

Waterthorpe
Nursery Infant school



Risk Management Policy

December 2015

This is a Local Authority adopted Policy

Approved by: Steering Committee

Date: December 2015

Next Review Date: Autumn 2018

Introduction

Risk refers to uncertainties surrounding future events or activities and their effects on the achievement of our schools objectives, the purpose of this strategy document is to clearly define roles & responsibilities for the management of risk to ensure that we reduce the likelihood and or impact of risks on the achievement of our objectives and to maximise the safety of our staff, students and assets. Risk can manifest its self in many forms, which may include; the risk of criminal acts, failure by the school in its duty of care to staff, students or visitors, risks affecting the schools finances, reputation or performance.

Our strategy will take in to account guidance provided within the Risk Management Framework Guide & Risk Register Toolkit for Schools, dated June 2013 and is intended to enhance our schools risk awareness and commitment to proactively managing risk.

The strategy also explains how the school will approach the identification, prioritisation and management of risk, the documents we will use to support this process, the roles and responsibilities of the governing body, the senior management team and other key stakeholders and the reporting processes we will follow.

In addition, it describes the process the governing body will use to evaluate the effectiveness of the school's internal control procedures.

Underlying approach to Risk Management

The following key principles outline the school's approach to risk management and internal control:

- The Governing Body has responsibility for approving the schools policies and the overall approach to risk management within the school.
- School Management and Governors will only undertake activities and projects having fully examined and evaluated the potential risks involved and gained assurances that the risks involved are outweighed by the gains achieved in undertaking such an activity or project.
- An open, receptive and responsive approach to solving risk problems is adopted by the Governing Body.
- The Head teacher and the Senior Management Team supports, advises and implements policies approved by the Governing Body;
- The school makes conservative and prudent recognition and disclosure of the financial, non-financial and reputational implications of risk in the decisions it makes.
- All Staff are responsible for assisting in the identification of risk and encouraging good risk management practices within their areas of responsibility.
- Key risk indicators will be identified, recorded and closely monitored on a regular basis using the risk register toolkit and any other indicators made available.

Aims

- To identify & communicate all significant risks, and by proactive management of these risks protect the school and its stakeholders from the negative consequences of such risk, in order to provide a safe learning environment.

Objectives

- To ensure that a whole school approach to the management of risk is developed & promoted and that members of the teaching and non-teaching staff have an awareness of risk management issues across the school.
- To ensure governors fully understand their role in the management of school risk and provide a 'critical friend's' perspective on the schools progress in its management.
- To encourage pupils, as a normal part of the curriculum, to understand the issue of risk and address risk management issues as part of the school's ethos.
- To encourage the wider school community to play its part in the risk management of the school.
- To involve the local Fire Safety Officer, Crime Prevention Officer, CYPD's Health & Safety Team & Risk Management Service and other relevant local organisations in the work of the school.

Role of the Governing Body

The Governing Body has a fundamental role to play in the management of the school, its role is to:

- a) Set the tone, influence and culture of risk management within the school. This includes:
 - Determining whether the school is 'risk taking' or 'risk adverse' as a whole or on any relevant individual issue;
 - Determining what types or risk and/or what level of risks are acceptable and which are not;
 - Setting the standards and expectation of staff with respect to conduct and probity.
- b) Determine the appropriate risk appetite or level or exposure for the school.
- c) Approve major decisions affecting the school's risk profile, exposure to risk or changes to the school risk mitigation strategy.
- d) Through regular Head teacher reports and or review of the school risk register, monitor the management of significant identified risks to reduce the likelihood of unwelcome surprises.
- e) Satisfy itself that less significant risks are being actively managed through existing controls, policies and procedures.
- f) Annually review the school's approach to risk management and approve changes or improvements to key elements of its processes and procedures.

Role of the Core Leadership Team

Key roles of the Core Leadership Team are to:

- a) Implement policies on risk management and internal control.
- b) Co-ordinate the identification, prioritisation, evaluation, recording/review of risks faced by the school, for consideration by the Governing Body.
- c) Provide adequate information in a timely manner to the Governing Body and its committees on the status of risk and controls.

- d) Undertake a termly review of identified risks and discuss new and emerging risks, updating the risk register as appropriate, as part of minuted Core Leadership Meetings.
- e) Provide an annual report of the overall effectiveness of the management of risk and any systems of internal control to the Governing Body.

Risk Management as a part of Internal Control

Risk management is one of many management tools the school will use to confirm that systems within the school are operating in such a way as to minimise risk. Such an approach to the systems of management within our school will facilitate an effective and efficient operation, enabling the school to respond to a variety of operational, reputational, financial and commercial risks. These elements include:

Policies and Procedures

Attached to significant risks are a series of policies and procedures that underpin the internal control process and minimise exposure to risk. The policies are set by the Governing Body and implemented and communicated by senior management to staff. Written procedures, training and checklists support these policies where appropriate.

Regular Reporting

Regular reporting is designed to monitor key risks and their controls. Decisions to rectify problems are made and documented at regular meetings of the Core Leadership Team and the Governing Body if appropriate.

The improvement/development planning and budgeting process is used to set objectives, agree action plans and allocate resources. Progress towards meeting improvement/development plan objectives is monitored regularly.

High Level Risk Register

The risk management framework and risk register toolkit will be used by the Core Leadership Team in order to help facilitate the proactive identification, assessment, prioritisation, management and on-going monitoring of risks significant to the school. The risk register document is formally appraised & presented to Governors annually but risks are reviewed on an on-going basis and any emerging risks are added as required, and improvement actions are monitored & recorded on an on-going basis.

Steering Committee

The Steering Committee is required to report to the Governing Body on internal controls, the management of risk in school and alert governors to any emerging issues. In addition, the committee oversees health & safety and any reports generated with regard to risk are reviewed by the governors of this committee. The committee is, therefore, well-placed to provide advice to the Governing Body on the effectiveness of the internal control system, including the school's system for the management of risk.

Third Party Reports

From time to time, as well as reports from the Council's Internal Audit, Health & Safety and Risk Management Services the school may use external consultants to comment on school activities and the associated risks. All external reports will be shared with the appropriate governing body committee and will be used in a positive way to assist in the management of risk and gain assurances on the reliability of the internal control systems.

Annual Review of Effectiveness

The Governing Body is responsible for reviewing the effectiveness of all internal control mechanisms within the school, based on information provided by the Core Leadership Team. Its approach is outlined below.

For each significant risk identified, the Governing Body will:

- a) Review the previous year's information and examine the school's track record on risk management and internal control;
- b) Consider the internal and external risk profile of the coming year and consider if current risk management and internal control arrangements are likely to be effective.

In making its decisions the Governing Body will consider the following aspects:

- a) Control Environment.
 - The school's objectives and its financial and non-financial targets;
 - Organisational structure and calibre of the Core Leadership Team;
 - Culture, approach and resources with respect to the management of risk;
 - Delegation of authority;
 - Public probity, reporting and reputational standing.
- b) On-going Identification and Evaluation of Significant Risks:
 - Timely identification, assessment, recording and monitoring of significant risks;
 - Prioritisation of these risks and the appropriate allocation of resources to address areas of high exposure.
- c) Information and Communication:
 - Quality and timeliness of information on significant risks;
 - Time it takes for control breakdowns to be recognised or new risks to be identified.
- d) Monitoring and Corrective Action:
 - Ability of the school to learn from its problems or mistakes and make the appropriate improvements;
 - Commitment and speed with which corrective actions are implemented.

The Core Leadership Team will prepare a report of its review of the effectiveness of the internal control system annually for consideration by the Governing Body.

In addition

In addition we will:

- Use PHSE lessons to raise and discuss personal safety, crime prevention and fire prevention with our pupils
- Use staff meetings and training days to discuss health, safety and risk management issues with staff and volunteers
- Invite professionals to school to talk about fire safety, crime prevention, personal safety, and other risk management issues.
- Regularly review insurance provision/arrangements for activities we undertake or that are undertaken by other parties who use our school.
- Regularly review our activities to ensure that risk assessments are relevant, up to date and communicated appropriately.

Conclusion

Within this strategy statement we have set out our approach to the proactive management of risk within our school, whilst we acknowledge that risk cannot be avoided, by implementing our strategy for its management we will methodically address the risks associated with our activities to ensure we limit their impact operationally, financially or reputationally on our school.

This strategy will be reviewed as part of the schools three year policy review cycle.

Original Approval Date: December 2015

Next Review Date: Autumn 2018

Equality Impact Assessment Template

Name of policy or project being assessed?	Date
Risk Management Policy	1/9/15

Priority Level	
High	
Medium	x
Low	

Lead Officer: Helen Stokes
Members of the assessment team: Helen Stokes & Suzanne Marriott
Others involved in the assessment (peer review/external challenge): Steering Committee members

<p>What are the aims of the policy or project?</p> <ul style="list-style-type: none"> To identify & communicate all significant risks, and by proactive management of these risks protect the school and it's stakeholders from the negative consequences of such risk, in order to provide a safe learning environment.
<p>Who is the intended customer/service user of this project or policy? Staff, pupils and all visitors to the site</p>
<p>What are the desired outcomes from this project or policy? To ensure that risks are managed effectively</p>
<p>List any other key policies, procedures, projects or strategies that this policy/project has implications on: Health and Safety policy</p>

<p><i>What are the racial, disability and gender equality implications of the policy or project?</i></p> <p>None</p>

<p>Does the policy or project have any significant positive impact for:</p> <ul style="list-style-type: none"> ▪ Different racial groups ▪ Disabled persons ▪ Men and women ▪ Boys and girls 	<p>NO</p>
<p>Does the policy or project have any significant adverse impact for:</p> <ul style="list-style-type: none"> ▪ Different racial groups ▪ Disabled persons ▪ Men and women ▪ Boys and girls 	<p>No</p>
<p>Do you have any evidence?</p>	
<p>Is there any way that you could reduce or eliminate the adverse impact or increase positive impact?</p>	

Action to take :			
If you have indicated there is a negative impact, can it be justified?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NO
If you have indicated there is a negative impact and it cannot be justified, is it discrimination? N/A	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NO
If you have answered YES, please list all the changes that you have made to eliminate this discrimination:			
Please state how will you monitor the policy or project?: Policy review (by staff/governors by dates on policy)			

Signed (Person completing the form): 	Date:
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