



## The Challenge Academy Trust

### Risk Management Action Plan 2020/21: Update September 2020 Overview

Area	Overall Assessment	Identified Risks	High	Medium	Low
National Issues	4	Business continuity Non-budgeted costs	✓		
Local Risks	3	Business continuity		✓	
Safeguarding	3	Lockdown impact		✓	
Estates and Facilities	2	Covid compliance Safety			✓
Human Resources	2	Restructures		✓	
Curriculum & Quality	2	Curriculum quality & continuity Terminal assessment		✓	
Legal & Insurance	1	New provider			✓
Finance & Audit	2	Deficit management		✓	
FIS/MIS/IT Systems	2	New systems		✓	
Sponsorship of STB/Padgate	3	Finance & quality		✓	
Leadership/governance	2	Quality & training			
Funding Contracts	2	Recruitment		✓	



## The Challenge Academy Trust

### Risk Management March Update 2020/21

#### Risk Register: Issues and Actions

Existing Identified Risk Area	Specific Issue/Event	Commentary	Existing mitigation	Further Actions Required	Risk
National Issues	Covid 19 significantly affects business continuity for the education sector	Covid 19 has brought with it significant instability in relation to staff & pupil attendance and changing guidance. This makes it very difficult to plan ahead, achieve consistency and puts a huge amount of pressure on operational leadership.  Risk: 4	<ul style="list-style-type: none"> <li>Daily review of Covid dashboard &amp; communication across OPCAT group</li> <li>Regular liaison with LA Covid-19 management group.</li> <li>Review guidance daily</li> <li>Monitor schools closely</li> </ul>	<ul style="list-style-type: none"> <li>Review protocols at regular intervals or when local context changes or restrictions introduced</li> </ul>	4
National Issues	Failure of the Government to secure a Brexit deal impacts on services and functions across TCAT	The lack of a clear Brexit deal adds additional uncertainty in relation to the economic stability of business and the ongoing provision of some services.  Risk: 2	<ul style="list-style-type: none"> <li>Liaison with supply chain to ensure contingency plans in place</li> </ul>		2
Local Risks	Local impact of Covid-19 significantly affects business continuity for Warrington and/or TCAT	Warrington has experienced high rates of infection compared to many other areas of the UK. This exacerbates the risk we have nationally in relation to instability and business continuity.  Risk: 4	<ul style="list-style-type: none"> <li>All academies have detailed risk assessments in place which have gone through checks with the unions and the Local Authority and are updates as national guidance and circumstances dictate</li> <li>Detailed staff risk assessments are in place and all staff classed as CEV (Clinically Extremely Vulnerable) or CV (Clinically Vulnerable) have had individual risk assessments with individual arrangements in place as necessary.</li> </ul>	<ul style="list-style-type: none"> <li>Regular liaison with LA Covid-19 management group.</li> <li>Review guidance daily</li> <li>Academy RA monitoring</li> </ul>	3
Local Risks	Trust/school/college reputation affected negatively by press coverage.	An unexpected incident of gross-misconduct, negligence or a serious safeguarding incident could occur at any point which could negatively reflect upon TCAT  Risk: 3	<ul style="list-style-type: none"> <li>Critical incident policy issued to all leaders with regular reminders</li> <li>Safeguarding strategy in place and monitored</li> </ul>	<ul style="list-style-type: none"> <li>Governor code of conduct</li> <li>Safeguarding tracker/protocol</li> </ul>	2
Leadership/governance	Issues within leadership of academies or trust/academy	Currently two academies not judged good and others with financial controls in place.	<ul style="list-style-type: none"> <li>Mentoring system in place for new heads or RI school heads</li> </ul>	<ul style="list-style-type: none"> <li>TCAT involvement with heads' appraisal system</li> </ul>	2



	governance have a negative impact on trust development, effectiveness or reputation	Difficult to find and recruit appropriate governors/trustees  Risk: 3	<ul style="list-style-type: none"> <li>Governor training in place and standard agendas established</li> <li>Entrust now employed to clerk</li> </ul>	<ul style="list-style-type: none"> <li>Close liaison with governors</li> <li>Further training and forums created</li> <li>Code of conduct and ethical leadership framework adopted</li> </ul>	
Funding Contracts	Under/over achievement of funding/pupil/learner number targets impacting on future financial stability.	The number of enrolments at the beginning of September were generally in line with expectations. However, there are a couple of academies with potential issues. Padgate Academy's budget was based upon a higher number of Year 7 students than enrolled. This will lead to a lower element of in year funding. The actual number on roll still increased so the growth needed in Padgate is still materialising. There are two academies where there is a substantial increase in numbers and, due to lagged funding, will potentially put pressure on the budget – Priestley College and Sir Thomas Boteler.  Risk: 3	<ul style="list-style-type: none"> <li>Where numbers are expected to grow, these additional costs and the impact of lagged funding are taken into account in budget setting.</li> </ul>	<ul style="list-style-type: none"> <li>Revision to the budgets to assess impact of the under/over achievement and consider any actions that may be required.</li> <li>Look to identify if there are opportunities for business cases for over achievement.</li> <li>Padgate to investigate why the numbers were not as high as first thought and learn from that.</li> <li>Where growth in numbers is important, Padgate, Penketh and Thomas Boteler will continue their work to smooth transition from Year 6 to 7 especially for those pupils where the given school is not the first choice.</li> <li>Broomfields and Penketh South also need to review how to ensure that their new student number is not impacted.</li> </ul>	2
Safeguarding	Failure to implement national requirements relating to recruitment and selection places pupils/learners at risk.  Children not in school as a consequence of lockdown	Covid 19 has meant that some interview processes have been remote without live teaching.  Risk: 3  Covid 19 has resulted in pupils being at home for extended periods and when self-isolating. Also, some parents looking at EHE.  Risk: 3	<ul style="list-style-type: none"> <li>Hays online safer recruitment training</li> <li>Appointment of Trust Lead Practitioner Safeguarding</li> <li>Review of Safeguarding SLA with the LA</li> <li>Established Safeguarding Hub that reports to Trustees</li> <li>DBS application procedure revised with training for all signatories</li> <li>Head of HR lead DBS counter-signatory for the Trust</li> <li>SCR held locally at each academy</li> <li>Academy based procedures in place for monitoring attendance and intervening</li> <li>The trust work closely Warrington Safeguarding Partnership</li> </ul>	<ul style="list-style-type: none"> <li>Ensure safer recruitment strategies are effectively in place especially where interviews are on-line. Ensure classroom practice carefully monitored.</li> <li>Ensure effective safeguarding protocols in place with any partial closures</li> <li>Work effectively with external agencies through enforcement of Covid Tiers</li> <li>Installation of HR system will provide visibility of SCR across the Trust, enabling QA processes</li> <li>Missed students, who have not returned to school since lockdown need to be a priority</li> <li>Increased option for home schooling need monitoring</li> <li>Take steps to mitigate online risks as online learning opportunities increase</li> </ul>	2
Safeguarding	Failure to ensure that all academies' Health and Safety arrangements are maintained to statutory	Failure to maintain adequate systems could lead to serious breaches of H&S law leading to pupil and staff injury, damage to buildings, possible closure of buildings affecting the delivery of education to pupils	<ul style="list-style-type: none"> <li>Trust and Individual Health and Safety Policies and Guidelines in place and approved by Trustees/Governing Bodies</li> </ul>	<ul style="list-style-type: none"> <li>Full implementation of iAM Compliant will provide Trust-wide visibility of all statutory maintenance programmes</li> </ul>	3



	requirements and in line with best practice risking injury to staff and pupils and/or partial/ full closure of premises	and significant loss of reputation as well as the risk of legal action both civil and criminal.  Risk: 4	<ul style="list-style-type: none"> <li>• Accident reporting arrangements in place at each academy</li> <li>• Trust and Individual Health and Safety Policies and Guidelines in place and approved by Trustees/Governing Bodies</li> <li>• Trust-wide Health and Safety Adviser engaged</li> <li>• Staff online training package purchased for the Trust</li> <li>• Trust wide review of Health and Safety undertaken · Health and Safety Termly meetings in each academy</li> <li>• Health and Safety Advisor visits and reports tabled at SLT meetings</li> <li>• Annual reports presented to LGBs and Trustees</li> </ul>	and accident/ investigation reporting enabling QA process <ul style="list-style-type: none"> <li>• H&amp;S Trust advisor providing monthly checks on statutory reporting and Accidents/ Incidents as recorded through iAM Compliant with follow-up training and support to improve processes as required</li> <li>• H&amp;S Action plan developed and termly meetings with Operations Director to monitor progress</li> </ul>	
Estates and facilities	Utility outage disrupting school/college operations	Failure to maintain utilities across the Trust estate could lead to loss or damage to property, pupils and staff and lead to academy closures risking significant loss of reputation as well as the risk of legal action both civil and criminal.  Risk: 4	<ul style="list-style-type: none"> <li>• Major incident plan in place in each organisation and in the Trust</li> <li>• Electricity emergency lighting in place in each academy</li> <li>• Gas maintenance contracts in place · BT/Telecommunications maintenance contracts in place</li> <li>• Trust prioritised investment in boilers, gas and electrical safety funded through the SCA</li> </ul>	<ul style="list-style-type: none"> <li>• iAM Compliant being set up to enable Trust wide monitoring of all statutory checks and contracts · Trust-wide maintenance SLA for boilers and electrical safety being investigated</li> </ul>	2
Estates and Facilities	Failure to manage neighbour relationships harming a school/college image.	Failing to maintain relationships could risk significant loss of reputation.  Risk:4	<ul style="list-style-type: none"> <li>• Senior manager in each organisation nominated to liaise with neighbours/community representatives</li> <li>• Well established communication systems in each school/college for parents and parent groups · Complaints procedures in place in each organisation</li> <li>• Annual complaint/compliment report to Governing Bodies</li> <li>• Issues raised with SMTs as appropriate</li> <li>• Dialogue with pupil/student councils</li> <li>• TCAT Student Council in place for ongoing dialogue</li> </ul>	<ul style="list-style-type: none"> <li>• Website to be further developed with information targeted at the wider community</li> </ul>	2
Estates and Facilities	Failure to maintain academy estates impacts negatively on learners and/or staff	Failing to maintain estates properly could lead to unforeseen maintenance issues becoming more serious than necessary risking closure of academy buildings and sites affecting the delivery of education.  Risk:4	<ul style="list-style-type: none"> <li>• Each academy has a maintenance programme</li> <li>• Senior Managers and Governors receive regular updates on estate issues</li> <li>• Health and Safety Audit in place</li> <li>• Reports to CET and Finance, HR and Operations Committee</li> <li>• Condition surveys carried out for each academy identifying condition and suitability issues for each academy</li> </ul>	<ul style="list-style-type: none"> <li>• Estate Management hub to be used to proactively share best practice, reduce costs and improve services across the Trust through shared SLAs</li> <li>• · Estate management leads to fully implement iAM Compliant in their academy improving the efficiency in the delivery and monitoring of all service and maintenance programme</li> </ul>	2



			<ul style="list-style-type: none"> <li>Strategic Capital management plan in place to ensure that the SCA funding is managed to meet the identified condition and suitability priorities as well as estate improvements. Revised annually and approved by Trustees on an annual basis.</li> </ul>		
Estates and facilities	Failure to keep academy estates secure both during working hours and out of hours	<p>Lack of site security could lead to loss and damage to property through theft and/or vandalism.</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>Robust site security arrangements in each centre</li> <li>Investment in identified security improvements as required at individual academies e.g. fencing</li> </ul>	<ul style="list-style-type: none"> <li>Academies to identify further measures required and apply to the SCA funding stream as bidding programmes are released.</li> </ul>	2
Human Resources	Industrial action disrupting teaching and learning	<p>There have been relatively few cases of industrial action in the education sector in recent years and action that has taken place has primarily been linked to pay deals and pension reform.</p> <p>Pay deals for all employees are linked to the national negotiations for various groups but the impact of coronavirus on public sector spending may influence future pay discussions.</p> <p>The Public Sector Exit Payments Cap has led to a consultation on changes to public sector pensions which may increase the likelihood of industrial action in the future.</p> <p>There is also a risk of Covid related action, particularly in respect of and Health &amp; Safety Concerns</p> <p>Risk: 3</p>	<ul style="list-style-type: none"> <li>Pay deals for all employees are linked to the national negotiations for School and Sixth Form Teachers, Sixth Form Support Staff and Local Government Employees (Schools / Central support staff).</li> <li>Academy JCC's and Trust JCNC mechanisms are used to manage any industrial relations issues at a local level.</li> </ul>	<ul style="list-style-type: none"> <li>Continue to monitor any possible changes to pension regulations and pay levels;</li> <li>Prepare for actions that academies or the Trust will need to undertake in the event of any industrial action.</li> <li>Assess the scale of any potential strike action and whether this may result in the possible closure of an academy.</li> </ul>	2
Human Resources	Failure to respond to any future misalignment of school/college staffing establishment	<p>There are risks associated with both under and over staffing. Budgetary pressures, curriculum models, changes in pupil numbers and the demographics of the existing workforce can have a significant impact on the numbers of both teaching and support staff required within academies over the short, medium and long term.</p> <p>Risk:2</p>	<ul style="list-style-type: none"> <li>Continued forward planning reviews at both academy and Trust level in order to identify if/when academies are under or over resourced in particular areas.</li> <li>CET review senior vacancies as and when arise with contingencies in place, promoting the sharing of resources and good practice.</li> </ul>	<ul style="list-style-type: none"> <li>Use workforce information, from the HR system, to identify any trends in turnover, stability levels and to support the workforce / succession planning review process</li> </ul>	2
Human Resources	Failure to attract and/or retain teaching and other key staff of a suitable calibre	<p>It is vital that academies employ the right people with the right skills in order to maintain and improve standards of teaching and learning provision.</p> <p>In order to attract high quality candidates, the Trust will need to continuously review it's recruitment and selection practices, including using data to identify key trends in the application pool and where improvements can be made.</p>	<ul style="list-style-type: none"> <li>CET review senior vacancies as and when arise with contingencies in place, promoting the sharing of resources and good practice.</li> <li>CPD programme, wellbeing initiatives and employer benefits packages in place to support the professional and personal development of staff.</li> </ul>	<ul style="list-style-type: none"> <li>Review and develop Trust Recruitment and Selection Strategy;</li> <li>Use recruitment module of HR system to support targeted recruitment activity and to provide business intelligence on the recruitment and selection process;</li> </ul>	2





		Risk:3		<ul style="list-style-type: none"> <li>Further develop the 'total reward' offer to enhance the Trust as an 'employer of choice'.</li> </ul>	
Human Resources	Risk of legal action as a result of actions undertaken by the trust in respect of employment matters	<p>The risk of legal action, through the tribunal system or civil court, can occur if the Trust is perceived to have acted unlawfully.</p> <p>Sources of claims mainly arise from unfair or wrongful dismissal, discriminatory practice or, in the case of the civil courts, where the actions of the Trust may cause personal injury in respect of work-related stress.</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>Ongoing review and development of policies to ensure compliance with law.</li> <li>Training for managers on policy application and discriminatory practice.</li> <li>TCAT Wellbeing Strategy in place and continually reviewed along with new Managing Stress At Work Policy.</li> </ul>	<ul style="list-style-type: none"> <li>Use of HR system to capture data on protected characteristics to ensure that our practices are fair and equitable, comply with law and that the Trust promote diversity and social equality within our workforce.</li> </ul>	3
Human Resources	HR Data / Payroll	<p>At present there is no single reliable system to report and report on our workforce. Data is held at academy level on a number of systems, both physical and electronic – from SIMS to Excel spreadsheets.</p> <p>The lack of a Trust wide HR system impacts upon a number of the risks identified within this Risk Management Action Plan, in particular the recording and reporting on sickness absence, workforce planning, equality and diversity reporting and the compliance of the Single Central Record.</p> <p>A HR system has been sourced and purchased, with implementation planned for January 2021. The implementation of the system presents risks to the trust (GDPR compliance, accuracy of data, costs) as does the ongoing administration of the system.</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>Project Plan in place to: <ul style="list-style-type: none"> <li>Ensure implementation of HR system remains on target for January 2021 launch.</li> <li>Ensure training on HR system is appropriate and targeted to those who need it.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Use system to full potential in order to support operational and strategic objectives and to provide value for money on the investment.</li> </ul>	2
Human Resources	Single Central Record (SCR)	<p>Schools and colleges must maintain a SCR of pre-appointment checks of all staff as part of compliance with s175 of the Education Act 2002. It should also be available upon demand from Ofsted.</p> <p>Academies use differing systems to store and record their SCR with many using a single Excel spreadsheet which presents multiple risks.</p> <p>The implementation of a Trust HR system will mitigate risks associated with SCR accuracy, storage and accessibility.</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>DBS / pre-employment checks in place with recording process to assess compliance.</li> <li>Support to administrators via the Safeguarding and Business Support Hubs.</li> <li>Hays Safeguarding Training rolled out across the Trust.</li> </ul>	<ul style="list-style-type: none"> <li>Transfer of SCRs to HR system upon implementation.</li> </ul>	2



Curriculum and Quality	Failure to maintain/improve teaching quality and learning resources impacts on outcomes for pupils/learners including value added.	<p>This has become an issue with more and more teaching being on-line. Also, the initial impact of covid in terms of online learning affected disadvantaged pupils disproportionately. Finally, the need to address gaps as a consequence of lockdown has become a high priority.</p> <p>Risk: 3</p>	<ul style="list-style-type: none"> <li>Scorecard, Self-Review and Priority Action Plan routinely monitored</li> <li>Secondary/Primary Heads Curriculum and Pastoral meet to monitor and share best practice and progress in terms of "Pupils"</li> <li>All academies have a remote offer in place using a variety of platform supported by staff CPD</li> <li>Access where possible to DfE laptop scheme</li> <li>Intervention strategies well established in all academies</li> <li>Trust-wide Disadvantage Strategy tackles risk of underperformance</li> <li>Hubs share best practice and have clarity in terms of remit and protocol (Comms Strategy)</li> <li>Establish process of Peer to Peer reviews / Health checks</li> </ul>	<ul style="list-style-type: none"> <li>Any disruption to established assessment patterns, including facilitating moderation needs addressing; patterns identified through trust wide data capture routines</li> <li>Disruption to learning through SI needs addressing in terms of hybrid or lockdown teaching</li> <li>Equitable access to online provision must be ensured</li> <li>Effective deployment of Catch Up funding with VFM should be evident</li> <li>Disruption to established assessment patterns, including facilitating moderation needs addressing</li> <li>Where traditional QA processes are disrupted (internal and external) academies adapt accordingly</li> <li>Academies need to sustain the momentum pre-lockdown notwithstanding the pressures of covid</li> <li>Any reading gaps require precise intervention and catch up strategies</li> </ul>	2
Legal and insurance	Insufficient cover for any liability or no cover in place for a potential liability	<p>The Trust undertakes an annual review of insurance in place before any renewal. The current insurance cover under the RPA gives unlimited cover for the main risks of Public Liability, Employers Liability and Buildings. The RPA does not cover all required insured risks e.g. motor vehicles or engineering. The risk for the insurance is ensuring all assets are insured i.e. changes to vehicles/engineering are up to date, with the insurer informed. All business managers have access to the insured covers so that it reduces the possibility of a risk being uninsured.</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>Annual review of risks and cover undertaken</li> </ul>	<ul style="list-style-type: none"> <li>Introduce a regular checking mechanism capturing any changes at an academy to ensure that all risks are identified and covered.</li> </ul>	1
Legal, Insurance and Statutory Compliance	Claims arising from breaches of legislation including that relating to Data Protection	<p>Failure to ensure that all staff comply with data protection law and best practice could result in serious breaches of data security which are reportable to the ICO and could lead to unlimited fines depending on the seriousness of the breach.</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>School/College wide policies in place. Freedom of Information Policy for the Trust adopted July 2017.</li> <li>Trust GDPR policies and procedures in place</li> <li>Trust GDPR DPO appointed with leads in each academy nominated.</li> <li>Data Protection peer review in place supplemented by internal audit review</li> </ul>	<ul style="list-style-type: none"> <li>Further training in identifying and reporting breaches and regulations concerning data handling for all academies to be carried out</li> <li>Days training in GDPR to be made a requirement for all staff.</li> </ul>	1
Legal, Insurance and Statutory Compliance	Legal, Insurance and Statutory Compliance	<p>Failure to comply with statutory submission deadlines relating to DfE, company and charity requirements leading to potential damage to reputation and complaints</p>	<ul style="list-style-type: none"> <li>Annual calendar identifying all returns required to be submitted in place</li> <li>Responsibility for ensuring returns are submitted allocated to senior Trust staff</li> </ul>		1



		Risk:3			
Legal, Insurance and Statutory Compliance	Legal, Insurance and Statutory Compliance	<p>Failure to maintain compliance with governance regulations and requirements leading to potential damage to reputation and complaints</p> <p>Risk: 3</p>	<ul style="list-style-type: none"> <li>• Clear Terms of Reference are established for the Trust Board and its committees in accordance with the Article of Association.</li> <li>• Trust structures identify responsibilities at Trust and LGB level</li> <li>• Recommended structures for LGBs are in place</li> </ul>	<ul style="list-style-type: none"> <li>• Annual review of website compliance carried out across the Trust</li> <li>• Appointment of Entrust to support clerking arrangements and provide legal advice/ guidance for the Trust Board and academies</li> <li>• Governor and Trustee seminars held twice a year</li> <li>• Model Terms of Reference for LGBs to be put in place</li> </ul>	1
Legal, Insurance and Statutory Compliance	Legal, Insurance and Statutory Compliance	<p>Failure to maintain appropriate and suitable policies risking issues with stakeholders and the local community leading to potential complaints</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>• Clear delegation of policies between academy and Trust</li> <li>• All Trust policies are reviewed and approved by the appropriate committee of the Trust Board</li> <li>• In forming policies, advice and guidance is sought through the appropriate channel – legal support provider, the Key or Entrust.</li> </ul>	<ul style="list-style-type: none"> <li>• Policy register in place with review calendar for all Trust policies.</li> </ul>	1
Legal, Insurance and Statutory Compliance	Legal, Insurance and Statutory Compliance	<p>Failure to ensure that business continuity plans are in place in the event of disruption to access to school buildings or in the event of local, regional and national emergencies</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>• Major incidents plans in place for each and the Trust</li> <li>• Particular risk for Meadowside of closure due to flooding in the area. The school has named alternative venues in its incident plan</li> <li>• Plans reviewed annually by the academy major incident teams</li> </ul>		2
Legal, Insurance and Statutory Compliance	Legal, Insurance and Statutory Compliance	<p>Failure to comply with statutory submission deadlines relating to DfE, company and charity requirements leading to potential damage to reputation and complaints</p> <p>Risk:3</p>	<ul style="list-style-type: none"> <li>• Annual calendar identifying all returns required to be submitted in place</li> <li>• Responsibility for ensuring returns are submitted allocated to senior Trust staff</li> </ul>		1
Financial and Audit	Failure to deliver identified annual budget savings impacting negatively on delivery of financial plans	<p>Every academy has set a budget which is based upon current expectations. The budgets are monitored on a monthly basis and discussed with the Heads. Through the Cluster Managers, common expenditure across the Trust is being identified and compared for pricing. The Trust has negotiated a number of central agreements bringing cost savings and has organised utility contracts across the Trust to bring alignment and cost savings.</p> <p>Risk: 4</p>	<ul style="list-style-type: none"> <li>• Monthly reporting and review meetings with Headteachers</li> <li>• Weekly meetings involving the Cluster Finance Managers</li> <li>• Regular meetings with Business Managers</li> </ul>	<ul style="list-style-type: none"> <li>• Continued monitoring of budgets against actual spend.</li> <li>• Ensure that the Heads are informed in a timely manner of the financial position.</li> <li>• Continue to work to identify areas for Trust wide procurement/purchasing strategy.</li> <li>• Ensure Cluster Managers are informed of any changes within the academies as soon as practical and to work with Heads in developing costed plans for any new or unusual funding opportunities.</li> </ul>	3





Financial and Audit	Fraud/irregularities resulting in loss of assets and damage to reputation	<p>Attempted fraud is common with large organisations and especially those with building projects. In addition, there is the threat of phishing. Finance staff are regularly updated on any new type of fraud and our bankers regularly update the Trust and undertake checks on payments that might be flagged due to processes they are aware of. The financial authorisation and payments system is designed to have multiple people involved in the approval process through to final payment to reduce the opportunity to fraud.</p> <p>Risk: 3</p>	<ul style="list-style-type: none"> <li>Trust Financial regulations</li> <li>Appropriate authorisation and approval levels at each academy</li> <li>Segregation of duties as much as possible</li> <li>Cluster managers able to view transactions within each academy</li> <li>Regular updates on the latest trends in fraud passed to all key staff</li> <li>Secure sites to reduce opportunity of asset loss</li> </ul>		1
Financial and Audit	The impact of Covid-19 will result in some expenditure lines being required more than originally budgeted e.g. supply, hygiene costs	<p>The change to the way in which the academies must operate during the pandemic will put pressure on some of the expenditure lines which could have a negative impact on the overall budget. The need to continue operating in a safe and secure environment whilst delivering a quality education is paramount but it will mean extra expenditure which is currently unfunded. Currently, the cost of the pandemic is being recorded and monitored to identify where expenditure areas are under stress.</p> <p>Risk: 5</p>		<ul style="list-style-type: none"> <li>Continued monitoring of the exceptional expenditure.</li> <li>Put together a summary of the additional cost to be used to share with RSC/ESFA etc.</li> <li>Consider using the sector representatives to raise the issue.</li> <li>Keep Heads and Governing Bodies informed of the impact.</li> </ul>	3
FIS/MIS/IT/HR	Extended failure in key areas of MIS/IT functionality at key times such as registration and examination periods disrupting school/college operations	<p>MIS systems are key to the management of operations across academies. System failures could impact on pupil welfare and safeguarding through inability to monitor attendance, educational achievement through failure to register and take public examinations, and impact on education through inability to register students particularly post-16 on courses of their choice.</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>Well-developed annual implementation plans in place to meet ESFA return requirements</li> <li>Back up plans in place across all organisations</li> </ul>	<ul style="list-style-type: none"> <li>Review backup plans and seek to identify how support across the Trust can be used in terms of emergency (use of other sites, system backups).</li> </ul>	2
FIS/MIS/IT/HR	MIS produces 'valid' but inaccurate data resulting in damage to reputation and/or loss of income	<p>Inaccurate data returns can result in loss of funding as the DfE and ESFA uses the returns to calculate funding entitlement particularly in relation to pupil premium and pupil numbers. For schools the data is also used in national tables and website to analyse the effectiveness and efficiency of school's performance and is used by Ofsted, the DfE and the ESFA as well as being publicly available. Inaccurate data can lead to a misstating of an academy's financial and operational performance.</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>Experienced administrators in place at all academies inputting data</li> <li>SLT at each academy reviews and signs off data submissions to the DfE/ ESFA</li> </ul>	<ul style="list-style-type: none"> <li>Trust-wide data systems (Vision-X/ Power BI/ FFT) being put in place to monitor and provide quality assurance</li> <li>Training sessions on key returns – Pupil and Workforce Census provided through SIMS support contract and Operations Director</li> <li>Operations Director to support all academies in the submission of the Workforce census</li> </ul>	2
FIS/MIS/IT/HR	Failure to ensure robust IT systems and system backups risking breakdown in systems, loss of data and curriculum resources posing serious threat to the	<p>IT systems are key to all academy operations. Any loss of systems will result in an impact on the delivery of education to pupils and students.</p> <p>Risk:4</p>	<ul style="list-style-type: none"> <li>Regular backups undertaken and disaster recovery systems tested</li> <li>UPS arrangements in place</li> <li>Key virtualised servers in place</li> <li>Annual server maintenance contracts with quick response call-outs in place</li> </ul>	<ul style="list-style-type: none"> <li>Review of IT support provision across the Trust with the aim of appointing a central Trust provider to assist with the strategic direction of the Trust IT capability.</li> </ul>	2



	teaching and learning of pupils.		Automatic notification of any failure		
FIS/MIS/IT/HR	Failure to ensure appropriate safeguards on internet and online systems potentially exposing pupils to online dangers/ unsuitable material	The use of internet technology and the spread of online systems and software has led to potential greater exposure to online dangers for pupils and students.  Risk:4	<ul style="list-style-type: none"> <li>Firewalls in place at each academy</li> <li>IT staff monitoring firewalls and ensuring all breaches are identified</li> <li>Use of industry standard video-conferencing facilities with built-in secure controls – Microsoft Teams, Google Meet and Zoom</li> <li>Each academy has appropriate protocols and policies in place</li> <li>Trust-wide and academy safeguarding policies in place</li> </ul>		2
Trust Assumes Sponsorship of University Academy Warrington (UAW)	Poor academic performance impacts on reputation of the Trust as a whole	The CAGs process provides a year at least without direct data accountability  Risk: 3	<ul style="list-style-type: none"> <li>Due diligence process</li> <li>School based systems secured an Ofsted "Good"</li> </ul>	<ul style="list-style-type: none"> <li>Commission external review</li> <li>Maximise the quality of the curriculum offer and organisation; ensure that there is no complacency over the absence of any historic data by establishing externally moderated assessment processes;</li> </ul>	2
Trust Assumes Sponsorship of University Academy Warrington (UAW)	Existing leadership of TCAT destabilised reducing capacity	The appointment of a full time CEO and the secondment of two headteachers provides capacity alongside some established Lead Practitioners  Risk: 3	<ul style="list-style-type: none"> <li>The secondment of two headteachers and creation of Lead practitioner capacity</li> </ul>	<ul style="list-style-type: none"> <li>Deploy Secondary Head/MG to provide leadership support and challenge from their exiting time; deploy Lead practitioners where relevant to support using their exiting time.</li> </ul>	2
Trust Assumes Sponsorship of University Academy Warrington (UAW)	Association with a poorly performing school jeopardises confidence and credibility in TCAT	Performance data suspended 2020-21 is an opportunity to exploit; Ofsted judgment of Good should be used to challenge preconceptions  Risk: 3	<ul style="list-style-type: none"> <li>Well publicised "Good" Ofsted judgement</li> <li>Good judgment references pathways</li> </ul>	<ul style="list-style-type: none"> <li>Promote curriculum pathways and quality; integrate with STEM Assured status; relaunch with the T qualifications as marking a new direction for the UTC</li> </ul>	2