



EBOR ACADEMY TRUST

Policy Number

40

Risk Assessment Policy

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1. Introduction and Purpose

This Risk Assessment Policy (the "Policy") defines the systematic procedures that Ebor Academy Trust (the "Trust") and its academies will use to identify, assess, evaluate, and control risks across all its operations. This document serves as the operational mechanism for the overarching Risk Management Policy.

1.1 Purpose:

1. To ensure compliance with all statutory and regulatory requirements, including the Education (Independent School Standards) Regulations 2014.
2. To provide a consistent, structured process for all staff and leadership teams to conduct risk assessments.
3. To enable informed decision-making by understanding the severity of threats and the effectiveness of existing and proposed controls.
4. To ensure the safety and well-being of pupils, staff, visitors, and the security of Trust assets.

1.2 Scope:

This Policy applies to all staff, volunteers, local governing bodies, and Trustees within the Trust and all its constituent academies. It covers all types of risks, including **Health & Safety, Financial, Operational, Strategic, Educational, People/HR and Reputational risks.**

2. The Risk Assessment Process (The Five Steps)

The Trust adopts a standard five-step process for conducting risk assessments:

Step 1: Identify Hazards and Risks

The assessment begins with a systematic identification of everything that could cause harm, loss, or prevent the achievement of objectives (**the hazard**) and the potential negative outcome (**the risk**).

- **Who is responsible?** Designated Risk Owners, Trust Executive team and School Heads
- **Key Focus Areas:** Premises/Buildings, Activities (trips, sports), Equipment, People (staffing, pupils), Procedures, and External Factors (economic, legal changes).
- **Method:** Reviewing accident records, consulting with staff, inspecting workplaces, and horizon scanning for strategic threats.

Step 2: Decide Who Might Be Harmed and How

This step considers not just employees, but all individuals who may be affected by the hazard, including pupils, visitors, contractors, and vulnerable groups (e.g., those with special educational needs, new or young workers).

Step 3: Evaluate the Risk (Score the Risk)

Risks are evaluated by calculating the inherent risk score based on the product of **Likelihood** and **Impact (Severity)**. The existing controls are *not* considered at this stage (this gives the **Inherent Risk** score).

$$\text{Inherent Risk Score} = \text{Likelihood Score} \times \text{Impact Score}$$

Scoring Matrix (5x5): The Trust uses a 5x5 matrix where both Likelihood and Impact are scored from 1 (lowest) to 5 (highest).

Likelihood Definitions:

- **Remote** - Will only occur in exceptional circumstances (e.g., once every 25+ years).
- **Unlikely** - Expected to occur in few circumstances (e.g., once every 5-25 years).
- **Possible** - Expected to occur in some circumstances (e.g., once every 1-5 years).
- **Probable** - Expected to occur in many circumstances (e.g., at least once a year).
- **Highly Probable** - Expected to occur frequently/continuously (e.g., daily/weekly).

Impact Definitions:

Assessment of Impact / Severity						
		Financial	Reputation	Media Attitude	Stakeholders	Health & Safety
1	Negligible/insignificant	£0 – £5,000	Contained within one school.	No adverse media or press reporting.	Affects only 1 group of stakeholders	Minimal impact, no or very minor injury to a small number of individuals
2	Minor	£5,000 – £30,000	Affects significant number of people within one school but with transient small impact	Negative article of which academy is mentioned / social media comments.	Affects more than 1 group of stakeholders	Minor injury with no lasting effect to a small number of individuals or more significant but not life changing injury such as broken arm affecting a single individual
3	Moderate	£30,000 - £250,000	Receives significant attention from within the organisation with potential cause disruption to a small number of stakeholders	Critical article on press or TV. Public criticism from industry body.	Affects 2- 3 groups of stakeholders	Significant but not life changing injury such as broken arm affecting a number of individuals.
4	Major	£250,000 - £750,000	Receives local press attention with immediate significant disruption but not sustained impact	Story in multiple social media platforms and / or national TV.	Affects 4-5 groups of stakeholders	Significant injury with life changing effect H&S notification could result in an investigation

5	Catastrophic/critical	Over £750,000	Receives national / international attention with potential for persisting impact to stakeholders/third parties	Governmental or comparable political repercussions. Loss of confidence by the public. Mass social media coverage.	Affects more than 5 groups of stakeholders	Potential to cause fatality. H&S breach causing serious fine, investigation and legal fees
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Step 4: Record Existing Controls and Determine Residual Risk

This step introduces the current measures already in place to reduce the risk (the **Controls**).

1. **Record Controls:** Document all existing control measures (e.g., security fencing, insurance policies, training, financial limits).
2. **Determine Residual Risk:** Re-score the risk by assessing the Likelihood and Impact *assuming* the controls are working effectively. This gives the **Residual Risk** score.
3. **Risk Evaluation:** Compare the Residual Risk score to the Trust's Risk Appetite and Tolerance:

Residual Risk Score (1-25)	Risk Level	Required Action
1-5	Very Low (Blue)	No action required
6-10	Low (Green)	Tolerable. Routine monitoring only.
12-15	Medium (Amber)	Manageable. Requires documented control measures and annual review.
16-25	High (Red)	Intolerable. Requires immediate, prioritised action and mandatory escalation to the Executive Team and Audit & Risk Committee. Plan to reduce to Medium or Low within a defined timeframe.

Step 5: Implement Further Actions and Review

If the Residual Risk remains High (Red) or Medium (Amber) and outside the agreed risk appetite, further actions (**Treatments**) must be implemented.

- **Treatments:** Document new controls/actions, assign a specific person (**Risk Owner**) responsible for implementation, and set a completion deadline.
- **Hierarchy of Control (for H&S):** Prioritise elimination, substitution, engineering controls, administrative controls, and finally, Personal Protective Equipment (PPE).
- **Review:** The risk must be periodically reviewed (at least annually, or immediately after an incident or major change in operations or legal requirements) to ensure controls remain effective and the residual risk is still accurate.

3. Roles and Responsibilities

Role	Responsibility
Board of Trustees	Sets the overall risk appetite and receives reports on all High (Red) risks and the Trust's strategic risk register.
Audit & Risk Committee	Oversees the effectiveness of the risk assessment process, reviews the aggregated Trust-level Risk Register, and assures the Board on the adequacy of controls.
Executive Team (CEO, Directors)	Owns the <i>Strategic Risk Register</i> . Ensures consistency across the Trust, aggregates school risk data, and monitors the implementation of corrective actions for all Medium and High risks.
School Heads/SLT	Owns the <i>School Operational Risks</i> . Ensures all necessary risk assessments are conducted, documented, and reviewed by appropriate staff within their school. They are responsible for implementing controls locally.
Risk Owners / Staff	Responsible for identifying risks within their area of work, conducting the risk assessment, implementing the agreed controls, and reporting any failures or emerging risks immediately to the Head/SLT.

4. Documentation and Reporting

- Risk Register:** All significant risks (Residual Score >12) must be documented in the relevant academy or Trust Risk Register, detailing the Inherent Risk, Controls, and Residual Risk.
- Health & Safety:** Specific H&S risk assessments (e.g., COSHH, Manual Handling, School Trips) must be conducted using designated templates and kept readily accessible.
- Annual Assurance:** The Executive Team must provide annual assurance to the Audit & Risk Committee that the risk assessment processes are being diligently followed across the entire Trust

Appendix - Risk Assessment Template

Appendix Risk Assessment		POTENTIAL HARM						LIKELIHOOD																											
	Ebor Academy Trust	Catastrophic (5)	Fatal injury		Highly Probable (5)	The event is extremely Foreseeable		More likely to occur																											
Academy		Major (4)	RIDDOR reportable Major Injuries/ Diseases/Dangerous Occurrence		Probable (4)	The event is very Foreseeable																													
TITLE OF RISK ASSESSMENT		Moderate (3)	Serious injury likely to result in a RIDDOR reportable 3 day injury		Possible (3)	The event is Foreseeable																													
DETAILS OF ACTIVITY			Minor (2)	Multiple minor injury		Unlikely (2)	The event is not very Foreseeable																												
RISK ASSESSMENT LOG REF		Insignificant (1)	Individual minor injuries		Remote (1)	The event is un-foreseeable		Less likely to occur																											
OTHER RISK ASSESSMENTS CROSS REFERENCED*		POTENTIAL HARM						LIKELIHOOD																											
WORKPLACE INSTRUCTION REF		Catastrophic (5)	5	10	15	20	25																												
DATE OF ASSESSMENT		Major (4)	4	8	12	16	20																												
MANAGER CARRYING OUT RISK ASSESSMENT		Moderate (3)	3	6	9	12	15																												
NAME OF EMPLOYEE CONSULTED		Minor (2)	2	4	6	8	10																												
LOCATION OF ACTIVITY		Insignificant (1)	1	2	3	4	5																												
			Remote (1)	Unlikely (2)	Possible (3)	Probable (4)	Highly Probable (5)																												
POTENTIAL HARM x LIKELIHOOD = RISK RATING eg: 3 x 3 = 9 (Moderate Potential Harm x Possible Likelihood)																																			
<table border="1"> <thead> <tr> <th rowspan="2">COLOUR</th> <th colspan="2">RISK RATING</th> <th rowspan="2">REQUIRED ACTION</th> </tr> <tr> <th>SCORE</th> <th>ASSESSMENT</th> </tr> </thead> <tbody> <tr> <td>Blue</td> <td>1 - 5</td> <td>Very Low</td> <td>No action required</td> </tr> <tr> <td>Green</td> <td>6 - 10</td> <td>Low</td> <td>No action required</td> </tr> <tr> <td>Yellow</td> <td>12 - 15</td> <td>Medium</td> <td>Action required</td> </tr> <tr> <td>Orange</td> <td>16 - 20</td> <td>High</td> <td>Immediate action required</td> </tr> <tr> <td>Red</td> <td>21 - 25</td> <td>CRITICAL</td> <td>WORK MUST STOP</td> </tr> </tbody> </table>										COLOUR	RISK RATING		REQUIRED ACTION	SCORE	ASSESSMENT	Blue	1 - 5	Very Low	No action required	Green	6 - 10	Low	No action required	Yellow	12 - 15	Medium	Action required	Orange	16 - 20	High	Immediate action required	Red	21 - 25	CRITICAL	WORK MUST STOP
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<p>Headteacher / Principal Please sign to confirm you understand the risks and are taking the precautions necessary to reduce the risk.</p> <table border="1"> <tr> <td>Signature</td> <td>Date</td> </tr> </table>										Signature	Date																								
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HAZARD AND RELATED ACTIVITIES	PERSONS AT RISK	EXISTING CONTROLS e.g. Personal Protective Equipment (PPE), Guards, Safe Systems of Work, Training, Instruction, Authorised Users, Competent Persons GIVE FULL DETAILS	POSSIBLE OUTCOME (using rating chart from Page 1)		RESIDUAL RISK RATING AFTER EXISTING CONTROLS (if 16 or more and no further controls practicable add to the risk register)	FURTHER CONTROLS REQUIRED? Please state name for ownership of risk.	RESIDUAL RISK RATING AFTER ADDITIONAL CONTROLS (if 16 or more add to the corporate risk register If 23+ STOP ACTIVITY)
			Potential Harm	Likelihood			

ACTION PLAN (insert additional rows if required)		TO BE ACTIONED BY			ACTION COMPLETE	
Further control measures identified to reduce risks so far as is reasonably practicable		POSITION	NAME	DATE	SIGNATURE	DATE
1						
2						
3						
4						
Confirm risk assessment findings and controls have been communicated to staff (and others who need to know)? Record the process for this in the comments box below.						
COMMENTS AND INFORMATION (Use this section to record how the risk assessment has been communicated and any other comments and information) i.e.: shared drive, email etc.						

SCHEDULED DATE OF NEXT REVIEW (MINIMUM ANNUALLY)	ARE THERE ANY CHANGES TO THE ACTIVITY SINCE THE LAST ASSESSMENT? CLARIFY THAT ALL CONTROLS ARE STILL IN PLACE & MONITORED ON A REGULAR BASIS.	SIGNATURE OF MANAGER	DATE OF REVIEW