

Impact		Likelihood		Risk Rating = Impact x Likelihood	
Very Low	1	Very Low	1	1 – 4	Low risk
Low	2	Low	2	5 – 8	Medium risk
Medium	3	Medium	3	9 – 14	High risk
High	4	High	4	15 - 25	Very high risk
Very High	5	Very High	5		

Identified Risk	Impact	Likelihood	Risk Rating	Mitigation	Monitoring
Staff					
Losing an industrial tribunal case brought by an employee.	4	4	16	<ul style="list-style-type: none"> Regular review of appropriate policies.(EHTs, FD, HTs) Training for Directors and staff (EHTs) External audit of HR processes. (HR consultants/FD) Ensuring good relationships and encouraging informal processes. (EHTs) Purchasing insurance. (FD/EHTs) Seek legal advice as appropriate.(EHTs/FD) 	Awaiting outcome of Harpur Trust V Brazel December 2021, when risk can be reviewed
Costs incurred due to a long-term absence of a member of staff	4	2	8	<ul style="list-style-type: none"> Regular review of HR policies. (EHTs/FD) Ensure robust risk assessments for staff activities.(HTs) Staff training. (HTs) Insurance/self-insurance. (EHTs/FD) Maternity buy back (EHTs/FD/HTs) Partnership with other schools/academies to share staff (EHTs) 	Ongoing
Loss of key staff	3	2	6	<ul style="list-style-type: none"> Effective succession planning (EHTs/HTs/FD) 	Ongoing
Being unable to recruit staff	4	4	16	<ul style="list-style-type: none"> Promote Learning Together Trust as employer of choice. Attractive job adverts and job descriptions. 	Ongoing
Governance					
Trust Board lacks relevant skills or commitment.	3	2	6	<ul style="list-style-type: none"> Take professional advice from Governor Services, Legal, HR as required (EHTs/FD) Complete regular skills audits and look to co-opt Directors where skills gap is, in line with Articles of Association. (Directors) Make use of Academy Ambassadors / Dioceses to seek competent and committed Directors (EHTs) Undertake regular training to maintain and develop skills (EHTs) Arrange for an External Review of Governance 	External Review of Governance 2021 - 2022
Directors have conflicts of interest	4	2	8	<ul style="list-style-type: none"> All conflicts of interest are declared annually and at each meeting (Clerk to Directors) Arrange for an External Review of Governance 	External Review of Governance 2021 - 2022
Admissions					
Planned admission numbers not met	4	4	16	<ul style="list-style-type: none"> Consulting with LA, Diocesan Admission and Governance Advisers (EHTs/HT) Ensuring Admissions Policy is compliant with current Admission Code (EHTs/HTs) Positively market the schools in our Trust All schools to be the school of choice in their community 	Ongoing
Premises					
Prosecution following non-compliance with premises-related Health & Safety issues.	4	1	4	<ul style="list-style-type: none"> Ensure Board of Directors effectively manage all premises aspects as part of Finance and Audit committee. (EHTs/FD/external audit)) Provide regular Director and school staff leadership training to ensure there is a clear understanding of Health and Safety issues and responsibilities. (EHTs/FD/H&S Director) Report all changes to the Board of Directors to ensure full engagement with decision-making / responsibilities. (EHTs/FD) Seek professional advice (re Day-to-Day Health and Safety) – buy back LA H&S support service (FD) Seek professional advice (re Building Works) – Cassidy and Ashton Appoint appropriately trained consultant to provide H&S/CDM services (Diocesan Surveyors- Cassidy and Ashton). Action all outcomes as required (including physical works, revised procedures, additional training, etc (FD) LGBs to undertake termly H&S walk with HTs Appoint consultancy to monitor and manage statutory compliance. 	Ongoing

Identified Risk	Impact	Likelihood	Risk Rating	Mitigation	Monitoring
Inadequate servicing and maintenance leads to significant future expenditure	4	1	4	<ul style="list-style-type: none"> Ensure Board of Directors proactively manage all aspects of premises through the Finance and Audit committee. (FD) Directors and SLT training to develop a clear understanding of building maintenance issues. (FD/EHTs) Seek professional advice from C&A. (FD/EHTs) Review premises data on site including past-project Health & Safety Plans, SLA data, Condition Improvement Surveys etc. (FD/HTs) Prepare a detailed schedule of all plant and equipment. (FD/Caretakers) Maintain an up-to-date Asset Management Plan. (FD/HTs) Develop a written programme of servicing/maintenance of relevant items (FD) Prepare a School Premises Development Plan. (FD/HTs) Ensure sufficient budget for servicing/maintenance. (FD/HTs) Place orders for servicing and maintenance on a rolling programme and arrange external monitoring visits. (FD) Ensure action from external audits are recorded and followed up. (FD) 	Ongoing
Accident to a pupil / member of staff / member of the public results in a claim against the school.	3	2	6	<ul style="list-style-type: none"> Robust risk assessments. (HTs) Compliance with external regulations. (HTs) Training for staff. (HTs) Insurance. (FD) Advice from LA Health and Safety Officer as SLA (FD/EHTs) Ensure that all school-based systems and procedures are adhered to through regular staff training and evaluation and development of procedures (HTs) 	Ongoing
Land and/or Building owners invoke their right to terminate the lease in accordance with the Church Supplemental Agreement	5	1	5	<ul style="list-style-type: none"> Comply with the terms of the lease (FD, EHTs) 	Ongoing
Financial					
Failing to prepare a coherent and manageable Revenue and Capital budget.	2	1	2	<ul style="list-style-type: none"> Ensure Board of Directors has a proactive Finance and Audit Committee. (EHTs/FD) Action all necessary outcomes of changes (changes of personnel, new legislation, revised reporting to government) (EHTs/FD) Report all changes to the Directors and Local Governing Board to ensure full engagement with decision-making/responsibilities. (EHTs/FD) 	Ongoing
Becoming financially insecure due to poor financial control, falling roll or other factors.	4	1	4	<ul style="list-style-type: none"> Provide training for staff regarding financial control. (FD/EHTs) Ensure good performance management support for finance staff. (EHTs/FD) Build relationship with other academies creating a more efficient financial environment for the School to operate within. (EHTs) 	Ongoing
Not complying with corporate and charitable statutory requirements in respect of accounting, filing of accounts, VAT and deductions of income tax.	4	1	4	<ul style="list-style-type: none"> Ensure Board of Directors has a proactive Finance and Audit Committee. (FD/EHTs) Provide regular Director and SLT training to ensure there is a clear understanding of statutory responsibilities. (FD/EHT) Develop clear and robust operational systems and processes. (FD) Seek professional advice – statutory appointment of auditors, and optional additional advisory services from a professional accounting firm (FD/EHTs) Ensure processes are in place to comply with statutory responsibilities and ensure all matters are adequately recorded. (FD) Action all necessary outcomes of changes (new legislation, revised reporting to government, etc) (FD) Report all changes to the Board of Directors to ensure full engagement with decision-making/responsibilities. (FD) 	Ongoing

Identified Risk	Impact	Likelihood	Risk Rating	Mitigation	Monitoring
Not complying with changes in financial operating and funding procedures advised by Department for Education/ Education Skills Funding Agency.	4	1	4	<ul style="list-style-type: none"> • Provide regular Director and SLT training to ensure there is a clear understanding of the Funding Agreement and adherence to the Academies Financial Handbook. (EHTs/FD) • Ensure Board of Directors has a proactive finance and audit committee. (FD/EHTs) • Monthly meetings with Chair of Directors • Seek professional advice from a professional accounting firm. (FD/EHTs) • Ensure processes are in place to comply with statutory responsibilities and ensure all matters are adequately recorded. (FD) • Action all necessary outcomes of changes (new legislation, revised reporting to government)(FD) • Report all changes to the Board of Directors to ensure full engagement with decision-making/responsibilities. (FD) 	Ongoing
<u>Fraudulent activity due to lack of control.</u>	4	1	4	<ul style="list-style-type: none"> • Ensure Board of Directors has a proactive Finance and Audit Committee. (FD/EHTs) • Provide regular Director and SLT training to ensure there is a clear understanding. (FD/EHTs) • Develop clear and robust operational systems and processes. (FD) • Seek professional advice from a professional accounting firm. (EHTs/FD) • Report to the Board of Directors on progress in response to audit reports. (FD) • Undertake training in Raising Awareness of Cyber Fraud following high profile in Academy Trust Handbook 	Ongoing
LGPS deficit impacts adversely on budgets	5	2	10	<ul style="list-style-type: none"> • Keep abreast of all ESFA and Local Pension Scheme Guidance 	Ongoing
Termination of Funding Agreement by the Secretary of State	5	1	5	<ul style="list-style-type: none"> • Develop robust and effective performance management and governance systems to ensure contractual obligations of the Funding Agreement are being met. (FD) 	Ongoing
Curriculum and Standards					
Failure of a school may affect the reputation of our Trust	4	3	12	<ul style="list-style-type: none"> • Undertake effective Due Diligence (FD/EHTs) • Ensure robust processes are in place so that all schools are able to improve. (EHTs) • Effective leadership structure in place with improved LTT and School SLT capacity (EHTs/HTs) • LGBs to provide appropriate challenge with Board support as appropriate and restructure in order to provide improved accountability (Directors and LGB) • School to school support use of specialist consultants will lead to improvements (EHTs/HT) • Head of School Improvement to undertake forensic analysis of standards in teaching and learning, pupil outcomes and provide strategic direction based on identified needs within schools across our Trust (HOSI) • Use of external consultants to validate judgements (EHTs) 	Ongoing
Decline in results and/or negative aspects of a statutory inspection	4	3	12	<ul style="list-style-type: none"> • Effective monitoring and evaluation (EHTs) • Investment in high-quality CPD (EHTs, HTs) • Accurate and regularly reviewed SEFs (EHTs, HTs) • Effective SDPs (EHTs, HTs) • Head of School Improvement to undertake forensic analysis of standards in teaching and learning, pupil outcomes and provide strategic direction based on identified needs within schools across our Trust (HOSI) 	Ongoing
Pupils					
Safeguarding incidents within and outside school for pupils	3	2	6	<ul style="list-style-type: none"> • Safeguarding Policy adopted from LA and reviewed annually (EHTs, HT) • Safeguarding training for all staff every 3 years (EHTs, HT) • DSL and Deputy DLS identified in all schools trained every 2 years (EHTs, HT) • Weekly staff briefings/updates (SLT) • Work with LA staff to ensure all policies and procedures are fully adhered to (EHTs, HT) • LGB and Trustee link Governor (EHTs, HTs) • High profile Online Safety Policy across all schools (HTs) • Regular curriculum time dedicated for online safety (HTs) • Parent guidance on online safety (HTs) • National online safety days (HTs) • Staff training (HTs) • Regular SLT H&S audits (EHTs, HTs) • Regular LA H&S and fire surveys and in response to specific requests e.g. individual / group pupil safety risk assessments (EHTs, FD) • EVC to undertake regular training (HTs) 	Ongoing

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<u>High numbers/ proportion of SEND pupils/ behaviour concerns where children need to be supported with high levels of staff without funding prior to EHCP or without fully costed funding in receipt of EHCP</u>	4	4	16	<ul style="list-style-type: none"> • Monitor levels at individual schools (EHTs, HTs) • Review budgets and amend/vire to meet needs (EHTs, FD) • Staff CPD (EHTs, HTs) • Staff deployment (EHTs, FD, HTs) • Sharing of resources and expertise across the Trust (EHTs, FD) • Engagement and SLAs of specialist support from LAs (EHTs, FD) • Proactive involvement in LA projects to ensure that schools have access to support and training (EHTs) • Apply for exceptional funding as appropriate (EHTs, FD) 	Ongoing
Other					
<u>Long-term impact to education due to COVID-19</u>	5	5	25	<ul style="list-style-type: none"> • Effective use of 'catch-up' funding, including tuition • Effective deployment of staff • Quality first teaching • Counselling and Pastoral Support from Learning Mentor • Support from External Agencies 	Ongoing
Schools in our Trust become inward facing within the local and wider community	3	2	6	<ul style="list-style-type: none"> • Schools and Trust maintain good relationships with Dioceses and LAs (EHTs, HTs) • Regular links with other Primary Schools beyond the Trust. (EHTs, HTs) • Trust schools are an active part of the LA Consortia and staff from our Trust lead groups (EHTs, HTs) • Trust schools are an active part of CLASS and EHTs lead groups (EHTs, HTs) 	Ongoing
<u>Back office Central Services cannot support Trust Growth.</u>	4	2	8	<ul style="list-style-type: none"> • Explore possibility of securing grant income to expand the administrative capacity (EHTs/FD) • Review workloads (EHTs) • Review administrative job descriptions (EHTs) • Streamline admin procedures (FD/EHTs/HTs) • Provide training to build capacity (EHTs) • Network with other Academy Trusts to provide support network (EHTs/FD) 	Ongoing
Management information systems failure	5	1	5	<ul style="list-style-type: none"> • Robust procurement of financial and other data systems. (FD) • Training of staff. (FD) • Purchase of support service from appropriate provider. (FD/EHTs) • Insurance. (FD) • Robust system back-ups (FD) • System security (FD) 	Ongoing
Increased layers of management could increase bureaucracy	2	2	4	<ul style="list-style-type: none"> • Develop systems and Procedures for SLT collaborative meetings (EHTs) • Maintain clear work flow patterns and lines of communication (EHTs) 	Ongoing
Non GDPR compliance	3	3	9	<ul style="list-style-type: none"> • Training for all staff, Governors and Directors (EHTs/FD) • Appoint professional service to advise on GDPR issues (EHTs/FD) • Appoint DPO (Directors/EHTs/FD) • Work with DPO to audit and action plan (EHTs, FD) • Respond immediately to data breaches (EHTs, FD) 	Ongoing
Negative publicity in media and social media	4	2	8	<ul style="list-style-type: none"> • Work with all schools to maintain a positive image in the respective communities • Positive social and media presence • Contact LA press office for advice • Contact Trust Solicitors for advice • Contact local police as appropriate 	Ongoing