

Number	The Risk identified	Impact on the school	Likelihood	Seriousness	Likelihood and seriousness	mitigating actions	responsibility for the actions	cost
1	The Trust fails to deliver a high quality education during the pandemic	From Sept 2020 the schools have reopened but children have had to sporadically isolate. DfE direction is to deliver learning on-line but the schools may struggle with curriculum continuity and delivery.	4	4	16	The Trust has secured additional funding and IT equipment to deliver on-line learning but the capacity is well below need. Training is needed for teaching staff to learn how to teach 'on-line'.	Headteacher/Head of School	IT and training costs
2	The school does not meet the pupil progress targets	A school might be subject to Ofsted and be placed in a category. The reputational damage that this could bring is considerable.	4	4	16	The school collects student progress data regularly and reports these to Governors. The school has systems to intervene at the individual and group levels to ensure that targets are met. However, the pandemic has created significant additional risks but we have a plan to provide students with tutoring and have secured additional funding for this.	CEO/EHT	data services and cpd budgets
3	The Trust fails to achieve harmonisation of contracts and policies leading to inequality claims	The impact of reputational damage and the costs associated with legal work could be considerable.	3	5	15	We have reviewed the contracts so there is a standard Trust contract. We appointed a Trust Personnel Manager to implement the process but there is still some way to go to achieve parity across the Trust.	CEO/EHT in consultation with Trustees	legal and accountancy services
4	The school fails to recruit and retain high quality teaching staff	Having high quality teachers is fundamental and essential to the school's continuing success. Having recruitment difficulties will lead to more money being spent on recruitment and possibly higher starting salaries for shortage subjects, and pressure on the supply budget.	3	4	12	The school identifies its staffing need in December and actively recruits early in the season. The staffing budget is set with some flexibility to ensure that recruitment decisions are not framed entirely by the budget. The conversion of the site manager's house into staff accommodation has helped to address the issue of high cost housing. There are particular concerns for the staffing at LVA. However, the pandemic reduced the 'churn'.	CEO/EHT	recruitment and retention budget
1	The CEO leaves the Trust	The CEO is the lead professional and has led significant improvements to the school. If she were to leave the EAT would need to have interim arrangements and secure a successor of sufficient experience to lead the Trust.	2	5	10	The Academy Trust needs to ensure that the CEO is well remunerated, supported and challenged in the fulfilment of her duties. The Trustees should ensure that they have a process in place so that should the CEO need to be replaced they are able to do so without delay. The CEO absence policy enables the Trust to respond to the temporary absence of the CEO. The Trustees should decide who would be in charge should the CEO be absent.	Chair of Academy Trust	salary costs
2	The Governing Body of the Trust Schools fail to discharge their duties	The issue would affect the capacity of the Trust to develop and cause reputational damage to the Academy Trust and its leadership.	3	3	9	The Members and Trustees should review the work of the Governing Bodies to ensure that it is fulfilling its remit.	Board of Trustees	
3	Senior managers leave the Trust	The operational efficiency and strategic development of the schools would be compromised. The loss of any of the deputies would stress a pressured system.	2	4	8	The Academy Trust needs to ensure that the senior staff are well remunerated, supported and challenged in the fulfilment of their duties. It is a good thing for staff to aspire to senior leadership and this is an accepted part of the working of a school. The nature of senior staff recruitment is that staff have to give notice of at least half a term. The CEO should ensure that there is a process in place so that should senior staff need to be replaced they are able to do so without delay. We appointed a Head of school for ECS from January 2020 and a HT for LVA from Jan 2020.	CEO/EHT in consultation with Trustees	salary costs
4	The Chief Operations Officer (COO) leaves the Trust	During 2020-21 the school will be in its fourth year as a Trust. The SBM has been heavily involved in the conversion. The school has been sponsoring him to attain accountancy qualifications. The loss of the SBM in terms of operational efficiency would be considerable especially as his conditions of service are one month's notice.	2	4	8	The Academy Trust needs to ensure that the SBM is well remunerated, supported and challenged in the fulfilment of his duties. It is a good thing for staff to aspire to senior leadership and this is an accepted part of the working of a school. However, the SBM has to give only one month's notice and so there has to be a management plan to ensure that this can be accommodated. The CEO/EHT should ensure that there is a process in place so that should senior staff need to be replaced they are able to do so without delay.	CEO/EHT in consultation with Trustees	salary costs
5	There is a student tragedy associated with the Trust or there is a serious safeguarding issue	The school affected would have an immediate critical issue to deal with. The safeguarding procedures need regular review and attention. We would need to review our security and the loss of management time would affect student progress.	2	4	8	There is a plan to ensure that the fabric of the school is safe and there is effective management of the student body around the school. Levels of supervision are adequate. The PSHCE programme is designed to ensure that children are educated about personal safety. however, in an area where gangs are active and knife crime is evident this is a significant risk. the school has a policy to manage a time of tragedy	CEO/EHT in consultation with Governors	disaster plans
6	The schools do not deliver the School Development Plan	The schools would be failing to make progress and the lack of progress could ultimately lead to failure to meet Government targets. Also, this could lead to a drop in staff motivation and a loss of key staff.	2	4	8	Each school reports to the Local Board of Governors on the School Progress Plan. The reviews are RAG rated providing Governors with the opportunity to challenge the executive. A major change in staffing would affect the delivery of the plan	CEO/EHT	school budget
7	The Trust fails to manage its finances and declares a deficit	The Trust would have to apply to the ESFA for a loan. The issue would affect the capacity of the Trust to develop and cause reputational damage to the Academy Trust and its leadership. The pandemic is causing pressure on supply budgets.	2	4	8	The Trust produces monthly finance reports that give the opportunity to refocus resources. However, money is 'tight' and a marginal change would require a recalculation of resource allocation. We have scheduled additional Trustee meetings from September 2020 so that there is a high visibility on the Trust operations	CEO/EHT, Chair of Trustees and Chair of FA&P (Trustees)	accountancy services
8	Salmon's Brook Free School does not open on time	The issue would affect the reputation of the Trust and lead to a potential loss in income. The building is scheduled to begin in Jan 2021 and the opening is now March 2022.	2	4	8	We will not recruit for a headteacher designate until we are secure about the opening date as this will limit our financial exposure. The financial risk currently resides with the DfE/EFSA.	CEO/EHT	start-up budget
9	There are procedural concerns raised by auditors that lead to the accounts being qualified	The issue would affect the capacity of the Trust to develop and cause reputational damage to the Academy Trust and its leadership.	2	3	6	We work closely with our auditors (Taylor Associates) who are leading auditors in the public sector/academy field. We update the threshold for 3 quotations to over £10000 (this is the advice of auditors)	CEO/EHT	legal and accountancy services
10	The Academy Trust has insufficient expertise to discharge its duties	The issue would affect the capacity of the Trust to develop and cause reputational damage to the Academy Trust and its leadership.	2	3	6	The Academy Trust conducts an annual review of its skills and expertise to ensure that it has the necessary skills and expertise. However, as the academy trust grows then this will be more important.	Members of Academy Trust	
11	The payroll system results in staff being paid incorrectly or fraudulently	Loss of resources and possible Police investigation leading to reputational damage.	2	3	6	The SBM produces a monthly payroll report for the CEO/EHT to approve. Staff are put onto payroll by the CEO/EHT's Assistant. The Chair of FPH&S and the Governor responsible for safeguarding check to ensure that these systems are operational. The auditors will be looking at this as part of the audit plan	CEO/EHT and Chair of FA&P (Trustees)	costs of any error
12	There is a major fire or calamity that makes part or all of one site unusable	Although unlikely to occur, the loss of one site would mean considerable disruption whilst we organised the students to protect exam classes. We would apply to the ESFA for emergency aid but this would compromise operational efficiency.	1	4	4	The Trust has a disaster plan and this would mean that the other sites would be used for the whole school and part-time timetables would be in operation.	SBM	disaster plans
13	School data is lost or stolen or there is a breach of GDPR.	The impact of data loss could be considerable in terms of reputation and large fines levied by Information Commissioner. If the data was pupil progress data or coursework marks etc. then this could impact on student results.	1	2	2	Each school has a back-up and data security system. The system is part of the LgFL and is robust. There have been no reported breaches of data. School policy means that staff should not send pupil data electronically but use secure systems. There have been no breaches to date. Trust has a GDPR policy. We intend to appoint a Trust data manager from January 2021 to ensure compliance across the Trust	SBM	data security plan
14	There is a claim against the Trustees	This might inhibit people from becoming Trustees and cause reputational damage to the Academy Trust.	1	2	2	The Trust has insurance to indemnify the Trustees against claims.	Board of Trustees	legal and accountancy services

Likelihood (1-5)	
1	This is unlikely to happen
2	there is a small chance that this might happen
3	This may happen in the next 12 months
4	It is likely to happen
5	This will happen in the next 12 months

Seriousness (1-5)	
1	This would have a minimal effect on the progress of students and operational efficiency
2	it is likely that there would be some changes that would be in the short term only
3	This would have a noticeable effect on student progress and operational efficiency
4	Student progress, future planning and operational efficiency would be at serious risk
5	This is so serious that the EAT would need to make interim arrangements and the likelihood of impact on student progress and operational efficiency is great

RED	12+
AMBER	7-11
GREEN	1-6