Diocese of Gloucester Academies Trust

Risk Management Policy

Status & Review Cycle;	Non-statutory. Cycle flexible
Responsible group:	LGB following Trust guidance and model policy
Implementation date:	September 2017
Next Review Date:	September 2019

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Risk Management Policy

Policy Statement

1. The Trust is an organisation with a Christian foundation. The ethos, values and relationships of the Trust, and its associated academies, are central to witnessing to the value of the foundation. The aim of the Trust is to provide a safe, secure and healthy working and learning environment for staff, pupils, parents and other stakeholders. In order to achieve this, each academy will keep an up-to-date register of all risks.

Purpose & Scope

2. This Risk Assessment Policy forms part of the Trust's internal control and corporate governance arrangements.   This policy explains the Trust's underlying approach to risk management and documents the roles and responsibilities of the Trust, Local Governing Body, Principal and academy staff. It also outlines key aspects of the risk management process and identifies the main reporting procedures.

Background

3. The Education Independent School Standards Regulations 2014 (ISSR) introduce a new obligation under paragraph 3 (dealing with the welfare, health and safety of pupils) to ensure that the welfare of pupils in schools and academies is safeguarded and promoted by the drawing up and effective implementation of a written risk assessment policy. There is a requirement that where risk is identified, the academy takes the necessary steps to mitigate that risk.

Approach to Risk Management

4. In considering the risk register, all parties should consider:

    i.   Whether risk management continues to be linked to the achievement of the Trust's and individual academy's objectives;
    ii. Whether risk review procedures cover strategy, reputation, operation, compliance, finance and other risks as well as the welfare and safeguarding of children;
    iii. Whether risk assessment and risk-based internal controls are embedded in the Trust and academy's culture;
    iv. Whether the ability to respond to risk is affected by changes in the internal and external environment;
    v.   The effectiveness of monitoring system;
    vi. The extent and frequency of reports on internal control to the Trust Board and Local Governing Body and whether this is sufficient for the Trust to build up a cumulative assessment of the state of control and effectiveness of risk management;
    vii. The effectiveness of the public reporting processes;
    viii. The effectiveness of the overall approach and policy to risk management and whether changes or improvements to processes and procedures are necessary.

Trust Board Responsibilities

5. The Trust Board has an important role to play in setting the tone and influencing the culture of risk management within its academies. This includes determining what types of risk is acceptable and which are not and determining the appropriate risk appetite or level of exposure for individual academies.

6. It is the responsibility of the Trust to set the standards and expectations of staff with respect to conduct,

probity and managing risk.

7. The Trust is responsible for maintaining a sound system of internal control that supports the achievement of policies, aims and objectives of the Trust.

8. The Trust Board will review annually the Trust's policy and approach to risk management and approve changes or improvements to key elements of its processes and procedures.

9. The Trust Board, through its Executive Officers, is responsible for acting upon any risk which is escalated to the Trust Board.

10. The Trust Board is ultimately accountable for Risk Management in Trust academies, but the day-to-day assessment and management of risk is delegated to the Local Governing Body.

The Local Governing Body Responsibilities

11. The Local Governing Body has a significant role to play in the management of risk. Its role is to:

    i. Make recommendations to the Trust Board in relation to major decisions affecting the institution's risk profile or exposure;
    ii. Monitor the management of significant risks in the Academy;
    iii. Satisfy itself that the less fundamental risks are being actively managed, with the appropriate and effective controls in place;
    iv. Review and adopt a series of policies that underpin the internal control process, including Safeguarding and Health and Safety Policies;
    v. Ensure the completion of the attached Risk Register templates and review them carefully each year to identify risks, near misses and opportunities;
    vi. Report significant risks to the Trust's Chief Executive Officer (anything which is deemed to be a high risk);
    vii. Act upon the advice from the Trust and other bodies, including inspectors, in the management of risk.

The Principal's Responsibilities

12. On a day-to-day basis the Principal is responsible for championing and implementing good risk management practice within the Academy and notifying the Local Governing Body of any changes to the risk register. Including:

    i. Implementing policies on risk management and internal control;
    ii. Identifying and evaluating the fundamental risks faced by the Academy for consideration by the Local Governing Body;
    iii. Take positive, timely and corrective action to mitigate identified risks;
    iv. Providing adequate information in a timely manner to the Local Governing Body on the status of risks and controls;
    v. Assisting the Local Governing Body to undertake an annual review of risk management and the effectiveness of the system of internal control;
    vi. Embedding Risk Management as part of the system of internal control.

All Staff Responsibilities

13. All staff are expected to familiarise themselves with the policy and relevant risk registers and procedures. All staff have a responsibility to:
    I. Follow all related policies and working practices and procedures;

II.	Complete relevant risk assessments, including for all Academy trips, as required;
III.	Report any accidents or identified risks;
IV.	Raise awareness of risks and proactively mitigating risk and report concerns to the Principal.

Completing Academy Risk Registers

14. In completing a risk register both the **likelihood** and **severity** of the risk will be assessed. The risk register will identify the academies response to the risk using the following responses:

TRANSFER	This may be done by conventional insurance or by paying a third party to take the risk in another way.

TOLERATE	Exposure to risk may be tolerable without any further action. Alternatively, it may not be possible to do anything about the risk without a disproportionate cost.

TREAT	This may not obviate the risk – it is more likely that the aim will be to contain it to an acceptable level.

TERMINATE This response is used when the only way to contain a risk to acceptable levels is to discontinue the activity that gives rise to the risk (*not possible if there is a legal duty to engage in the activity*).

15. When assessing the likelihood and severity of any risk which has Health and Safety implications, the academy will use the following criteria to support in the assessment:

Likelihood (L'hood)	Severity
1. Very unlikely (5 years or more)	1. Very minor injury (minor cuts/grazes. Very limited property damage/loss
2. Unlikely (1-5 years)	2. More serious injury <7 days off work/incapacity (sprains, more serious cuts, bruising. Injury needing medical attention. Slight property damage/loss.
3. Likely (6-12 months)	3. RIDDOR reportable (to HSE) injury/sickness (except fatality). More than 7 days off school. Significant property damage/loss.
4. Very likely (1-6 months)	4. RIDDOR reportable (to HSE) injury/sickness affecting more than one person (excluding fatality). Major property damage/loss.
5. Certain (more than 1 per month)	5. Single or multiple staff fatality. Catastrophic property damage/loss.

16. The following risk ranking matrices will be used:

1- 5	Low Risk
6-15	Medium Risk
16-25	High Risk

	1	2	3	4	5	Severity
1	1	2	3	4	5	
2	2	4	6	8	10	
3	3	6	9	12	15	
4	4	8	12	16	20	
5	5	10	15	20	25	

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Template Documentation

17. Appendix 1 provides a generic risk register template for the academy

18. Appendix 2 provides a template for a work activity risk assessment

Related Policies

Code of Conduct for Staff
Finance Policy
Health and Safety Policy
Medical and First Aid Policy
Safeguarding Policy
SEND Policy

Appendix 1 provides a generic Risk Register Template for the academy

RISK REGISTER

■	High Risk, prompt action, monitor at least monthly	16 & above
■	Medium Risk, contingency plan, monitor at least termly	6-15
■	Low Risk monitor between six to twelve months	1-5

Risk Description	Risk Description Specific	Net Risk Likelihood	Net Risk Impact	Risk Level	Response (transfer, tolerate, treat or terminate)	Control procedures / Mitigating Action	Owner	Risk Category	Review Dates
School Performance and Standards									
Welfare and safety of pupils									
Health and Safety									

Responsible Dept: Trust
Implementation Date: September 2017
Policy Review Date: September2019

Financial Management and Budget									
Buildings and Grounds									
Human Resources									

Governance									
Other									

Appendix 2 Risk Assessment Form

WORK ACTIVITY RISK ASSESSMENT

Task being undertaken:
Population/staff affected:
Any vulnerable persons
Groups particularly at risk:
Date of assessment:
Review date:

Activity	Potential Hazards	Existing Control Measures	Degree of Risk With Existing Control Measures			Additional Action Required/Comment	Degree of Risk With Additional Control Measures		
			L'hood	Severity	Total		L'hood	Severity	Total

Assessor's details					
Name:		Job title:		Signature and date:	
Manager's acceptance					
Manager's name:		Job title:		Signature and date:	