

STRATEGIC PLAN - RISK REGISTER (V2.2 October 19)

Ref	Nature of Risk	Risk Description	Current Control Measures	Likelihood Rating (1-5)	Impact Rating (1-5)	Risk Factor (score)	Severity (H, M, L)	Response (Tolerate, Monitor, Review, Action)	Recent actions and update from last review	Responsible Person / Committee	Status
R1	Outcomes	Improvements in T&L are not secured and RI academies remain RI resulting in a reputational damage to the Trust.	Deployment of Trust resources to secure rapid improvement. CPD for teachers who need to improve from RI to Good. Trustees to monitor anonymised PM targets of teachers who are experiencing difficulty.	3	4	12	H	Review	All academies good except Portland-awaiting inspection. High support put in place to support aspects of weaker development. Could be inspected under the new framework -training for all staff April 19.	SC	Ongoing support from EHT/CEO, chair of standards monitoring
R2	Outcomes	A specific area does not improve rapidly enough and affects the whole academy Ofsted judgement e.g. EYFS/ Post-16.	Deployment of Trust or external resources. Short term action plan monitored by EHT. External support.	3	4	12	H	Review	Recent review of Post-16 was good. However, ongoing monitoring of quality of curriculum is in place. Café Ascent	SC	Chair of standards monitoring and bid in for support through DFE grant.
R3	Outcomes	Significant groups of students make insufficient progress or there remains significant gaps between groups and the rest of the pupils.	Close monitoring of PPG, year 7 Catch Up and Sports Premium Grant. Monitoring of significant groups regularly to identify under-performance. External reviews.	3	4	12	M	Review	No significant gaps, in fact many pupils out performing non PPG	SC	PPG scrutiny remains part of QA visits
R4	Academy Improvement	Performance of schools not improving sufficiently or quickly enough impacts on the reputation of the Trust.	Prioritise resources to ensure rapid school improvement. Ensure that monitoring systems and accurate assessments are coming from the ELT and LAB. Link Trustees to provide another layer of support and challenge. Deploy effective leadership effectively.	3	4	12	H	Review	Improvements being seen across the academies.	SC	Continuous review through QA visits
R5	Leadership	Key leaders leave, resign or move from the Trust.	Focus on retention of quality leaders and Trustees. Succession planning and talent management. Academy ambassadors. External Support.	3	3	9	M	Monitor	Aspirant leader course and NPQML and NPQSL all taken up across the Trust. Good leadership potential. After recent restructure still have capacity of DAL.	Board	Monitored by Chair of standards
R6	Leadership	National shortage of high quality school leaders impacts on the ability to recruit to academy teams.	Succession planning within existing staff teams. Programme of leadership training within the Trust. PM career based expectations and leadership roles at UPS (EXPERT) teacher.	3	4	12	H	Review	No recruitment needs at this time -however, actively planning to look at recruitment strategy.	Board	Review annually
R7	Leadership	The quality of internal and external reviews insufficiently robust and does not identify significant areas of weakness or identify these early enough.	Bespoke ELT support in challenging academies. Bespoke timescales on reviews and external inspection.	2	3	6	M	Monitor	Peer Heads involved in internal reviews and internal judgements match external judgements.	Board	Kept under review with standards committee and all Trustees through DAR
R8	People	Staff absence rates continue to rise and supply costs place budgets at risk.	Close monitoring of the budget position and reporting to Trustees. Sickness Absence Policy	3	4	12	H	Review	Changes to staff cover, more use of HLTAs Ongoing work on staff health and wellbeing and support Staff wellbeing groups and champions in each academy Close monitoring of supply costs in finance meetings	FRR	Monitor at FRR including financial implications and included in contextual data to Trustees
R9	People	Staff absence significantly affects the stability of the academy to deliver high quality TL&A, behaviour and safety and therefore outcomes.	Flexible deployment of resources across the Trust.	3	4	12	H	Review	Despite significant rise in staff attendance at ATA-still remains an issue at Portland and HWA-all managing sickness absence robustly.	SC	CEO to review with leadership and then all staff Trust wide
R10	Business	Insufficient capacity to support all academies.	Effective planning and managing staffing resources. Sufficient staffing base and flexibility to move staff around the Trust. Reserves to enable investment in capacity when required. Recruitment and retention strategies in place, including succession planning.	2	3	6	M	Monitor	Currently no vacancies in any leadership posts or key trust wide posts To review leadership structures in academies Continue to monitor and review	FRR	Monitor at FRR and in contextual data to Trustees
R11	Business	An academy becomes financially unviable.	Effective financial planning and management systems in place. Experience of managing similar situations and implementing recovery strategies over short, medium and long term. Effective use of resources across the Trust.	2	4	8	M	Monitor	All 4 academies are financially viable 3 Year MTFP in place, including necessary actions and savings required to address forecast budget pressures	FRR	Review MTFP and budget forecasts at termly FRR meetings
R12	Business	Changes to high needs funding leaves academies unable to balance budget.	Effective financial planning systems in place. Horizon scanning and scenario planning when funding changes are proposed. Robust EHCPs to ensure appropriate resources are identified to meet pupil needs.	2	4	8	M	Monitor	Involved in all LA schools forums to keep informed in any HNF changes. Funding stable for the foreseeable future Known changes built into MTFP	FRR	Annual review and monitor
R13	Business	Falling roles / reduction in planned places.	Effective financial planning and management systems in place. Experience of managing similar situations and implementing recovery strategies over short, medium and long term. Effective use of resources across the Trust.	2	3	6	M	Monitor	Close links with commissioners and involvement in place planning through school forums. 20/21 places confirmed and discussions regarding next 3-5 years. Aware of potential risks to BPA from the new Free school	FRR	Review as part of annual budget setting and review of MTFP. 2020/21 confirmed, next review July 2020
R14	Business	Impact of the Sunderland Special Free school	Place planning strategy to understand financial implications. Use of temporary contracts if there is a need to reduce staff numbers. Retention strategies for retaining key staff.	1	3	3	L	Tolerate	Free School award to another MAT. Assurances received regarding minimal impact on numbers to BPA. Further growth planned for BPA	FRR	Annual review as part of commissioned place process and budget setting
R15	Business	The Trust grows too quickly.	Redeploy staffing within the Trust.	2	2	4	L	Tolerate	Planned and managed growth in line with Strategic Plan and priorities. Full due diligence to be complete on any new venture, including capacity and implications on existing academies and resources	FRR	Annual review in line with review of strategic plan
R16	Business	New ventures are high risk and/or unsuccessful.	Full due diligence, including risk register and financial forecast.	1	3	3	L	Tolerate	No specific new ventures planned at present.	FRR	Monitor
R17	Resources	HSE investigation/intervention following multiple reported accidents or significant harm to staff/pupil/visitor resulting in potential fines or prosecution.	Robust procedures in place for investigating and reporting accidents/ incidents. Risk assessments in place for pupils, activities etc. Regular H&S inspections, audits and reviews from external H&S advisor. Strong and evolving H&S culture.	2	2	4	L	Tolerate	Reduction in reportable incidents over last 12 month Increased H&S awareness and culture across the Trust. Recent H&S training for relevant staff. Regular reviews of processes and procedures.	FRR	Monitor in academy PDBWA reviews and reports to FRR
R18	Resources	Staff member, family or visitor sues the Trust for an accident resulting in risk of financial and reputational loss.	Risk Protection Arrangements in place to cover any liability costs. Use of experienced media/PR support providers to mitigate any reputational damage.	2	2	4	L	Tolerate	Robust arrangements in place to cover financial liability. Relationship with media/PR providers to support mitigate any potential reputational impact if scenario arose	FRR	Annual review of arrangements
R19	Resources	Significant damage to a Trust building or resource resulting in high cost repair.	Risk Protection Arrangements in place to cover any significant property damage costs.	1	3	3	L	Tolerate	Monitoring and detection arrangements in place (Intruder and Fire alarms linked to control centres), contract with security company for call outs and remote monitoring and alerts for excess use of utilities (gas/water leak)	FRR	Annual review of arrangements
R20	Resources	SCR does not capture all adults in the building and is not found to be compliant resulting in a risk to an Ofsted outcome and/or danger to pupils.	Effective systems in place, tested and reviewed regularly both internally and externally. Safeguarding training for all staff and in particular specific training for those involved with the SCR. Effective security arrangements and procedures in place for entry and exit of academy buildings.	2	3	6	M	Monitor	Systems, processes and procedures tested regularly and an audit conducted by AVEC last year. Recent Ofsted inspections also reviewed SCR and arrangements	FRR	Monitor in academy PDBWA reviews and reports to FRR
R21	Resources	Sickness absence levels increase as a result of incidents/accidents at work.	Accidents/incidents reviewed by SLTs and analysed by SEN teams. Raising awareness with staff from lessons learnt. Evolving H&S culture.	3	2	6	M	Monitor	Lessons learnt and info shared across the Trust Additional H&S training provided to HOAs and academy H&S reps	FRR	Monitor in academy PDBWA reviews and reports to FRR
R22	Resources	Financial resources are insufficient to fund pupil needs.	Effective financial planning with academy leaders. Robust EHCPs identifying needs and resources. Firm approach with commissioners regarding places to ensure appropriate level of funding for each and every pupil.	2	3	6	M	Monitor	Robust financial planning with HOAs, including staffing levels/ratios, class sizes and resources. Challenges to LAs re funding levels and EHCPs	FRR	Monitor in finance meetings with HOAs
R23	Resources	Building maintenance costs are unaffordable and capital funding bids are unsuccessful.	Building condition surveys completed for all building to identify priorities and investment required to inform financial planning. Seek additional funding and/or alternative income sources.	3	3	9	M	Monitor	3 successful CIF bids over last couple of years. Future applications to be made for each academy. More robust building development plans (priority based) in place. Successful SALIX funding for all academies for energy efficiency capital investment.	FRR	Ongoing external funding applications and close review of 5 year site development plans and required funding
R24	Resources	IT systems are hacked and data lost.	Business continuity arrangements in place for backing up data, both on and off site. Additional investment in new improved IT network and systems to improve security.	2	4	8	M	Monitor	All business critical data backed up and stored by third party. Full back up of all data kept on AND off site.	FRR	Ongoing monitoring, testing and review