEDIUM	Executive	Student Welfare	January

	<b>Issues</b>	Abused in school/ Abused externally without the school picking up warning signs/ Bullied by other students. Students' lives are severely affected and the Trust's reputation or OfSTED grading is reduced.	Policy has the names of the designated CP lead at each provision. Annual CP training is delivered to all staff across TBAP where they are trained in identifying physical and mental signs of abuse. Staff recruitment procedures are strong; the Trust maintains up to date Single Central Records of DBS information etc at each provision. Counselling / Therapeutic staff team help to widen the understanding of potential problems and to provide support.			Headteacher/	Committee	2015  As per description of controls
<b>D2</b>	<b>Staff problems re drink, drugs, social media and safeguarding</b>	Staff become a risk to themselves and their students due to drink or drugs abuse. / Staff has inappropriate relationships with students. / Staff partakes in social media exchanges with current students or recent students.	Staff recruitment procedures ensure references taken up. /Any concerns noted regarding use of drugs / alcohol abuse / inappropriate relationship / social media exchanges are notified to the Exec Head who will immediately implement appropriate procedures to address potential concerns. School's e-safety policy signed by all staff. / Students aware and will also report concerns.		MEDIUM	Executive Headteacher/ TBAP Head of Business & Operation Manager	Personnel Committee	January 2015  As per description of controls
<b>D3</b>	<b>Health and safety issues</b>	A student, member of staff or visitor sustains an injury (or worse), on site or wherever the Trust has responsibility, and the circumstances could have been	The Trust mitigates these risks by identifying them; Risk assessments are undertaken and all staff are aware that H&S is the responsibility of every member of		MEDIUM	TBAP Head of Business & Operation Manager	Premises Committee	September 2014  As per description of controls



		<p>foreseen and avoided. As a result, The Trust is deemed negligent.</p> <p>A student claims that they were injured by a member of staff whilst involved in a behaviour incident. The Trust is deemed negligent.</p> <p>Students play sport at school, and sport related injuries can / do occur.</p>	<p>every individual to ensure all provisions are effectively monitored. / We receive health and safety advice, train staff on specific procedures and have been reviewed annually by an outside expert. An annual review with outside expert evaluation is planned for each provision.</p> <p>All staff as part of their induction are trained in a two day Team Teach techniques, covering de-escalation and safe touch. All staff attend a one day refresher course every year. The Trust has a number of trained trainers as part of the teams as experts who can provide refresher training as required. All staff are required to operate with the Trust Behaviour policy. Ensure that safe techniques are taught in all PE lessons to reduce the risk of sports related injuries.</p>					
<b>D4</b>	<b>Violent intruder gains access to the school</b>	The intruder harms students or staff.	All provisions have access controlled entry systems. Trust staff all carry TBAP Identity cards with photos on that are checked at entry to each provision.		LOW	TBAP Head of Business & Operation Manager	Premises Committee	January 2015 <i>As per description of controls</i>
<b>D5</b>	<b>Inadequate food hygiene in the canteen</b>	An outbreak of food poisoning occurs affecting students and or staff; the catering operation is closed or action is taken against	The LA currently monitors the catering contracts delivered in LBH&F & WCC. Part of that monitoring includes regular inspections and reports on compliance		LOW	Eden / TBAP Head of Business & Operation Manager	Premises Committee	January 2015 <i>The kitchen facilities at LAPA are not adequate and need to be urgently upgraded.</i>

		the Trust.	with all aspects of H&S relating to food, and appropriate staff training in Food Hygiene. The kitchens are also inspected without notice by Environmental Health officers to monitor for compliance with appropriate standards.					
<b>D6</b>	<b>Inappropriate access to internet through Trust's IT network</b>	Students access inappropriate internet sites. / Staff put themselves at risk accessing inappropriate sites.	School has an e-safety policy which all staff is given when they join the staff either as a contracted member of staff or agency. School runs a firewall which filters access to inappropriate sites.		LOW	Director of IT/ Network Manager	Curriculum Committee	January 2014  As per description of controls
<b>D7</b>	<b>Trust enters into a commercial contract with onerous terms and conditions</b>	A member of staff enters a contract which has substantial long term commercial consequences – for example leasing equipment or committing to long term delivery of a service.	Procurement Policy in place. Approved suppliers made know to all staff. Staffs are aware that they must not sign up to agreements.		MEDIUM	Head of Business & Operation Manager	Finance Committee	January 2014  As per description of controls
<b>D8</b>	<b>Control is lost with a major building or educational project</b>	Project financially out of control putting Trust at risk.	Purchasing and Procurement policy in place and observed. Fixed price quotes can be obtained. Penalty clauses can be included to ensure work not protracted. Business Manager involved with contractor negotiations. Specialist advice sought with contract tender specifications and project management bought when required		MEDIUM	Head of Business & Operation Manager	Finance Committee	September 2014  As per description of controls
<b>D9</b>	<b>Trust becomes too</b>	Supplier crucial to	There are alternative		MEDIUM	Head of Business &	Finance	September

	<b>dependent on one supplier</b>	operations but need to have only one supplier to get best prices. /Possible short term disruption.	suppliers for nearly all our purchasing. / Head of Business & Operation Manager involved with supplier meetings. / Suppliers are credit checked. Plan is to market test all existing contract when due for renewal / review.			Operation Manager	Committee	2014  As per description of controls
<b>D10</b>	<b>Physical control over Trust assets is inadequate</b>	Valuable equipment is "lost".	All ICT / AV equipment costing over £50 is added to the Asset register when goods are received. Staff sign for all goods distributed after they are recorded on the register. Annual dept audits undertaken to ensure all equipment accounted for.		MEDIUM	Head of Business & Operation Manager	Finance Committee	January 2015 Need to improve the quality of the asset register as per the auditor's report. Although we do have a list of all IT assets it does not include all equipment and assets.
<b>D11</b>	<b>Employment issues arise.</b>	Contract of employment wrongly drafted. / Salary underpaid. / Pension contributions not made. / Staff who leave sue for wrongful dismissal.	New salary calculations approved by HR and Finance Manager. Monthly salary Reconciliations done between expected payroll and actual. / Pension returns reconciled. / Specialist Employment advice sought by Executive Headteacher as and when individual cases / issues present to ensure employment law appropriately implemented and appropriate HR procedures appropriately implemented / followed.		MEDIUM	Executive Headteacher / Head of Business & Operation Manager /HR and Finance Manager	Personnel Committee	January 2015  As per description of controls
<b>D12</b>	<b>Inappropriate or ineffective staff are employed</b>	Bad recruitment decisions are made and staff cannot be removed	Detailed recruitment procedures followed. /References taken up. /		MEDIUM	Executive Headteacher/ Head of Business &	Personnel Committee	January 2015 As per description of

		easily.	Probationary period reviews implemented.			Operation Manager/HR and Finance Manager		controls
D13	Trust experiences localised flooding	Danger that facilities not available for students. / Damage done to fabric of building or IT network.	Drains and roofs are monitored on a regular basis. Insurance checked to make sure cover is provided.		MEDIUM	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
D14	Trust experiences power failure	Danger that facilities not available for students as too dark to teach. / Damage done to IT network. / Not possible to heat food/open freezers. / Heating systems will close down.	Trust has a range of UPSs to close down servers without damage. / A long term grid failure would close school.		LOW	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
D15	Trust experiences heating failure	School too cold for students (and staff).	Regular boiler maintenance undertaken.		LOW	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
D16	Trust experiences water supply failure	School would have to close for sanitary reasons.	If major Thames Water issue not able to mitigate.		LOW	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
D17	Maintenance of Trust premises inadequate	Inadequate maintenance of basic infrastructure fabric/systems results in increased longer term costs. Inadequate cosmetic maintenance has the school looking shabby.	Routine planned maintenance contracts in place for building systems. Six monthly review of room condition undertaken to inform planning for annual maintenance and repair work / painting and carpet renewal etc. Capital grants applied for when available.		MEDIUM	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
D18	Trust's IT systems inadequate	Ineffective teaching and learning environment. / Ineffective administrative environment.	Network recently upgraded/broadband capacity high/daily running reviewed regularly/high quality staff.		LOW	Director of IT/ Network Manager	Premises Committee	January 2015 As per description of controls
D19	Trust policies and	Staff, students and	Policies on website and		LOW	Executive	All Committees	January

	<b>systems inadequately documented and communicated</b>	parents do not have access to and are not aware of Trust policies.	regularly reviewed and updated on site when changes approved.			Headteacher /Clerk to Governors		2015  As per description of controls
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E		FINANCIAL						
RISK No	AREA OF RISK	BRIEF DESCRIPTION OF RISK	BRIEF DESCRIPTION OF CONTROLS	PRIORITY	Risk Likelihood of occurring	RISK OWNER(S)	COMMITTEE RESP	NEXT REVIEW DATE
E1	<b>Poor internal controls and segregation of duties</b>	Unauthorised and inappropriate expenditure may occur, income may not be reported correctly; the risk of financial fraud increases.	Internal controls and finance systems are set out in Finance Policy. Responsible Officer and External Auditor reviews are designed to minimise the risk. Trust has a whistleblowing policy if staffs are concerned about an individual's actions.		LOW	Executive Headteacher/ Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls
E2	<b>Poor budgetary control</b>	Expenditure is incurred which is not in line with school management plans. / Risk of total overspends.	School budget set in significant detail. / Budget reports sent to all budget holders. Financial Accountant and Head of Business & Operation Manager monitor budgets regularly.		LOW	Head of Business & Operation Manager	Finance Committee	September 2014 As per description of controls.
E3	<b>Poor financial reporting</b>	Problems are not identified quickly resulting in management decisions to solve them being taken later than necessary.	Regular monthly reports produced with termly reports going to Finance Committee and Trust Board.		LOW	Head of Business & Operation Manager	Finance Committee	September 2014 There has been issues in budget monitoring information being set to budget holders and miscoding of invoices.
E4	<b>Failure to build any reserves</b>	Trust unable to deal with the unexpected without disrupting other programmes.	Trust will be looking into best practises to build reserves.		HIGH	Head of Business & Operation Manager	Finance Committee	September 2014 TBAP is a new organisation that is rapidly growing needing funds to give capacity to maintain quality.
E5	<b>Loss making activities</b>	Activities become a drain on resources as opposed	Budgets set to make surpluses and regular monitoring			Head of Business & Operation	Finance Committee	September 2014

		to the plan of contributing to the Trust budget elsewhere.	reports reviewed by Head of Business & Operation Manager.			Manager		As per description of controls
E6	<b>Guarantees given to third parties</b>	Trust committed to unauthorised or inappropriate financial risks.	Approved suppliers. / Finance involved with new suppliers. / Staff are aware that they must not sign up to agreements.		MEDIUM	Head of Business & Operation Manager	Finance Committee	September 2014 As per description of controls
E7	<b>LGPS pension commitments increase beyond plan</b>	Trust budget available to use for funding student related expenditure will reduce.	This is a long term issue – there is no short term risk. Monitoring of LGPS position by Head of Business & Operation Manager and governor.		LOW	Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls

<b>F</b>	<b>COMPLIANCE / BREACH OF STATUTORY RESPONSIBILITY</b>							
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F1	<b>Freedom of Information</b>	Trust fails to respond to a FOI request on a timely basis.	All such requests go through the Executive Headteacher.		LOW	Executive Headteacher	Personnel Committee	January 2015 As per description of controls
F2	<b>Data protection</b>	Trust allows sensitive data to become available to become available to unauthorised third parties. / Results in a fine or bad publicity.	Staff can access SIMS from home so no need to take paper or electronic copies of documents out of the building. / Staff sign up to T&C every time they access the system externally. / Third party requests for information validated before response. / Parents agree to photos (unnamed) being used by school.		LOW	Director of IT/ Network Manager	Personnel Committee	January 2015 As per description of controls

<b>F3</b>	<b>Copyright / licence</b>	Trust not signed up to appropriate licensing agencies. / Trust sued by agency for back fees.	The TRUST covers all copyright agencies that it is aware of.		LOW	Head of Business & Operation Manager	Finance Committee	September 2014 As per description of controls
<b>F4</b>	<b>PAYE breach</b>	PAYE audit uncovers missed or inaccurate returns / tax payments. Resulting in back payments and fines.	Payroll providers are aware of requirements. / PAYE specialist has given advice on requirements.		LOW	Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls
<b>F5</b>	<b>VAT breach</b>	VAT audit uncovers missed or inaccurate returns / tax payments. Resulting in back payments and fines.	Finance Officer aware of requirements. / VAT specialist has given advice on requirements.		LOW	Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls
<b>F6</b>	<b>Pension regulations</b>	TPS or LGPS audit uncovers missed or inaccurate returns / missing contribution payments resulting in back payments and fines.	Payroll providers are aware of requirements. / Auditors review as part of audit and audit TPS return.		MEDIUM	Head of Business & Operation Manager /HR and Finance Manager	Finance Committee	January 2015 As per description of controls
<b>F7</b>	<b>Corporation Tax</b>	Trust fails to report CT correctly resulting in back payments and fines.	CT registration all in place and agreement that Trust currently is not liable for CT. registered as Charity.		LOW	Clerk to Govs/ Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls

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<b>F8</b>	<b>Financial Statements Filing</b>	Trust fails to file accounts on time at Companies House. No risk to Trust as it is directors who are fined.	The Trusts appointed Auditors will monitor the log of accounts to ensure compliance.		LOW	Clerk to Govs/ Head of Business & Operation Manager	Finance Committee	January 2015 As per description of controls

<b>F9</b>	<b>Planning and Building Regulations</b>	Trust fails to apply for and receive planning permission or building regulation approval as appropriate. The Trust could have to demolish a building or undertake retrospective work on a project.	The Bridge AP Academy building is leased from the LA for 7 years. Building projects all under control of Head of Business & Operation Manager Specialist advice sought at all times regarding planning permission requirements.		LOW	Head of Business & Operation Manager	Premises Committee	January 2015 As per description of controls
<b>F11</b>	<b>Funding agreement with DfE</b>	Trust fails to keep to funding agreement with EFA: risk losing funding or removal by EFA of Trust status or removal by EFA of current trustees.	Funding agreement reviewed annually by Finance Committee		LOW	Head of Business & Operation Manager	Trust Board	January 2015 As per description of controls
<b>F12</b>	<b>Equal opportunities legislation</b>	Trust fails to meet equal opportunity legislation requirements and is subject to legal action by a third party.	Equality legislation and Trust actions monitored by The TBAP Trust Board		MEDIUM	Head of Business & Operation Manager	Personnel Committee	January 2015 As per description of controls