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| Category | Sub-category | Specific | Likelihood occurring [3=High  1 = low] | Impact if it occurs  [3 = high 1 = low] | Response [transfer, treat, tolerate or terminate] | Control Procedure | Person[s] responsible for action | Date of next review  From |
| **C1.**  **Employee legislation risk** | **Employment laws risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Regular advice sought from HR | HT | Sept 15 |
| Discrimination risk | 1 | 2 | Treat | See Equal Opps Poilicy | HT | Sept 15 |
| Data Protection risk | 2 | 2 | Treat | Apply Data Protection Policy | SBM | Sept 15 |
| Human Rights risk | 1 | 2 | Treat | See Equal OppS Policy | HT | Sept 15 |
| Equal opportunities risk | 1 | 2 | Treat | Sept 15 |
| Contract risk | 1 | 2 | Transfer | Service contract to LA | GB | Sept 15 |
| **Pension risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Transfer | Service contract to LA | GB | Sept 15 |
| **Health and safety risk** | Risk that legislative requirements are not known or complied with | 2 | 2 | Treat / Transfer | Apply Health & Safety Policy | FP  GB | Sept 15 |
| **C2. Environmental legislation** | **UK legislation** | Risk that legislative requirements are not known or complied with | 2 | 2 | Treat | Research and consider all relevant legislation where appropriate | FP  GB | Sept 15 |
|  | **EU legislation** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Sept 15 |
| **C3.**  **Financial reporting risk** | **Statutory accounts risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat / Transfer | Apply FRPP  Auditor to advise on all  C3 risks | GB  HT  FP | Sept 15 |
| **SORP compliance risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat / Transfer | Sept 15 |
| **C4.**  **Charities legislation risk** |  | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Provide training  Auditor to advise | GB | Sept 15 |
| Risk trustees are not aware of the legislative requirements of being on the Forum | 1 | 2 | Treat | Requirements listed in *Handbook of Governance* | CG | Sept 15 |
| **C5.**  **Tax legislation risk** | **VAT / PAYE / NI risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | VAT = Treat  PAYE, NI = Transfer | See FRPP  Service contract with LA  Accountants to advise | GB  FP | Sept 15 |
| **C6.**  **Data Protection Act risk** |  | Risk that legislative requirements are not known or complied with | 1 | 3 | Treat | Apply Data Protection Policy rigorously | SBM | Sept 15 |

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| Category | Sub-category | Specific | Likelihood occurring [3=High  1 = low] | Impact if it occurs  [3 = high 1 = low] | Response [transfer, treat, tolerate or terminate] | Control Procedure | Person[s] responsible for action | Date of next review |
| **C7.**  **Welfare compliance risk** | **Disability risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Apply Equal Opportunity Policy rigorously  Service contract with LA | HT | Sept 15 |
| **Child Protection risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Apply Safeguarding Policy rigorously | HT | Sept 15 |
| **C8.**  **Sector compliance risk** | **Curriculum compliance** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat. | Apply Curriculum Policies | HT | Sept 15 |
| **Mental health compliance risk** | Risk that legislative requirements are not known or complied with | 1 | 3 | Treat. | Apply Staff Wellbeing Policy consistently | HT | Sept 15 |
| **C9.**  **Local Authority and Central Government risk** | **Grant criteria risk** | Grant terms and conditions are not complied with | 1 | 2 | Treat | Apply FRPP | SBM  FP | Sept 15 |
| **Licensing risk** | Risk that legislative requirements are not known or complied with | 1 | 2 | Treat | Apply ICT Policy and copyright procedures, etc. | GB  HT  SBM | Sept 15 |