Risk Register

November 2020

	STRATEGIC DEVELOPMENT OF THE TRUST					ACTION REQUIRED	
SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
1. The Trust has a robust process for identifying, evaluating and approving potential academies.	1.1 Business plan identifies the link between capacity to support school improvement and the assessed needs of any potential new schools.	2	4	• Business plan in place identifies staffing and system leadership and predicted growth matched to anticipated trust growth • Business plan has a clearly identified ratio of good or better schools	JA	1	Nov 2021
	1.2 To ensure an accurate picture of need is obtained, systems are in place to enable School Improvement due-diligence to take place prior to decisions being made	2	4	• School Improvement due-diligence assessment structure identified to identify an accurate picture of need and used in relation to all potential schools joining the trust • The outcomes are linked into an assessment of capacity and local schools and used to inform the decision-making process • Review due-diligence processes as the Trust expands, with the intended 3:1 ratio of good or better schools to those requiring support	JA HTB	1	Nov 2021
	1.3 Systems in place to assess financial needs/ challenges prior to approving potential academies	2	4	• Systems in place to assess the financial situation of potential schools joining the trust • Effective communication and discussions with relevant leaders including SLT and Directors • Strategies in place to work with Local Authorities to overcome any financial challenges prior to decisions being made	JA	1	Nov 2021
	1.4 Procedures in place to consider potential partnerships in local area	2	3	• Due diligence checks assess potential partnership links and the viability of these	JA	1	Nov 2021

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2 The Trust has a rigorous long-term development plan that identifies the rate and priorities for future extension	2.1 Rigorous Business Planning supports the full range of decisions linked to growth	3	3	• Business plan linked into financial planning and the introduction of central services and growth of a trust • Continue to review the business planning process in line with the growth of the trust	JA	1	Nov 2021
	2.2 Systems are in place to know and understand the impact of other organisations on the planned growth of the Trust	2	3	• Clear understanding of the growth of other local organisations and how these might impact on the growth of our trust • Marketing in place to support the growth of the trust • Ensure feedback from external partners are gathered regarding reasons for choice and use to further develop marketing / practice to increase chance of gaining new schools	JA	1	Nov 2021
	2.3 Systems in place to ensure the Business Plan is informed by national and local changes	2	4	• Business Plan flexible to respond to local and national changes which may increase or decrease the pace of growth • Ensure strategies in place to enable the Trust to be able to increase pace quickly to be able to manage the increased growth	JA	1	Nov 2021

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3 The Trust ensures capacity in response to the future growth of the Trust	3.1 There is an over-arching staffing growth plan.	2	4	• Business Plan in place which identifies a staffing growth plan in relation to the Trust • Ensure strategies in place enable the Trust to be able to increase pace quickly with growth • Ensure strategies have been identified to manage short term, unplanned absence	JA	1	Nov 2021
	3.2 A System Lead/ external support growth plan in place for School Improvement, reflecting growth planning and needs of Trust schools	3	4	• Business Plan in place which identifies a systems leader/ external growth plan in relation to school improvement which reflects growth planning and the needs of Trust schools	JA	1	Nov 2021
	3.3 A clear expectation of the proportion of future trust schools requiring support v those who do not or are available to support	2	4	• Business Plan identifies a ratio of expected good or better schools and those requiring support	JA	1	Nov 2021
	3.4 There is a clear plan of the introduction of different services in line with growth	2	4	• Business Plan has a broad outline of the introduction of different services in line with growth	JA	1	Nov 2021
	3.5 Systems in place to access appropriateness of chosen/ agreed partners to support capacity	2	3	• Relevant statutory checks re potential partners are carried out • Partners aware of the vision/ ethos of the trust Quality and expertise of the partners tested prior to engagement	JA	2	Nov 2021
	3.6 Strategies in place to ensure planned capacity reviewed on a regular basis and check expected engagement is in line with planned capacity	3	5	• Partnership succession planning and talent management procedures in place • Partner head teachers/ leaders in key areas • Review and develop strategies on an annual basis, and in line with the Business Plan to ensure they continue to reflect the needs and growth of the trust • Consider action to ensure Trust School Deputies are effectively prepared for future Headship	JA	1	Nov 2021

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4 The Trust staffing structure changes in response to the future growth of the Trust	4.1 Roles and the number of post holders is reviewed on a regular basis in line with growth, to check planning reflects need, and relevant new appointments made	3	5	• Forward planning of staff needs linked to growth identified in the Business Plan • Ensuring a shared understanding of roles/ no member working in isolation in relation to the majority of leaders • Continue to review the staffing structure of the Trust in line with growth • Ensure an arrangement is in place, either within the or externally to ensure all roles could be covered on a short term basis, if required.	JA	2	Nov 2021
	4.2 The new posts are across the full range of need and reflect additional services to be provided by the trust, in line with growth	2	4	• Staffing needs and the development of trust services are carefully planning and identified in the business plan • Annually review the business plan	JA	1	Nov 2021
5 The Trust communicates effectively with individual schools, ensuring all sections of the school community have a clear understanding of the vision, development and impact of the trust	5.1 Systems in place to ensure the Vision of the Trust is effectively and clearly communicated to all relevant members of trust schools and reflected within practice	3	4	• Vision and Ethos clearly identified in Trust documentation • Vision and Ethos reviewed annually • Vision and Ethos broadly monitored as part of school monitoring processes • Included in Appraisal of Head Teachers • Identify and implement further strategies to embed the leadership behaviours, which reflect the vision and ethos expectations, within schools • Identify strategies for monitoring and evaluating effectiveness of implementation	JA	1	Nov 2021

	5.2 Systems in place to ensure the Vision is effectively communicated to the wider school communities	3	4	• Identified in Trust documentation • Annually review and further consider communication with school communities • Implement monitoring and evaluation arrangements to gather an understanding of the school communities	JA	1	Nov 2021
6 The Trust core principles are explicit and implemented by all trust schools	6.1 Systems in place to ensure the core principles of the Trust are effectively understood by all relevant members of trust schools and reflected in practice	3	4	• Core Principles reviewed and shared with the head teachers at least annually • Expectation that HTs repeat with school staff • Identified in Trust documentation • Shared with CofG through LAB meetings • Implement monitoring and evaluation arrangement to ensure the expectations of head teachers/school staff are implemented	JA Directors	1	Nov 2021
7 Trust values are in place and recognised in the communities served by the trust schools	7.1 Systems in place to ensure the Values of the Trust are effectively communicated to all relevant members of trust schools and reflected in practice	3	4	• Values of the Trust clearly identified in Trust documentation • Values reviewed with the Heads/ Governors/ Directors annually and included in Appraisal of Heads • Values broadly monitored as part of school monitoring processes • Identify and implement further strategies to embed the leadership behaviours, which reflect the vision and ethos expectations, within schools • Identify strategies for monitoring and evaluating effectiveness of implementation	JA	1	Nov 2021
	7.2 Systems in place to ensure the Values of the Trust are effectively understood by all relevant members of the trust school communities	3	4	• Identified in Trust documentation • On an annual basis review and further consider communication with school communities • Implement monitoring and evaluation arrangements to gather an understanding of the school communities	JA	1	Nov 2021

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8 The Trust has appropriate skills and capacity, and provides effective and efficient management of the Trust	8.1 Procedures are in place to review capacity and appropriateness of skills and any additional capacity or expertise requirements in line with national changes, and this informs any action required	3	4	• Skills of staff reviewed annually through Appraisal • National changes known/ understood in advance of implementation, enabling time for planning and upskilling or new staff to be appointed • Continue to review the staffing structure in line with national changes/ responsibilities • Monitor additional responsibilities regarding GDPR including the leadership/ effectiveness/ time commitment	JA	1	Nov 2021
	8.2 Appraisal and appropriate support is provided to enable the Trust to lead in line with their agreed responsibilities	3	4	• Rigorous Appraisal procedures in place within the Trust • Clear link between roles and responsibilities and the support and challenge and accountability • Linked into Appraisal of Head Teachers • HR available to support Appraisal development and lead the management of any issues which arise • Ensure Appraisal is linked to staff management policies to enable concerns to be addressed • Consider future involvement of the Trust in Appraisal at different leadership / teacher levels	JA	1	Nov 2021
	8.3 Planned meeting structures across all areas enables information to be shared across the team and reported to Directors soon after the period it relates enabling this to be reviewed and action planned	3	4	• Clear timeline re monitoring and evaluation of activities and the identification of action in relation to schools • Appropriate regularity of governor meetings/ opportunity to agree urgent interim action with the CofG/ Trust Members/Directors • Calendar of dates re information/ data to be provided by schools to the trust board • Memorandum of Understanding of expectations in place to ensure it supports the process • Meetings and information gathering used to inform risks and action in relation to risks • Individual leaders ensure action identified is followed up with schools, as appropriate, and	JA	1	Nov 2021

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				overview information is tracked to demonstrate improvements made			
9 The Trust has a succession plan for the key function of the Trust	9.1 The Trust has a clearly identified plan to ensure all roles can be covered in the event of long term absence and that a potential pool and/or candidate is available to fill vacancies which arise	2	4	• A high profile for the trust is maintained to support attraction of professionals should vacancies arise • Opportunities provided within the Trust supports retention • Ensure an arrangement is in place, either within the Trust or externally, to ensure all roles could be covered on a short term basis, if required.	JA	1	Nov 2021
	9.2 Effective stepping up arrangements/ leadership and accountability arrangements in place in the event of the absence of the CEO	2	5	• Expertise within the Trust/ development of roles ensures stepping up arrangements known/ understood/ already taking place • Ensure an arrangement in place, either within the Trust or externally to ensure all roles could be covered on a short term basis, if required.	JA	2	Nov 2021
10 The Trust seek support, challenge and quality assurance from others	10.1 The Trust has partnership working/ support arrangements with partners/ organisations outside of the Trust	2	3	• Partnership working with other trusts and sharing of expertise and developments to support improvements in own practice • Strong partnership with LA regarding SCITT and other aspects of trust practice • Through future partnerships with Inspiring Leaders the Trust will work with a wide range of leaders to facilitate or deliver leadership programmes	JA	1	Nov 2021
	10.2 The Trust has procedures in place to enable key areas of its provision and judgements to be externally moderated/ Quality Assured and for risk to be identified,	2	3	• External partner involved in risk reviewing the structures, processes of the trust on a termly basis and action to manage or minimise risks • Identify a MAT partner and engage in peer-review- Y-Cat • Identify other specific areas of practice where a formal review or evaluation could be carried out with external support	JA/DP	1	Nov 2021

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	ensuring external support and challenge			• CEO Mentor/coach- CEO from Flying High Partnership CW			
11 The Trust carefully monitors and mitigates against organisation risk	11.1 Systems are in place to identify and consider risks on a regular basis and the ensure that appropriate action is taken in relation to risks identified to ensure these risks are managed, reduced or eradicated	3	5	• Trust procedures in place in all key areas – H&S, Premises Management, ICT, Safeguarding, HR, School Improvement, School Leadership, Recruitment and Succession Planning, Governance – to enable the Trust to review and understand individual school practice and identify risks or areas of non-compliance early • The Trust reviews it risks in the above areas on a regular basis • The Trust engages in a termly external review of Trust systems and processes, to ensure these enable the Trust to identify and manage school risks AND understand Trust risks	JA	1	Nov 2021
	11.2 Systems in place to gather the views of partners to ensure their views are understood and relevant action taken / risks are mitigated	2	4	• Range of partners actively involved in identifying and developing trust provision and informed of the outcomes/ impact of the trust • Ensure that systems are in place to record any concerns raised/ discussed • Continue to build the reputation of the Trust through development of a marketing strategy	JA	1	Nov 2021
	11.3 Systems in place to gather the views of stakeholders to ensure their views are understood and relevant action taken/ risks are mitigated	2	4	• Stakeholders are provided with opportunities to be involved in trust developments and informed about outcomes/ impact • Stakeholders involved in evaluating the services/ support/ provision of the Trust • Evaluation of the trust carried out in line with a formal structure	JA	1	Nov 2021

		TRUST GOVERNANCE AND ACCOUNTABILITY					ACTION REQUIRED	
SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
12. The Trust board comprises an appropriate range of skills and experience for the size and structure of the Trust, as it grows	12.1 Appropriate expertise within the Trust in relation to: - School Improvement - Finance - Business - HR - Legal - Premises - Safeguarding	2	4	• Range of skills required used to inform the recruitment of Directors • The structure enables additional Directors to be appointed in line with needs as the trust grows • Scheme of delegation enables Directors to understand the remit of their roles • Committee structure enables Directors to support specific trust developments/ hold to account in relation to their specific areas of responsibility • Review on an annual basis the expertise required, in line with national changes/growth, ensuring both specific expertise and at the right level • Ensure trust expertise is effectively linked into GBs to support them in making key decisions, where specific expertise gaps exist	JA	1	Nov 2021
	12.2 Clear Scheme of delegation and committee structure which is effectively communicated, monitored and accountabilities held	2	4	• Scheme of delegation and committee structure in place which reflects national requirements • Review of Trust practice annually with the Chair of the Trust/ CEO and action taken to improve effectiveness • Continue to review and develop practice, including communication, in response to trust growth and new governors/ directors	KS/JA	1	Nov 2021

	12.3 Committee terms of reference clear and these enable Governors/ Directors to be effective – provide support and challenge to schools/ the Trust	2	4	• Committee structure and terms of reference in place - enables Directors to hold LABs to account • Structure in place which enables schools to be supported/ held to account, linked to School Improvement findings	JA	1	Nov 2021
13. Roles and responsibilities of directors are clear with particular clarity regarding child protection and Safeguarding policy and practice	13.1 Roles and responsibilities and expectations identified in relation to specific responsibilities, in particular safeguarding	2	5	• Roles and responsibilities identified and delegated to individual Directors • Committee structure enables Directors to engage in detailed discussions and provide accountability and ensure relevant support provided • Continue to review specific roles and responsibilities and provide relevant training to ensure all roles can be fulfilled effectively	JA	1	Nov 2021
	13.2 Safeguarding training of all the Directors carried out in line with statutory requirements, and more detailed training in relation to the Designated Safeguarding Leads	2	4	• Staff with responsibility for Safeguarding within the Trust identified and relevant training undertaken • Safeguarding training provided for all directors in line with statutory requirements • Ensure that Director with responsibility for Safeguarding is effectively linked into the Safeguarding findings and into the identification of improvement/ development priorities to enable accountability responsibilities to be fulfilled	JA	1	Nov 2021

14. The Trust governance structure makes provision for the LABs and for escalation of issues to the Trust board	14.1 Effective communication from LABs / Governors to the Trust Board ensuring that views and issues are understood by the Directors and acted on	2	3	• Identified link on SLT regarding Governance ensuring communication between HTs/CEO/ LABs and ensuring risks are fed into the risk review meetings • Set agenda items which provide opportunities for LABs to provide feedback to the Directors • Governors involved in providing feedback as part of the Self-Evaluation process	JA	1	Nov 2021
15. The Trust measures the effectiveness of the LABs and intervenes where necessary	15.1 Strategies in place to review the effectiveness of LABs and to use the findings to understand strengths and areas for development, provide relevant support and challenge, and bring about improvements	3	5	• Governor Reviews carried out on an annual basis linked to the annual review of the school • Governors provided feedback in relation to the annual review and urgent matters followed up within an appropriate timescale • Review the Governor Review to ensure it has relevant links with the Governor Competencies or that information in relation to these is fed into the Governor Review or other process. • Ensure that the annual evaluation of the effectiveness of Governance, also identifies the overall effectiveness of Governance in line with the Governor Competencies	JA Trust Chair	1	Nov 2021

| | 15.2 Agreed procedures, understood by relevant partners, to enable the Trust to take relevant action where there are concerns in relation to the Chair, individual governors or the LABs | 2 | 5 | • Trust improvement identifies governor involvement re concerns in Trust schools, including action which will be taken by the Trust
• School Improvement Policy identifies what action will be taken by the Trust should there be concerns about the Chair or the LAB
• Governor Code of Conduct in place which identifies the required behaviour of Governors and actions taken where there are concerns that a governor is not working in line with expectations
• Induction procedures in place for new Governors/ new Chairs of Governors
• Ensure all of the above are clearly understood by LABs/ Chairs and effectively linked into induction | JA | 1 | Nov 2021 |

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15. The Trust measures the effectiveness of the LABs and intervenes where necessary (continued)	15.3 Strategies in place to support and challenge Governors / Directors to be free and independent from the Trust / Individual schools	2	3	• Schools and trust have clear delegated responsibilities. Independent advice, support and evaluation in relation to key activities • Reporting procedures across all areas enabling Governors/ Directors to be able to hold trust schools/ trust to account in line with delegated responsibilities • Increased clarity and monitoring of governor skills and ability to support /challenge through Governor review process • Internal bespoke training available to support LABs • Common expectations regarding Heads Reports/ Reporting • Ensure all of the above are effectively implemented in all schools and those not yet supporting and holding to account in line with expectations are provided with additional training.	JA KS	1	Nov 2021
	15.4 Strategies in place to monitor the public profile of Directors/ Governors which may cause the Trust to attract negative publicity or lead to objectives outside the priorities of the trust distracting from the main priorities	1	3	• All business and other interests formally recorded annually as part of pecuniary interest process • Specific leadership support is available to monitor and ensure the public profile of relevant governors/ directors does not have a negative impact on the Trust • School Improvement Plans in place in relation to all schools, and these are monitored by the trust	JA	1	Nov 2021
	15.5 Systems in place to ensure Directors/ Governors do not use their personal/ business interests to influence decisions and that these are declared/ recorded	2	3	• All business and other interests formally recorded annually as part of pecuniary interest process • Decisions made by Directors or Governors formally recorded and these are monitored • Continue to ensure expectations and recording of these in line with the growth of the trust and ensure monitoring increases with growth	JA	1	Nov 2021

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16. The Trust provides effective support and training to develop effective governance in all schools	16.1 The Trust provides support or plans support for: - New governors - Chairs - Governors with specific responsibilities - LABs	2	4	• Trust induction provided for new Governors and new Chairs of Governors • Chairs meeting • Additional support identified and provided through the Hub Governance structure • LAB annual review – findings and priorities • Further develop the annual review to include more reference to the Governor Competencies	JA Chair of Trust	1	Nov 2021
	16.2 The Trust develops structures and processes which support the provision of effective governance in all Trust Schools	3	4	• Clear Scheme of Delegation in place • Committee structures focused on the requirements and priorities of the trust • Guidance for Heads Report • Set Agendas • LAB annual review • Further develop the annual review to include more reference to the Governor Competencies • Use the above to identify LABs with skills/ expertise not available and identify where this additional support can be provided from	JA	1	Nov 2021
17. The Trust measures the effectiveness of Head Teachers and intervenes where necessary	17.1 The Trust has effective Appraisal procedures in place which support and challenge ongoing improvements of Head Teachers	3	4	• The Trust has robust procedures in place, involving trust representation and CofG, in relation to the Appraisal of Trust Head Teachers • Appraisal Report consistency • Wider aspects of engagement in the Trust/ in supporting other schools/ in reflecting Trust expectations included • Outcomes linked to overall judgements/ views of Trust schools and to identification of Head Teacher plus. • Ensure consistency of application of the Appraisal process with Head Teachers • Ensure clear tracking procedures in place regarding Head Teacher progression and their individual strengths and areas for development and ensure this is effectively used to inform	JA	1	Nov 2021

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				individual and trust wide action/ developments and overall impact judgements of the trust			
17. The Trust measures the effectiveness of Head Teachers and intervenes where necessary	17.2 The Trust has systems in place to provide ongoing support for Head Teachers	2	4	• Support provided for Head Teachers in line with the School Improvement Strategy – support and intervention • Head Teacher group provides opportunities for sharing of good practice • School Improvement Strategy support and challenge for all schools • Continue to review support requirements for Head Teacher and ensure the trust has the provision to support the full range of needs.	JA LP	1	Nov 2021
	17.3 The Trust has clear procedures in place which are understood, which enable the Trust to intervene promptly with a Head Teacher when necessary	3	4	• School Improvement Strategy identifies how concerns will be dealt with by the Trust and how this will link with Governors, and when support and intervention will be provided • Appraisal Procedures • Capability Policy • Risk Review meetings – opportunity for risks to be identified • Ensure the above procedures are clearly understood and effectively support swift implementation of appropriate action	JA	1	Nov 2021

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18. Data – the Trust has a calendar of data collection, submitted accurately and in a timely manner, to enable systematic monitoring of school performance and ensure timely intervention, challenging and supporting schools in areas of under-performance and sharing effective practice	18.1 The calendar of dates and committee structure enables Directors/ LABs to receive and respond to data provided to ensure appropriate school improvement action is taken	2	4	• Clear calendar of data collection • Calendar of LAB and Trust meetings to ensure data and information can be effectively linked into these meetings to enable prompt action to be identified and taken • Regular Risk Review meetings enabling risks and action required to be promptly identified for schools • Ensure this is effectively implemented in relation to all schools and that as the trust grows relevant time is given to each school	JA LP HTB	1	Nov 2021
19. Compliance – all schools are compliant with statutory policy and website content	19.1 Trust policies are in place, meet statutory requirements and strategies are in place to monitor implementation and effectiveness	3	4	• Annual check that trust schools have the relevant policies in place • Statutory Trust policies in place and guidance provided in relation to other policies • Reviews in the relevant areas check policy implementation / the effectiveness of these • Reviews identify areas of non-compliance / not working in line with policy expectations and areas for improvement to support all schools in improving practice year-on-year • Work with the full range of leaders to ensure strategies are in place to monitor consistency and effectiveness of implementation	JA	1	Nov 2021
	19.2 Systems are in place to monitor and check school practice and provision against statutory requirements/ compliance	2	3	• Registration with an identified company to ensure statutory requirements / compliance requirements are known • Statutory responsibilities and compliance requirements built into relevant reviews • Due-diligence procedures check schools in line with statutory and compliance requirements	JA 1IT	1	Nov 2021

				• Ensure the above are robustly implemented and extended in line with growth of the trust			
OUTCOMES FOR CHILDREN						**ACTION REQUIRED**	
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20. Strategies are in place to ensure EYFS Trust children make GLD with measurable year-on-year improvement	20.1 The Trust has appropriate, challenging target setting procedures in place in relation to individual trust schools and systems in place to monitor progress in relation to these targets at regular intervals and intervene where required	2	4	• Robust procedures in place to set targets in relation to trust schools and the trust as a whole • SIP strategy, systems and data gathering in place to monitor progress in relation to individual trust schools • Meeting and individual support processes in place to ensure progress is monitored on a regular interval and support and intervention is identified • Ensure the above are robustly implemented and extended in line with growth of the trust • Ensure SIP leaders effectively QA in relation to all areas of school practice • Identify levels of expertise across the Key Stages and ensure effective management of time to ensure skills across the SIP team can be shared and moderated centrally to enable accurate moderation of school judgements, and lead practitioners used to support, where required	JA LP HTB	1	Nov 2021

	20.2 The Trust has appropriate capacity and expertise to support improvements in all Trust schools, and there is a shared commitment across Trust schools to achieving the required outcomes	2	4	• System leadership capacity is planned for and reviewed in line with growth and school improvement needs • Schools have a shared commitment to supporting all schools in the Trust • The business plan identifies need and planned growth • Development of documents/ systems is shared across the team with increasing clarity re specific areas of responsibility in line with strengths – • Continue to review and develop capacity and skills to support EYFS improvements	JA HTB	1	Nov 2021
21. Strategies are in place to ensure KSI outcomes are in line with or above Trust expectations and that measurable year-on-year improvement is made	21.1 The Trust has appropriate, challenging target setting procedures in place in relation to individual trust schools and systems in place to monitor progress in relation to these targets at regular intervals and intervene where required	2	4	• Targets are set by schools and moderated by the Trust • Individual school targets are translated into realistic trust targets • Trust targets and progress are tracked across the full group of schools • Progress in relation to the targets are monitored in line with the set data collection windows • Ensure SIP leaders effectively QA in relation to all areas of school practice, including phonics • Identify levels of expertise across the Key Stages and ensure effective management of time to ensure skills across the SIP team can be shared and moderated centrally to enable accurate moderation of school judgements	JA LP HTB	1	Nov 2021

| | 21.2 The Trust has appropriate capacity and expertise to support improvements in all Trust schools, and there is a shared commitment across Trust schools to achieving the required outcomes | 2 | 4 | School improvement leaders in place and in line with planned trust growth Trust schools provide system leaders, including executive Head Teachers to support the school improvement process or in line with KS1 expertise Continue to review and develop capacity and skills to support KS1/ Phonics improvements | JA LP HTB | 1 | Nov 2021 |

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22. Strategies are in place to ensure KS2 outcomes and progress measures are in line with or above Trust expectations and that measurable year-on-year improvement is made	22.1 The Trust has appropriate, challenging target setting procedures in place in relation to individual trust schools and systems in place to monitor progress in relation to these targets at regular intervals and intervene where required	2	4	• Targets are set by schools and moderated by the Trust • Individual school targets are translated into realistic trust targets • Trust targets and progress are tracked across the full group of schools • Progress in relation to the targets are monitored in line with the set data collection windows • Identify levels of expertise across the Key Stages to ensure skills across the Trust can be shared and moderated centrally to enable accurate moderation of school judgements	JA LP HTB	1	Nov 2021
	22.2 The Trust has appropriate capacity and expertise to support improvements in all Trust schools, and there is a shared commitment across Trust schools to achieving the required outcomes	3	4	• School improvement leaders in place and in line with planned trust growth • Trust schools provide system leaders, including executive Head Teachers to support the school improvement process or in line with KS2 expertise • Continue to review and develop capacity and skills to support KS2 improvements	JA LP HTB	1	Nov 2021
23. Transitional plans are in place for vulnerable groups transferring between schools especially from Year 6 - 7	23.1 The Trust has clear expectations in place in relation to all trust schools, regarding support for vulnerable groups at the point of transition	3	4	• High expectations in place regarding transition for vulnerable groups in relation to all year groups • Expectation that support will be provided for vulnerable groups at the point of transition • Opportunities for transition support provided, including at the end of Year 6, to be shared across Trust schools and used to identify good practice and/ or trust expectations	JA LP HTB	1	Nov 2021
	23.2 Structures are in place for the Trust to monitor both the provision of and impact of support for vulnerable groups at the point of transition	3	4	• Develop procedures for monitoring the effectiveness of transition support for vulnerable groups	JA HTB	1	Nov 2021

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24. Strategies are in place to ensure new schools are effectively supported during the pre-set up and on opening	24.1 The Trust is clear about the support that will be provided for new schools, both as part of the pre-set up and on opening	3	4	• Due diligence procedures in place across all areas in relation to new school, both at the pre-decision making process, pre-opening and opening stage • Appropriate to need, new schools are provided with relevant support or intervention	JA	1	Nov 2021
	24.2 The Trust builds new schools into its growth planning to ensure there is sufficient capacity and expertise to provide the required support	2	4	• The business plan identifies growth of the trust in line with capacity • The trust has a 3:1 expectation regarding good or better schools and those requiring support	JA	1	Nov 2021

				SCHOOL PERFORMANCE			ACTION REQUIRED	
25. The Trust School Improvement offer demonstrates a measurable impact on the performance of all schools	25.1 The School Improvement Strategy identifies clear systems to both support and challenge school improvement, promptly, within Trust Schools	3	5	• A rigorous school improvement strategy is in place to support other schools • The school improvement strategy provides QA for all trust schools and support and intervention for those requiring this • Full range of support identified/ available to support schools in line with need • Planning in hand to separate QA/ Support • Increased responsibilities placed on HTs re QA visits/ preparation for these but these not yet consistent across the SIP team	JA External LP	1	Nov 2021
	25.2 The School Improvement Strategy uses a data/ information system which moderates and validates data and information ensuring a high degree of accuracy, enabling Directors to receive and respond to the data to ensure they hold schools/ the Trust to account	3	4	• Data gathering processes in place • Calendar of data collection windows enables data to be compared across schools, and moderation • Enable trust leaders to provide targeted support in line with identified needs • Enables LABs and Directors to hold schools/ the trust to account • Ensure the above processes continue to be effective as the trust grows and expands	JA External LP	1	Nov 2021
	25.3 The effectiveness of the School Improvement Strategy and its impact on schools is evaluated annually	3	4	• The trust carried out a thorough evaluation of the effectiveness of the School Improvement Strategy and Trust Schools • Comprehensive data analysis of school data is available and shared and evaluated in line with individual and trust targets • Ensure this is part of annual evaluation procedures and leads to comparison from year-to-year and informs development priorities	JA External	1	Nov 2021
	25.4 The Trust is focused on ensuring potential negative outcomes are known and understood	2	4	• Views of all relevant partners gathered and individual follow up action taken to ensure issues discussed/ addressed	JA External	1	Nov 2021

				• Trust responds to feedback from other relevant groups regarding any concerns and ensures information is gathered to enable an accurate response			
25. The Trust school improvement offer demonstrates a measurable impact on the performance of all schools	25.5 Systems in place to ensure School Improvement practices reflect Ofsted Framework	2	4	• Systems in place to identify changes to the Ofsted Framework • School improvement Strategy evaluated annually in line with the Ofsted Framework areas • School reviews and due-diligence checks the frameworks used in line with school improvement framework and data requirements • Continue to review School Improvement systems in response to growth • Identify expectations and strategies to actively support schools in moving from good to outstanding	JA	1	Nov 2021
	25.6 Systems in place to ensure aspects of funding to support specific areas of school practice/ school groups e.g. Pupil Premium, are effectively monitored and evaluated by schools and the Trust	3	4	• Systems in place to review data and compare data outcomes in relation to all groups • Pupil Premium Reviewers in place to support schools • Opportunities for sharing good practice regarding Pupil Premium/ Vulnerable Groups • Schools identify the number of SEN pupils within their schools in line with the 4 categories • Ensure consistency re the needs of SEN pupils who are identified within Trust schools to enable analysis of need	JA	2	Nov 2021
26. The Trust impacts on the quality of teaching	26.1 Systems are in place to understand individual school judgements regarding the quality of teaching and to moderate these to support targeting of appropriate support and challenge	2	4	• Tracking of the quality of teaching procedures in place • The quality of teaching judgement moderated through learning walks and book scrutiny • Agreed outcomes and areas for improvement identified with schools • Teaching Judgements tracked across the trust • Ensure current strategies and tracking systems are manageable and support improvements as the trust grows	JA	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
26. The Trust impacts on the quality of teaching	26.2 The Trust provides a wide range of support for schools and individual teachers to enable all teachers to continually improve the quality of their teaching	2	4	• Continuum of support through the ITT, NQT and RQT programme • Targeted support provided for relevant schools/ individual teachers through SLEs and Lead Practitioners • Support provided through the full range of Networks • Moderation support carried out in relation to end of KS1 and KS2 • Leadership support and training provided enable the development of teaching and learning in particular subjects, within individual schools and across the trust • Ensure this is continually reviewed and extended to reflect growth	JA	1	Nov 2021
	26.3 The Trust provides support for those new to teaching	1	4	• The trust provides ITT through the Stockton SCITT	JA	1	Ongoing
	26.4 Appraisal in Trust Schools is effectively used to bring about systematic improvements in the quality of teaching	3	4	• Increasingly consistent Appraisal procedures in place within the trust • Appraisal of teachers is focused on improving the quality of teaching • Access to the full range of teacher support • Ensure trust wide consistency, in particular new schools joining the trust • Ensure that wider Trust support and HR policies are effectively and swiftly used to eradicate any teaching which is not yet good	JA	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
27. Strategies are in place to move schools to outstanding	27.1 Systems are in place to provide additional support to schools not yet good and to enable good schools to share good practice and support them in moving to outstanding	2	5	• School Improvement Strategy identifies support for schools not yet good • Full range of support identified for schools not yet good, in line with support/intervention needs • School leaders committed to supporting other schools and QA and support/ intervention enable schools to improve • Ensure support plans distinguish between the support role and QA role • Ensure the impact of all support plans are appropriately evaluated and case studies identified where lessons can be learned	JA HTB	1	Nov 2021
	27.2 Systems in place to monitor the progress of schools improving performance against Ofsted criteria and in their journey towards achieving outstanding	3	4	• Schools understand the expectation of all schools working to become Outstanding schools • School reviews accurately identify judgements in line with Ofsted criteria • Identify specific measures/ judgements and action and timelines of expectation regarding good schools moving towards outstanding and monitor progress towards this	JA HTB	1	Nov 2021
28. Strategies in place to support all schools in making year-on-year progress in improving performance against Ofsted criteria	28.1 Systems in place to monitor the progress of schools improving progress against Ofsted criteria through Trust self-evaluation and in relation to Ofsted Inspections	2	4	• Annual reviews monitor the progress and judgements of schools in line with Ofsted criteria • Annual reviews inform action required by the school to further improve • Due-diligence procedures check schools joining the trust in line with their current Ofsted judgement / the school's self-evaluation • Where Trust Judgements are lower than Ofsted Judgments identify the causes of this • Ensure Effectiveness of Governance linked to SIP	JA HTB	1	Nov 2021

	28.2 Systems in place to provide the full range of support and access to expertise to enable improvements against Ofsted criteria	3	4	• A range of Leaders are available to support trust schools, in relation to particular areas or plan • Trust Schools seek support from other schools • Implemented the identified behaviour and attendance support/ leader role • Continue to develop curriculum models to support trust schools / Effective implementation of SIP Strategy and consistency and accuracy	JA HTB	1	Nov 2021
29. Strategies in place to support all schools in improving attendance to at or above the national average, in line with Trust baseline target of 96% with an aspirational target of 97%	29.1 Trust policy in place which identifies clear procedures to support improvements in attendance and enable consistency and tracking across Trust schools	3	4	• Trust attendance policy in place • Attendance Tracking systems in place • Attendance discussions part of QA visits • Consider the implementation of more regular tracking systems to ensure attendance dips are promptly identified and action taken, in relation to any priority schools	VP	1	Nov 2021
	29.2 Opportunities provided for sharing of good practice to support improvements in attendance, including support and challenge for persistent absentees	3	3	• Opportunities for sharing good practice provided	VP	1	Nov 2021
	29.3 Persistent absentees are known by the Trust and this supports support and challenge provided for individual schools	3	4	• Understanding of the number of persistent absentees • Inclusion strategy being implemented including knowledge of persistent absentees • Formalise the trust wide support that is provided within the School Improvement Strategy	VP	1	Nov 2021

30. Strategies in place to ensure Trust exclusions are below the national average, with clear improvement year-on-year	30.1 Trust policy in place which identifies clear procedures to support improvements in behaviour, and in the behaviour of vulnerable groups/ vulnerable pupils and enable consistency	3	4	• Trust behaviour policy in place and understood • Sharing of good practice regarding behaviour management • Monitoring and Recording of exclusions • Discussions built into QA procedures • Consider providing trust wide support for identified groups of vulnerable pupils • Clarify expectations to increase consistency and link with the Trust School Improvement Strategy	VP	1	Nov 2021
30. Strategies in place to ensure Trust exclusions are below the national average, with clear improvement year-on-year (continued)	30.2 Appropriate monitoring processes in place to enable schools and the Trust to promptly identify exclusions and those with multiple exclusions to support the identification of priority action required	3	4	• Monitoring of exclusions by the Trust • Discussions built into QA procedures • More formal action and expectations re exclusions or potential multiple exclusions taking place. • Include expectations and support in the School Improvement Strategy	JA	1	Nov 2021
	30.3 Pupils at risk of exclusion are known by the Trust and this supports support and challenge provided for individual schools	3	4	• Monitoring of exclusions by the Trust • Discussions built into QA procedures • Systems in place to ensure pupils at risk of exclusion are known by the trust • Identify trust wide action and expectations of support in relation to pupils identified as, at risk of permanent exclusion, and include in the School Improvement Strategy	JA	1	Nov 2021
31. Strategies in place to ensure Leadership across all schools is highly effective and demonstrates a positive impact on school performance, and	31.1 Systems are in place to understand individual school judgements regarding the quality of leadership and to moderate these to support targeting of appropriate support and challenge	2	4	• School improvement strategy • Trust reviews identify judgements relating to the quality of leadership • Appraisal at all levels identifies the quality of leadership, strengths and areas for development • Pay Policy which provides increased consistency in pay progression	JA HTB Working Parties	1	Nov 2021

where this is ineffective action the trust quickly and effectively intervenes	31.2 The Trust provides a wide range of support for schools and individual leaders to enable all teachers to continually improve the quality of their leadership and the Trust provides support for those new to leadership or aspiring leaders	1	4	- Access to the full range of leadership training and development provided through new links with Inspiring Leaders - Opportunities for leaders to develop their skills in supporting beyond their own school - Specific training and support for system leaders - Access to support for new heads joining the trust - Access to support or intervention support in line with needs	JA HTB	1	Ongoing
31. Strategies in place to ensure Leadership across all schools is highly effective	31.3 Appraisal in Trust Schools is effectively used to bring about systematic improvements in the quality of leadership, support succession planning and talent management, and retention	2	4	- Appraisal at all levels identifies the quality of leadership, strengths and areas for development - Ensure moderation of implementation of Appraisal, in particular HTs	JA	1	Nov 2021

		BUSINESS AND FINANCE					ACTION REQUIRED	
SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
32. LGBs across all schools are highly effective and demonstrate a positive impact on school performance Where performance is in-effective the trust will quickly and effectively intervene	32.1 Ensure procedures in place to support and challenge LGBs are in place and that effective procedures are in place to enable the Trust to understand the skills and expertise of the LGB	3	5	- Procedures identified in SIP Strategy re: concerns re: CoG/ Governors/ LGB will be dealt with - Specific training provided for Governors with Specific Responsibilities - Issues regarding Governance fed into the Risk Review meetings - Ensure the Governor Reviews are rigorous and clearly identify the competence and skills of LGBs	JA	1	Nov 2021
33. The Trust is a single employer with consistent HR policies and practice	33.1 Trust HR policies are in place and effectively implemented in all Trust Schools/ the	3	5	- Trust HR policies in place - Ensure, in line with legal requirements, that there are common HR policies across the Trust - Ensure Trust pre-procedures/ expectations are identified and in place in all Trust schools to increase rigour in managing HR matters and in moving to formal policies	JA HR	1	Nov 2021
	33.2 Systems in place to ensure all Trust Schools/ the trust comply with employment law	3	5	- Overview information regarding employment law - HR advice provided for schools in line with need - Implement training for Head Teachers to ensure they are upskilled and can effectively support HR matters and increase consistency of application of policies	JA HR	1	Nov 2021
	33.3 Systems in place to ensure staff matters/ issues referred to HR professionals to ensure issues dealt with promptly/ minimise tribunals	3	5	- General guidance in relation to when matters should be referred to the trust - Implement monitoring systems to ensure consistency in referral to the trust by trust schools	JA	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
33. The Trust is a single employer with consistent HR policies and practice	33.4 Systems in place to ensure the right person appointed	2	4	• Clarity of skills, expertise and experience required for individual posts • Appropriate advertisement procedures to ensure a high calibre field of applicants • Rigorous recruitment procedures • Significant action prior to recruitment • HR support to increase the rigour and consistency in recruitment processes across trust schools • Ensure that strategies are overt and where these are in relation to staff in trust schools that relevant leaders are involved in the process	JA KS	1	Nov 2021
	33.5 Systems in place to ensure staff recruited are suitable to work with children	2	5	• All schools and the trust have appropriate vetting procedures in place in line with requirements • Staff member trained in 'Safer Recruitment' involved in the interview process • Safeguarding process currently being developed to support MAT recording/ reporting process • Safeguarding audit • Safeguarding part of the Core offer for schools	JA KS	1	Nov 2021
	33.6 Robust systems in place ensure clarity of roles and responsibilities in relation to all posts advertised and recruited to and adequate funding to support	2	4	• New staff have clear job descriptions • Appraisal procedures ensure holding to account regarding roles • Posts in line with Business planning to enable adequate funding to support • Ensure common recruitment methods • Ensure standard job descriptions are consistently implemented within the trust	JA HTB	1	Nov 2021
	33.7 Ensure relevant information provided for LABs and Directors in relation to personnel matters is accurate and informs action	3	4	• Key data and information provided for Directors and LABs • Further review the data and information provided to ensure Directors and LABs understand potential issues and can hold schools to account and ensure timely intervention	JA LP	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
33. The Trust is a single employer with consistent HR policies and practice	33.8 Strategies to ensure sufficient HR expertise within the LABs and Directors which enables them to carry out their roles effectively	3	4	• Skills and expertise required identified for both LABs and Trust Board • Structure in place to support sharing of skills and expertise across schools and holding to account • Increase rigour to ensure prompt and appropriate response to ensure issues dealt with appropriately and accurately leading to minimum risk of tribunals	JA KS HR	1	Nov 2021
	33.9 Strategies in place to monitor staff absence across trust schools, to support improvements, and to ensure consistency in relation to management of staff absence concerns, including in relation to staff absence triggers	2	4	• Staff triggers agreed and understood by all trust schools/ trust • Termly absence data monitoring by the Trust/ absence audit in place • Wellbeing group and survey in place	JA KS	2	Nov 2021
	33.10 Systems in place to monitor the use of volunteers and the over reliance on volunteers by Trust schools	2	3	• General guidance known and understood by school re volunteers • Formal guidance to be provided by the trust re involvement of volunteers	Senior Admin	1	Nov 2021
	33.11 Strategies in place to ensure appropriate training and support provided for volunteers to maximise their effectiveness/ support	2	3	• General guidance provided by the trust re involvement of volunteers • Formal information to be provided by the trust re monitoring/ training or volunteers	Senior Admin	2	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
33. The Trust is a single employer with consistent HR policies and practice	33.12 Systems in place to ensure appropriate vetting arrangements in place regarding new staff, volunteers and those regularly supporting the school, as identified in Trust policy	2	4	• Guidance provided by the trust re involvement of volunteers • Vetting procedures in place and these included in the safeguarding checks of the trust • Safeguarding Audit completed • Safeguarding support provided as part of the Trust Core Offer • Vetting arrangement are carried out in relation to all volunteers	JA	1	Nov 2021
	33.13 Systems in place to ensure schools understanding requirements regarding disability and Mental Health issues and for appropriate support to be provided	2	4	• Overview trust HR policy provides information for heads/ governors • Wellbeing survey and groups to support staff • Provide, as appropriate, any additional training/ information for heads and LABs regarding legislation relating to disability and mental health and strategies	JA	1	Nov 2021
34. Finances across the Trust are well managed and achieves value for money	34.1 Systems in place to ensure the financial information provided for is accurate and enables monitoring and the identification of action	1	5	• Full range of systems in place to ensure procedures are effective and consistently applied within trust schools, as identified in trust Finance policy and procedures • Internal and external audit procedures • Use findings of internal and external audits to further review trust procedures and ensure accurate and appropriate application - ongoing	JA RP	1	Nov 2021
	34.2 Financial controls regarding management and administration costs for the Trust / Schools, to ensure they are not perceived as too high	2	2	• Benchmarking of management and administration costs within similar organisations • Schools involved in procurement/ extension to the centrally provided services	JA RP	2	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
34. Finances across the Trust are well managed and achieves value for money	34.3 Financial controls regarding senior leadership costs of the Trust/ Schools, to ensure they are not perceived as too high	2	3	• Pay scale bands for the trust schools/ trust agreed with heads and governors using national benchmarking to support • Trust role in the Appraisal of all heads	JA RP	2	Nov 2021
	34.4 Appraisal/ linked effective to the Trust's Pay Policy to ensure consistency across Trust	3	4	• Trust Pay Policy in place • Appraisal linked to the Trust Pay Policy • Moderation activities already undertaken	JA RP	1	Nov 2021
	34.5 Policy and systems in place regarding payment to Governors/ Directors to prevent them from being seen as high amount of expenses	1	3	• Agreed policy and procedures for payment of Directors/ governors in place across the trust and in line with national guidance • Due-diligence induction ensures all new schools in line with and follow expectations	JA RP	1	Nov 2021
	34.6 Risk of purchase price not being value for money/ efficiency risk re suppliers	2	3	• Overview finance policy for the trust provides guidance for schools re procedures for maximising value for money and efficiency • Procurement strategy in place	JA RP	1	Nov 2021
	34.7 Financial controls in place to ensure Fraud Risks are minimised	1	5	• Financial procedures in place in all trust schools/ trust to minimise any risks of fraud • Monthly management accounts produced • Internal controls • Regular and timely reconciliations • Robust financial policies/procedures • Financial regulations • Relevant personal checks • Internal and external audit processes • Reports to CEO and Board	JA RP	1	Nov 2021
	34.8 Relevant insurances in place to enable items or building loss or damage to be financially covered	1	5	• Annual insurance checks in relation to individual schools and the trust with follow up action, if required – brokerage firm carry out annual review	JA RP	1	Nov 2021

	34.9 Relevant insurances in place regarding inappropriate advice	1	5	• Ensure the trust and other relevant providers have relevant insurance – all new providers checked	RP	1	Nov 2021
34. Finances across the Trust are well managed and achieves value for money (continued)	34.10 Relevant insurances in place regarding risks to staff/ LABs/ Directors re compensatory insurance claims	1	5	• Provide access to relevant external/ professional/ expertise and support for staff/ governors/ Directors to support them in any key decisions	JA RP	1	Nov 2021
	34.11 The Trust works in line with its Funding Agreement	2	4	• Funding Agreement requirements of schools/ trust annually checked, using information about the trust and the school practices • Ensure the above is consistently checked	JA RP	1	Nov 2021
	34.12 Systems in place to ensure grants received are monitored and used for the right purpose	1	3	• Trust finance team to monitor grants received by schools and to work with the SIP team or other relevant teams to ensure funding targeted appropriately • Written feedback from Grant providers re effectiveness of funding to be provided	JA RP	1	Nov 2021
	34.13 Systems in place to ensure schools or the Trust do not become reliant on donations/ marketing re competition	1	3	• Financial central monitoring to identify an key donors in relation to the trust or individual schools • Monitoring by the finance team of key donors, including their role in school developments/ decision • Marketing expertise used to support the trust/ individual schools in competing for relevant funds	JA RP	1	Nov 2021
	34.14 Systems in place to ensure supplier selection risks regarding viability, quality and appropriateness are checked	1	2	• Overview Finance Policy for the Trust provides guidance for schools re procedures for checking suppliers – Procurement Policy	JA RP	1	Nov 2021
	34.15 Systems in place to ensure supplier Selection Risks regarding ability to deliver and	2	3	• Overview Finance Policy for the Trust provides guidance for schools re procedures for checking the ability of suppliers to be able to deliver and	JA RP	2	Nov 2021

	deliver on time, in relation to large projects			deliver on time, particularly in relation to large scale projects			
	34.16 Systems in place to regularly review the risk of dependency of a few suppliers or that a supplier may not be available or may go out of business	1	3	• Overview Finance Policy for the Trust provides guidance for schools re checking the dependency risk of suppliers/ ensuring adequate number/ alternative suppliers • Audit / overview of Trust school suppliers, including financial costs • Procurement review bi-annually	JA RP	1	Nov 2021
34. Finances across the Trust are well managed and achieves value for money	34.17 Financial reporting risks are minimised through clear knowledge of legislative requirements regarding statutory accounts, accounting standards, SORP Compliance, and Charities	1	4	• Professional advice/ support • External audit	JA RP	1	Nov 2021
	34.18 Systems in place re VAT/ PAYE and NI to ensure legislative requirements known and complied with	1	4	• External Payroll provider – professional advice • VAT – professional external advice	JA RP	1	Nov 2021
	34.19 Systems in place to enable reconciliation and consolidation in relation to school and trust accounts	1	3	• Strict month end and year end accounts timetable in place and actioned • Financial Regulations, Internal Controls, Internal and External Audit	JA RP	1	Nov 2021
	34.20 Financial systems in place are suitable for the Trusts' needs, are maintained by providers for the long term	1	5	• Academy accounting software in place • Monthly Management Account; Budget Monitoring Reports • Reports to SMT and the Governors and Directors • Internal and External Audit • Leading academy accounting provider and software in place minimising any long term risks regarding the ability of the system to be maintained	JA RP	2	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
34. Finances across the Trust are well managed and achieves value for money	34.21 System in place to minimise any risk of unauthorised access to financial systems	2	4	- Annual dissemination of Finance Policy and Procedures - Individual school emergency plans in place - ICT compliance checks in place to ensure access security - Security codes and authorisation risk strategies in place - Off-site back-up storage and enhanced systems to recover financial information and data in place - Ensure ICT audits are effectively implemented and followed up in relation to all Trust schools - Ensure backup/ enhanced systems are fit for purpose in relation to all schools	JA RP	2	Nov 2021
	34.22 Systems in place ensuring income and expenditure recorded and committed, with appropriate 'cut off periods', and that special project funding is separately monitored	1	4	- Finance Policy - Monthly Management Accounts - Strict month/ year end accounts timetable - Reports to CEO and Board of Directors - Internal and external audit - Strategies in place to ensure expenditure is appropriately allocated	JA RP	1	Nov 2021
	34.23 Individual school improvement funding streams effectively monitored e.g. Pupil Premium	2	4	- Annual checks/ in line with statutory requirements - School Improvement Policy and Procedures disseminated to schools - Analysis of data and reporting procedures - Specific leaders in place to lead this across Trust Schools including annual reviews - Ensure Pupil Premium review are linked into the Trust and enable an accurate picture of developments/ outcomes and impact	JA RP	2	Nov 2021

	34.24 Systems in place to effectively manage cash flow forecasts	1	4	- Financial Policies, procedures identified - Internal and external audit - School and trust monthly cash flow reporting - Detailed Business Plan including financial planning and projections for the trust - Trust/ trust schools have an agreed target of a 5% surplus to support budget planning and monitoring is linked to this	JA RP	1	Nov 2021
34. Finances across the Trust are well managed and achieves value for money	34.25 Systems in place to manage Capital Construction risks	2	5	- Cost/ project Appraisal procedures - Authorisation procedures - Professional advice on terms and conditions - Performance monitoring arrangements - Insurance risks covered	JA RP	2	Nov 2021
	34.26 Systems in place to ensure appropriate asset management systems in place	1	2	- Financial policies and procedures - Financial regulations - Internal and External Audit - Fixed Asset register/ Inventory maintenance	JA RP	1	Nov 2021
	34.27 Trust economies of scale management strategies reduce level of funding risks within Trust schools	3	4	- Economies of scale regarding procurement - Shared staffing posts within trust schools - Provision of central roles minimising duplication within trust schools - Rigorous and detailed Annual planning of action to support year on year savings, and increased effectiveness, for trust schools	JA RP	1	Nov 2021
	34.28 Strategies in place to either reduce or manage the pension funding risk/ the scheme being in deficit	4	1	- Historically low risk pension schemes/ pension schemes changing - Monitoring of pension scheme performance - External audit - This aspect of Risk to be managed	JA RP	3	Nov 2021
	34.29 Strategies in place to manage employer pension contribute rate increases	2	4	- Annual assessment of employer's contribution rate and forward planning and this is included in budget planning/ projections - Annual pension fund evaluation used to inform contributions – Trust keeping up-to-date and building into projections	JA RP	2	Nov 2021
	34.30 Systems in place to ensure all schools within the trust make	1	3	- Historically low risk pension schemes/ pension schemes changing - Monitoring of pension scheme performance	JA RP	1	Nov 2021

	the correct pension contributions			• External Audit			
35.Three year budget plans are in place for schools and the Trust	35.1 Systems in place to ensure that budgets can be prepared in accordance with DFE timeline requirements	1	4	• Annual review of regulatory compliance and guidance provided for relevant leaders • Ensure access to relevant expertise in the case of absence • 3 year planning re the centralisation/ expansion of the Trust	JA RP	1	Nov 2021
	35.2 Systems in place to ensure budget plans of individual Trust schools / the trust will not be in deficit	2	3	• Annual and monthly reporting deadlines and monthly Management Accounts • Budget monitoring reports • Reports to CEO and Board of Directors	JA RP	2	Nov 2021
	35.3 Systems in place to ensure performance/ achievement of trust schools are measured/ evaluated against budgets on a regular basis	2	3	• Budget planning is linked into SIP priorities • Targeted funding streams monitored and evaluated • Financial management procedures in place to ensure specific target funding eg Sports Funding/ PP, monitored in relation to expenditure • Ensure the use of the additional funding is effectively evaluated	JA RP	1	Nov 2021
36. A 5% surplus is maintained for all schools and the central trust	36.1 Reserve level risks for the Trust and Schools managed to ensure schools spending enough on the objectives of the Trust/ Schools	2	3	• All schools aware of the need to work to manage budgets in line with a 5% surplus target • The trust is aware of the need to work to manage budget in line with a 5% surplus target • Schools which are not yet on track to achieve this have an agreed plan in place • Strategies in monitor budgets and identify schools at risk of not achieving the target	JA RP	1	Nov 2021
37. The Trust is able to evidence the savings are made in line with collective procurement	37.1 Discounts secured or price reductions obtained – maximising large scale purchasing	1	2	• Budget awareness re Financial regulations • Monthly Management Accounts • Reports to CEO & Board of Directors • Budget Monitoring • Internal and External Audit	JA RP	1	Nov 2021

	37.2 Trust structural planning enables Trust schools to make savings in staff costs while maintaining or improving effectiveness	3	4	• Shared staffing posts within trust schools • Provision of possible central roles minimising duplication within trust schools • Annual planning of action to support year on year savings, and increased effectiveness, for trust schools	JA RP	1	Nov 2021
	TALENT MANAGEMENT					**ACTION REQUIRED**	
38. Schools have robust processes in place to ensure a 3-year workforce development plan, identifying and developing talent and enabling succession planning, to ensure the Trust has an ongoing supply of effective leaders	38.1 Trust expectations in place regarding workforce planning within individual trust schools and the trust	2	4	• SP and TM strategies in place • Work force planning strategy in place • Schools committed to supporting others through System Leaders/ Head Teacher plus and commitment to the movement of teachers/ leaders between trust schools and to shared posts • Continue to review the provision in line with growth of the trust	JA	1	Nov 2021
	38.2 Range of leadership development opportunities provided to enable leaders / potential leaders to grow and develop	1	4	• Full range of leadership development opportunities provided including access to the NPQs • Appraisal support in line with future aspirations • Working across Trust schools • Identify specific action to ensure current deputies are professionally developed to enable them to take on future Head Teacher roles	JA	1	Nov 2021
39. Strategies are in place to ensure staff wellbeing is effectively promoted and practiced across all Trust schools	39.1 Trust expectations in place regarding support for staff Systems in place to minimise low morale of staff in Trust schools or the Trust which leads to them not wanting to progress or leaving	2	4	• Well-being support and development group • Wellbeing Charter • Strategies to recognise staff contributions • Well-being survey • Work life balance strategies eg marking • Ongoing developments, including strategies to minimising marking and assessment but maintain effectiveness • Continue to seek the views of teachers/ leaders to ensure workload/ morale concerns are addressed early	JA	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
40. Systems and processes in place to enable the Trust to strategically move strong staff between the schools to impact on school improvement, understanding and identifying expertise across the trust and deploying it effectively	40.1 Shared responsibility for school improvement in place across all trust schools	2	4	- Shared commitment across trust schools to supporting schools across the trust - Strategies in place and a willingness to move stronger staff between schools - Commitment to shared staff - Ensure all schools fully committed to supporting other schools in the trust	JA	1	Nov 2021
	40.2 Contracts and flexible working arrangements enable staff to move easily between trust schools, to reflect need	2	4	- Contracts have been reviewed across schools - Contracts enable increased movement of staff between schools	JA	1	Nov 2021
	40.3 Good understanding of individual strengths and needs within Trust schools which enables informed decisions to be made	2	4	- Clear understanding of expertise - Ensure all schools fully committed to supporting other schools in the trust	JA HTB	1	Nov 2021
41. The Talent management, ITT and leadership programmes enable the Trust to fill all vacancies, at all levels, effectively	41.1 Succession planning strategies in place linked to leadership development opportunities enable Head Teacher absence risks or vacancies to be minimised and potential staff to fulfil roles and vacancies identified at all levels	2	1	- Leadership development opportunities - Continuum of learning and development from ITT and beyond - Leadership support - For heads - Moving heads/ leaders between schools - Ensure sufficient supply of talent as the trust expands	JA HTB	4	Nov 2021
41. The Talent management, ITT and leadership programmes enable the Trust to fill all	41.2 Professional/ leadership development opportunities provided which support succession planning	1	4	- Full range of leadership development opportunities provided including access to the NPQs - Appraisal support in line with future aspirations - Working across Trust schools	JA	1	Nov 2021

vacancies, at all levels, effectively							
42. All schools access and engage in professional development at all levels	42.1 Appropriate professional development in place at all levels	2	4	• Systems in place to monitor engagement, impact and progress in relation to professional development opportunities • Professional development opportunities effectively linked to Appraisal • Effective induction training in place which enable teachers/ leaders new to the trust to have early impact	JA	1	Nov 2021
43. Staff retention across the Trust is a strength, with low mobility outside of the trust for talented staff	43.1 Systems in place to monitor retention across the Trust and to evaluate against national trends	2	4	• Joint recruitment strategy including adverts • Consider the implementation of in depth evaluation against national trends and use the outcomes to inform future planning and development	JA	1	Nov 2021
44. The Trust effectively utilises the expertise of leaders to support other schools and Trust priorities	44.1 A full range of strategies are in place to enable skills / expertise within the trust is shared to support the wider group of schools and trust priorities	1	4	• Systems in place to recruit and engage leaders as system leaders to support other schools and trust priorities • Business planning in place regarding growth of the systems leaders team and is focused on ensuring capacity is in place • Professional development opportunities in place which enable system leaders to be effective/ skilled	JA HTB SLEs	1	Nov 2021
45. The Trust effectively utilises the expertise of teachers to support other schools and Trust priorities	45.1 A full range of strategies are in place to enable skills / expertise within the trust is shared to support the wider group of schools and trust priorities	1	4	• Systems in place to recruit and engage teachers as system leaders to support other schools and trust priorities • Business planning in place regarding growth of the systems leaders team and is focused on ensuring capacity is in place • Professional development opportunities in place which enable teachers to be effective/ skilled	JA HTB SLEs	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
46 The Trust has an effective Premises strategy which is implemented in line with available funding/ resources, enabling Trust buildings to provide safe, secure and welcoming environments to support learning	46.1 The Trust has an effective Premises Strategy to support the decision making process regarding capital funding, including capital funding devolved to individual trust schools	3	5	• Premises' strategy in place which is understood by all relevant partners • Premises strategy is linked to having a good understanding of the conditions of buildings • SCA funding links to school capital funding to achieve building priorities • Ensure Premises Strategy is linked into effective/ value for money project management • Identify and implement the requirements of the Wellbeing element of Premises management when more information provided	JHM JA	1	Nov 2021
	46.2 Systems in place to ensure LABs and Directors are accountable for the effective leadership and management of Estate Management resources – both those delegated to schools and those delegated to the Trust	2	4	• Premises' strategy linked into Estate Management checks with school and the trust • Good understanding of individual school needs based on the views of all relevant leaders • Systems in place to ensure school capital funding is appropriately targeted in all schools in line with priorities – short and long term	JA	1	Nov 2021
	46.3 Systems in place to ensure that Environmental legislation requirements are known and complied with	2	4	• Ensure heads and site leaders are aware of legislation requirements • Checks carried out as part of the annual H&S and buildings review • Embed training for relevant leaders to check a good understanding of requirements	JA 1IT	1	Nov 2021

SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
47. Individual schools are ICT Compliant and appropriately resourced to support school performance	47.1 Systems in place to ensure ICT information provided is accurate, effectively reported and enables accountability	3	4	• Annual audit and due-diligence procedures in place • Annual audit enables an overall judgement of school practice, strengths and areas for development • Ensure the audit is effectively implemented in all schools and strengths and areas for development followed up • Ensure summary of ICT effectiveness reported to the Directors and relevant audit outcomes provided for LABs (to be fully reviewed October 2019)	JA 1IT	1	Nov 2021
	47.2 ICT procedures/ expectations are in place and compliant within the Trust and Trust Schools and systems are in place to support schools in improving year-on-year	3	5	• Audit procedures enable compliance to be checked and effectiveness of procedures in relation to security and viruses • Ensure these are implemented and that action is followed through • Ensure reporting procedures enable an accurate view of the effectiveness of each school is reported to Directors and understood by LABs	JA HTB	1	Nov 2021
	47.3 It systems within individual schools and the Trust are not out of date/ insufficient and can be effectively supported	3	4	• ICT Strategy identifies the expectation of schools regarding equipment • ICT expectations regarding effectiveness of ICT technical support provider • Security procedures identified and monitored through the audits/ review of schools • Anti-virus software used • Back up storage systems – use of cloud based systems • Ensure the above are appropriately checked and implemented • Use opportunity when Broadband is up for renewal to ensure all schools have high quality / value for money system	JA HTB	1	Nov2021
	47.4 Systems in place to support schools in	2	4	• ICT / Computing Network to support skill / curriculum development within schools	JA HTB	1	Nov 2021

	effectively using ICT to support T&L/ School improvement			• Continue to identify strategies to support use of/ effectiveness of ICT to support T&L			
47. Individual schools are ICT Compliant and appropriately resourced to support school performance	47.5 ICT requirements regarding Data Protection in place or in hand to be in place regarding GDPR	3	5	• Existing data protection strategies in place • Ensure appropriate expertise/ capacity in place in line with perceived needs • Ensure wider aspects of Trust effectively comply with GDPR	JA HTB	1	Nov 2021
	47.6 All schools / the trust understand and work within licensing risks – IT/ Copyright etc.	3	4	• Schools aware of general copyright expectations and licensing requirements • General ICT licenses managed in-house • Provide relevant training/ guidance in relation to copyright – identify mechanisms for monitoring	JA HTB	1	Nov 2021
	47.7 All schools/ the Trust understand and work within licensing risks - Buildings	3	4	• Licensing legislation provided for the early Trust schools • Provide relevant training regarding building / provision licences and identify monitoring arrangements	JA HTB	1	Nov 2021
48. The Trust and schools have developed and implemented a single platform for online systems, application and storage	48.1 ICT capacity and expertise (either internal or external) in place to support and enable a single platform for online systems, application and storage	3	4	• 1IT contract	JA	1	Nov 2021
	48.2 Clear strategy in place and driving the move to and full implementation of a single assessment platform	3	4	• Data systems being managed currently	JA LP	1	Nov 2021

						ACTION REQUIRED	
SUB-CATEGORY	SPECIFIC AREA	LIKELIHOOD OF OCCURRING (5=HIGH/ 1=LOW)	IMPACT IF OCCURS	MITIGATION TO REDUCE LIKELIHOOD OF OCCURRING	WHO	POST MITIGATION RISK	DATE OF NEXT REVIEW
49. Emergency procedures are in place and understood by all staff within all schools and the Trust , including procedures for reporting to the Trust, enabling trust to monitor and evaluate events and to support ongoing improvements in leadership and management	49.1 Policy, procedures and systems in place to ensure emergencies can be dealt with effectively and for the Trust to monitor and evaluate events and support ongoing improvements	2	5	• Schools have individual emergency procedures • Some checks or drill procedures in place • Consider a common trust emergency policy and procedures	JA	1	Nov 2021
	49.2 Policy, procedures and systems in place to ensure the impact of uncontrollable events can be effectively managed and business continuity retained	2	5	• Emergency procedures in place • Back-up systems in place • Trust overall Business Continuity planning regarding financial systems • Further develop Premises Business Continuity planning to ensure uncontrollable disasters can be managed quickly and effectively	JA	1	Nov 2021
50. Health and Safety procedures are in place and understood by all Trust Schools and the Trust, including procedures for reporting to the Trust, enabling the Trust to monitor and evaluate the occurrence of incidents and to support ongoing improvements in leadership and management of H&S	50.1 Systems in place to ensure failure to comply with H&S legislation is minimised, including risks to employees/ pupils/ volunteers/ member of the public	2	5	• Annual internal checks & 3 year external audit • Trust H&S policy and guidance support in-school expectations • Due-diligence checks in relation to all new schools with required action/ support identified • Additional training and support provided • Updates re H&S policy provided and work in partnership with H&S leaders • Ensure processes effectively implemented as part of due-diligence for new schools joining trust	JA	1	Nov 2021
	50.2 Systems in place and opportunities available for expertise in relation to H&S management to be effectively shared to support improvements	2	4	• Site staff expertise available to support other trust schools in relation to building related H&S management • The above is being implemented within trust schools	JA	1	Nov 2021

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51. Safeguarding expectations and procedures are in place and understood by all Trust Schools and the Trust, including procedures for reporting relevant safeguarding matters, enabling the Trust and relevant LA Safeguarding Leads to respond appropriately, and for practices to be improved	51.1 Systems in place to check individual school compliance in relation to safeguarding expectations and to support ongoing improvements	2	5	• Overview trust policy in place regarding safeguarding • Internal and external audit • Staff Code of Conduct in place within all schools • Due-diligence checks re safeguarding E-safety/ ICT security in place • Ensure schools aware that wellbeing and behaviour effectiveness links into the effectiveness of school safeguarding procedures	JA	1	Nov 2021
	51.2 Systems in place to enable effective reporting and for relevant action to be identified at all levels	2	5	• Findings of the external audits feed into the ISAMs – relating to compliance, single central record and internal audit findings • Findings identified in the internal audit monitored termly by Governors • Check of schools where an Ofsted is pending	JA	1	Nov 2021

Where RP is referred to this is CFO/COO appointed February 2021