

Risk Matrix - Summary Report

[Company\Trust = All, Site\Campus = All, Department = All, Owner = All, Category = All]

Likelihood

3	High	T68,R1		
2	Medium	T56,R3,T25,R73,T18		
1	Low	T29	T20,T28,T21,T50,R2,T32,T65,T42, R6,T19,T47,T71,T69,T39,R4,T53,T 33,T40,T46,R49	T10,R15,T66,T67,T57,R54,R37,R5
		Low	Medium	High
		1	2	3

Impact

Risks								
No.	Owner	Category	Impact Type	Pre-Mitigation	Current	Trend	Proximity	Business Trend
R1 An academy premises with the Trust is unavailable for occupation for a significant period of time								
	Sarah Laverick	Physical	Environmental	9	3	Stable	Long Term	
	Risk Description Access to the buildings could be lost for a significant period of time or closed permanently through natural disaster, a terrorist act, explosion or environmental hazard.							
T18 The loss of critical academy infrastructure (such as heating, electricity, catering, security or fire alarm) for a prolonged period of time								
	Sarah Laverick	Infrastructure	Reputational	6	2	Stable	Long Term	
	Risk Description Poor maintenance or external factors lead to the loss of essential infrastructure services. Academy may have to close either in full or in part for an unknown amount of time.							
T39 A structural defect means a building or buildings can no longer be occupied								
	Sarah Laverick	Infrastructure	Environmental	3	2	Stable	Long Term	
	Risk Description A structural defect means a building or buildings can no longer be occupied. Resulting in loss of teaching time. Potential for injury to pupil, staff member or visitor.							
T67 The academy suffers a serious event such as a fire, explosion, flood, gas leak or chemical spillage								
	Sarah Laverick	Health & Safety	Environmental	6	3	Stable	Immediate	
	Risk Description The academy suffers a serious event that leads to injury or loss of premises.							
T68 Adverse weather conditions (high winds, freezing temperatures, snowfall etc) lead to the temporary closure of an academy in the Trust								
	Sarah Laverick	Health & Safety	Environmental	9	3	Stable	1 Year	
	Risk Description In adverse weather such as high winds, freezing temperatures or snowfall lead to the academy having to close temporarily.							
T69 A terrorist threat or criminal incident forces the evacuation and temporary closure of an academy in the Trust								
	Sarah Laverick	Health & Safety	Reputational	3	2	Stable	Long Term	
	Risk Description A terrorist threat or criminal incident forces the evacuation and temporary closure of the academy. Could lead to loss of reputation if handled poorly or injury to staff, pupils and visitors.							
R2 The Trust suffers from a significant or prolonged governance failure								
	Sarah Laverick	Governance	Regulatory	3	2	Stable	Long Term	
	Risk Description Poor governance leads to financial loss or adverse press coverage, legal statutory requirements cannot be met.							
T20 The failure to comply with the academy's statutory (legal) or regulator obligations (including Freedom of Information, Data Protection, equal opportunities)								
	Sarah Laverick	Legal	Financial	3	2	Stable	Long Term	
	Risk Description Financial penalty resulting from a failure to comply with statutory regulations e.g. tax, VAT, ESFA, Data Protection, Companies Act, charity, commission.							
T21 The Trust fails to implement ESFA financial controls, reviews, reporting and budgeting processes								
	Sarah Laverick	Financial	Financial	2	2	Stable	1 Year	
	Risk Description Failure to implement ESFA financial controls, reviews, reporting and budgeting processes.							
T47 The Governors fail to agree on and approve the Strategic Development Plan								
	Steve Evans	Strategic	Reputational	6	2	Stable	Long Term	

Risks								
No.	Owner	Category	Impact Type	Pre-Mitigation	Current	Trend	Proximity	Business Trend
<i>Risk Description</i> The Board fail to agree on and approve the Strategic Plan								
T53	Directors and Governors are not sufficiently robust in holding the senior leaders to account for all aspects of academy performance							
Matthew Crowther	Reputation	Regulatory	6	2	Stable	1 Year		
<i>Risk Description</i> Governors are not sufficiently robust in holding the academy to account for pupils' achievement, the quality of teaching and the effective and efficient deployment of services. Found as "Inadequate" or "Requires Improvement" in one or more areas during an Ofsted inspection.								
T65	Failure of Resources Committee to implement and monitor appropriate risk management and audit systems							
Sarah Laverick	Governance	Regulatory	6	2	Stable	Long Term		
<i>Risk Description</i> Failure of Resources Committee to implement and monitor appropriate risk management and audit systems. Leading to loss of finances, reputation, injury to persons, loss of assets and regulatory and statutory obligations.								
T71	An undisclosed conflict of interest exists between a governor, senior leader, manager or member of staff							
Sarah Laverick	Legal	Reputational	9	2	Stable	Long Term		
<i>Risk Description</i> An undisclosed conflict of interest exists between a governor, senior leader, manager or member of staff that leads to a unfair advantage during a procurement or contractual award. Loss of reputation, inefficient use of funds or a possible legal challenge from alternative suppliers.								
R3	There are insufficient staff or resources to deliver services to the appropriate level							
Sarah Laverick	Staffing & Resources	Financial	6	2	Stable	1 Year		
<i>Risk Description</i> There are insufficient staff or resources to deliver services to the appropriate level. Services are compromised due to a lack of services available in the academy.								
T19	A complete failure of critical IT or communications infrastructure and services							
Sarah Laverick	Infrastructure	Reputational	6	2	Stable	1 Year		
<i>Risk Description</i> Failure of IT network, broadband or IT servers through poor maintenance, support or external factors. May lead to failure of security systems, core maintenance systems, accounting and ability to teach certain subjects through loss of connectivity.								
T25	An unexpected loss of staff through illness, injury, strike, bereavement or death							
Sarah Laverick	Staffing & Resources	Reputational	6	2	Stable	Long Term		
<i>Risk Description</i> An unexpected loss of staff through illness, injury, strike, bereavement or death.								
R4	The Executive Team are unable to deliver the Trust Strategic Plan							
Steve Evans	Strategic	Reputational	3	2	Stable	1 Year		
<i>Risk Description</i> This is not a failing to manage the implementation of strategy, but failure of the strategy itself due to outside factors. Strategic goal cannot be completed.								
R5	There are insufficient funds to deliver the services to the appropriate level							
Sarah Laverick	Financial	Financial	6	3	Stable	1 Year	Stable	
<i>Risk Description</i> Insufficient funds to deliver services to the appropriate level due to a change in funding, government policy or sponsor deficiency. The Academy no longer has the funds required to maintain an appropriate level of service to the staff, students, governors, parents or regulatory bodies.								
T10	There is a significant change in the DFE funding policy							
Sarah Laverick	Financial	Financial	6	3	Stable	1 Year		

Risks								
No.	Owner	Category	Impact Type	Pre-Mitigation	Current	Trend	Proximity	Business Trend
		<i>Risk Description</i>	Loss of Trust funding through a change in Government or DFE strategy (Cancellation of Academy Programme etc). Significant difference between funding and expenses leading to a reduction in service to the students.					
T40	There are inadequate reserves to cover required expenditure							
Sarah Laverick	Financial	Financial	6	2	Stable	1 Year		
	<i>Risk Description</i>	The amount of funds available for contingency are inadequate to cover requirements. Budgetary pressure will require cutbacks and may lead to under investment and/or reduction in services.						
T46	Academy funds are used inefficiently, inadvisably or fraudulently							
Sarah Laverick	Financial	Financial	6	2	Stable	Long Term		
	<i>Risk Description</i>	Poor procurement processes and decisions lead to poor value for money.						
T57	Inaccurate census data supplied for DFE funding calculations leads to loss of funding							
Sarah Laverick	Financial	Financial	9	3	Stable	Long Term		
	<i>Risk Description</i>	Inaccurate census data supplied for DFE funding calculations						
T66	Financial reserves are lost through inappropriate or failed investment							
Sarah Laverick	Financial	Financial	6	3	Stable	1 Year		
	<i>Risk Description</i>	Financial reserves are lost through inappropriate or failed investment. Result - insufficient funding						
R6	The academic achievement of pupils at the academies in the Trust falls below acceptable standards							
Matthew Crowther	Academic	Regulatory	4	2	Stable	1 Year		
	<i>Risk Description</i>	Following an Ofsted inspection it is found that the academic achievement of pupils at the Trust academies falls below the expected national standards. This may result in the academy being put on special measures leading to a significant and serious loss of reputation, reduction or removal of funding.						
T32	Disabled pupils, those with SEN, High Achieving pupils (HAPS) or those for whom the pupil premium provides support or any other cohort are under achieving,							
Matthew Crowther	Academic	Regulatory	4	2	Stable	1 Year		
	<i>Risk Description</i>	Disabled pupils and/or those with special educational needs and/or those for whom the pupil premium provides support, are under achieving.						
R15	A significant failure of the academy's health and safety / infrastructure maintenance systems							
Sarah Laverick	Health & Safety	Reputational	6	3	Stable	1 Year		
	<i>Risk Description</i>	The failure of the health and safety systems leads to a legal suit for criminal negligence, or a compensation claim from a member of staff, pupil or third party.						
T28	As a result of weak teaching over time, pupils or particular groups of pupils are making inadequate progress							
Matthew Crowther	Academic	Regulatory	4	2	Stable	1 Year		
	<i>Risk Description</i>	As a result of weak teaching over time, pupils or particular groups of pupils including disabled pupils, those who have special educational needs, and those for whom the pupil premium provides support, are making inadequate progress.						
T29	Leaders fail to implement highly robust performance management which encourages and supports staff improvement							
Matthew Crowther	Governance	Regulatory	3	1	Stable	1 Year		

Risks								
No.	Owner	Category	Impact Type	Pre-Mitigation	Current	Trend	Proximity	Business Trend
		<i>Risk Description</i>	Leaders fail to implement highly robust performance management which encourages and supports staff improvement. Robust performance management will result in outstanding teaching, or at least consistently good and improving teaching.					
T33 A pupil, member of staff or visitor is seriously injured whilst on academy premises								
Sarah Laverick	Health & Safety	Reputational		6	2	Stable	Immediate	
	<i>Risk Description</i>	A student, staff member or visitor is seriously injured due to the academy not fulfilling its duty of care whilst on academy premises.						
R37 The Trust's financial data is unreliable or incomplete								
Sarah Laverick	Financial	Financial		3	3	Stable	1 Year	
	<i>Risk Description</i>	Unreliable or incomplete financial data caused by the financial system being unable to produce the required reporting or loss/absence of key finance staff.						
T42 The Trust fails to safeguard student data								
Sarah Laverick	Legal	Regulatory		6	2	Stable	1 Year	
	<i>Risk Description</i>	Failure to safeguard the student identity or personal data may lead to illegal or immoral use. Illegal use by paedophiles for grooming of student/s or for bullying or sales.						
R49 The academy's arrangements for the safeguarding of pupils, staff and visitors do not meet statutory requirements								
Steve Evans	Reputation	Regulatory		9	2	Stable	1 Year	
	<i>Risk Description</i>	The academy's arrangements for the safeguarding of pupils, staff and visitors do not meet statutory requirements, leading to a pupil, staff member or visitor being injured either physically or emotionally whilst in the care of the Academy. A key piece of legislation is missed and a Safeguarding incident occurs.						
T50 Attendance is consistently low for all pupils or groups of pupils and shows no sign of improvement								
Matthew Crowther	Students	Regulatory		6	2	Stable	1 Year	
	<i>Risk Description</i>	Attendance is consistently low for all pupils or groups of pupils and shows no sign of improvement. Found as "Inadequate" or "Requires Improvement" in one or more areas during an Ofsted inspection. Significant loss of reputation, censure from regulators such as deemed to be requiring special measures due to failing to give its pupils an acceptable standard of education.						
R54 A serious injury or child protection incident occurs on an educational visit								
Sarah Laverick	Health & Safety	Reputational		9	3	Stable	Immediate	
	<i>Risk Description</i>	A serious injury or child protection incident occurs on an educational visit that leads to a pupil being harmed or lost.						
T56 An unauthorised or unwanted person enters the academy premises								
Sarah Laverick	Health & Safety	Regulatory		9	2	Stable	Immediate	
	<i>Risk Description</i>	The robustness of security arrangements fail to stop an unauthorised or unwanted person entering the Academy premises. This may lead to injury to a member of staff, student or visitor. Loss of academy assets through theft or vandalism. Disruption to teaching.						
R73 Infectious disease								
Sarah Laverick	Legal	Reputational		4	2	Stable	Immediate	
	<i>Risk Description</i>	Uncontrolled spread, uninformed staff.						