

THE  
**COMPASS**  
PARTNERSHIP OF SCHOOLS

Risk Management Policy



## Purpose and Scope

Risk is an event or cause leading to uncertainty in the outcome of the Trust's operations; the possibility that an action or event will adversely (or beneficially) affect the Trust's ability to achieve a planned objective. The identification, assessment, monitoring, management and reporting of risks are the responsibility of every member of staff and as a consequence of managing identified risks the following will occur:

- The planned objectives are more likely to be achieved
- Adverse risks are less likely to happen
- The impact of adverse risks which are realised is reduced

Risks represent opportunities as well as threats. Daily we manage risk without describing this as **"risk management"**. We consider what might go wrong and take steps to reduce the impact if things do go wrong. However, the Trust cannot rely on informal processes alone. Risk management is an essential component of our corporate management. Also, as a public body, we must provide assurance to the DfE that we are managing risk correctly. We do need to formally identify corporate risks and mitigating actions.

This policy explains The Compass Partnership's underlying approach to risk management, documents the roles and responsibilities of the Board of Trustees, the Risk and Audit Committee and other key parties. It also outlines key aspects of the risk management process, and identifies the main reporting procedures. In addition, it describes the process the Board of Trustees will use to evaluate the effectiveness of the Trust's internal control procedures. The Policy is supported by a hierarchy of other policies and procedures which give guidance for staff and outline further sources of guidance or information.

This policy and related procedures applies to The Compass Partnership and all of its Academies.

This policy lays out the general approach to risk. Policies and procedures relating to the following risk areas can be found in other relevant Trust policies.

### Policy Risk Area

3. Student Welfare Student safety including safeguarding
7. Finance Policy Financial risks including internal and external audit
8. Information Policy Data protection

## Corporate Risk Policy

The Compass Partnership of Schools will adopt, wherever possible, recommended best practice in the identification, evaluation and cost effective control of business risks, to ensure, as far as possible, that they are eliminated or reduced to a level that is acceptable to the Board of the Compass Partnership. Furthermore, the Trust recognises and accepts its responsibilities for the welfare of all staff, pupils within the Trust and for visitors and contractors working on or visiting its premises or activities and the impact its activities may have on third parties.

The Objectives of this Policy are:

- To integrate risk management into the culture of the Trust.
- To continually raise awareness amongst all employees of the need for the management of business risk.
- To manage risk in accordance with recommended best practice.
- To ensure compliance with legal requirements as a minimum standard.
- To provide a framework for risk management.
- To ensure responsibilities for risk management are clearly understood
- To continue to respond to changing social, environmental and legislative requirements.
- To prevent injury and damage wherever possible and so reduce the cost of risk.

## Identifying Risks

Risk will be identified at three levels as part of the annual planning process:

- School leadership and LGB Level
- Audit and Risk Committee and Executive Leadership Team level
- Trustee Level

All three levels will enter and evaluate risk within areas defined in the Trust's **Risk Register**. These will include:

- **Personnel related** (e.g. key staff absence, strike action, pandemics)
- **Finance related** (e.g. theft, fraud)
- **IT related** (e.g. major systems failure, cyber-attack, data protection)
- **Facilities related** (e.g. Fuel supply, utilities failure, fire, intruder)
- **Major incidents** (e.g. LA emergency, terrorism)
- **Health & Safety** (Death or serious injury on premises or school visit, legionella, asbestos)
- **Pupil achievement**
- **Reputation** (e.g. incidents involving pupils, School or community)

## **School Specific Risks**

School leadership teams will identify any School specific risks and add these to the Trust's Risk Register annually through the Audit and Risk Committee.

The risk register will identify the mitigation or avoidance strategies to be used and the owner of each risk.

The register will be updated during the year if significant new risks are identified.

Each School will have identified a member of the Senior leadership team who is the Risk Manager and these will contribute directly to the Audit and Risk Committee. The Senior Executive Headteacher retains overall responsibility for Trust Risks.

## **Managing Risks**

Responsibility for each risk is delegated to a Risk Manager (or Risk Owner) as identified in the appropriate register. For each risk under their purview, the Risk Manager will:

- Ensure that appropriate mitigation and avoidance strategies are identified and implemented
- Implement the Trust's agreed procedures or, where these do not exist, create an appropriate procedure and inform the Audit and Risk Committee
- Monitor the risk to ensure that avoidance strategies are working
- React to incidents related to the risk including maintenance of records to assist in the management of business risk
- Ensure that all relevant staff are aware of the risk, the avoidance or mitigation strategy and the relevant procedures

The following groups will monitor the implementation of risk mitigation and avoidance strategies and the existence of appropriate procedures:

Risk Register Monitored by:

- Board of Trustees
- Executive Leadership Team
- Audit and Risk Committee
- School LGBs

## **Business Continuity Planning**

Where a risk might impact on the continuing operation of Trust or its Academies, the actions to be put in place should the risk occur will be recorded in the Business Continuity Plan. The maintenance of the Business Continuity Plan across all Trust Academies will be the responsibility of the Head of Finance and Capital Assets.

## Critical Incidents

A number of risks might result in a critical incident. A procedure for handling Critical Incidents will be maintained and will include, for each School, key responsibilities and contact details (**Critical Incident Management plan**)

## Specific Risk Policies

### Health & Safety Policy

It is the policy of the Trust that all reasonable and practicable measures will be taken to safeguard the health, safety and welfare of all employees, pupils and all other persons from hazards to health and safety arising out of Trust work activities. This is in accordance with the requirements of the **Health and Safety at Work Act 1974** and the **Management of Health and safety at Work Regulations 1999**. This will include provision of all necessary finances, time and any other resources to meet our legal obligations.

Within the Trust's Policy on Health and Safety it is the function of management to provide the right circumstances under which work may be carried out safely. In order to facilitate this The Compass Partnership will:

- Appoint sufficient competent persons to ensure health and safety at work.
- Provide and maintain places of work that are safe and free from risks to health.
- Provide and maintain plant, equipment and procedures that are safe and without risks to health.
- Ensure safety and absence of risk in connection with the handling, operation, storage, transport and use of articles, equipment, machines or substances.
- Provide information, instruction, training and supervision as is necessary to ensure the competence of its staff in respect of their health and safety at work

All staff and children have a duty to comply with the relevant legislation and to co-operate in efforts made to create safe working conditions. In particular they must:

- Use properly the means and facilities provided to ensure health and safety at work
- Not misuse or interfere with anything provided in the interests of health, safety and welfare.
- Not take any action that could endanger themselves or others.
- Use equipment, chemicals and machinery in accordance with training and instructions given
- Inform the appropriate Health and Safety Officer immediately of any situation or matter that represents a serious and immediate danger or a shortcoming in safety precautions

The Trust's Policy on Health and Safety also contains details of the chain of responsibility and these are contained in the organisation section. Responsibilities for all levels of employees are to be explained in their induction training.

Information on the instructions or compliance with applicable regulations and codes of practice or specific hazards are contained in arrangements section of the Health and Safety document. Training will be given to specific employees on how to meet the responsibilities placed on them.

The Health and Safety Policy will be reviewed and procedures will be audited as and when required and at regular intervals not exceeding 12 months. An audit will be completed by a competent body external to the Trust in order to provide an objective view of the state of health and safety arrangements. A written summary of the annual audit findings will be submitted and copies given to respective safety officers, directors with responsibility. An annual report containing a summary of main findings will be submitted to the board annually in a health and safety report.

### **Educational Visits Policy**

The policy is to support the enrichment of pupils' education through visits (one day) and journeys (involving an overnight stay) to locations and places of interest outside school. These programmes include course components, which are required by Examination Boards; visits/journeys with other clear links to the curriculum; visits/journeys abroad; sporting fixtures; adventurous activities and recreational activities.

All visits and journeys will be well planned; have particular regard to equal opportunities for the inclusion of all pupils, health and safety requirements with detailed risk assessments being carried out; be led by employees with appropriate experience and training; and approved in advance in accordance with the agreed procedures contained in this policy.

All visits must be planned, approved and delivered using the procedures under this policy. Organisers should ensure access to competent advice and guidance and, where required, ensure appropriate training has been carried out.

Educational visits will be conducted using the following principles:

Under the Health and Safety at Work etc. Act 1974 employers (in this case The Compass Partnership (a Multi School Trust) are responsible for the health, safety and welfare at work of their employees. Employees are also under a duty to ensure, so far as is reasonably practicable, the health and safety of anyone also on the premises or anyone who may be affected by their activities. This includes participants in off-site visits

The Management of Health and Safety at Work Regulations 1999, made under the 1974 Act, require employers to:

- assess the risk of activities (see Risk Assessment, section 2, paragraph 8, page 21); - introduce measures to control those risks; and - tell their employees about these measures.

Under Health and Safety legislation employees must:

- take reasonable care of their own and others' health and safety; co-operate with their employers over safety matters; carry out activities in accordance with training and instruction; inform the employer of any serious risks.

Staff members and other adults in charge of children also have a common law duty to act as any reasonably prudent parent would do in the same circumstances.

School journeys and educational visits are an extension of school activities. Teachers and, by extension, other adults responsible for supervising children taking part in journeys and visits must be expected to act towards the pupils as a careful parent would towards his or her pupils in similar circumstances. It is a professional duty, included in the School Teachers' Pay and Conditions Document, for a teacher to maintain the good order and discipline of pupils and safeguard their health and safety, not only in school, but also when they are taking a party in authorised activities elsewhere. In the case of a journey, they are responsible for the pupils in their care 24 hours a day, seven days a week. The responsibility is not lessened because the duty is undertaken voluntarily. In all cases where the teacher has accepted the care of the student, he or she must take responsible precautions for their safety. School rules should still be applied to ensure the discipline and control of the pupils.

## **Procedures & Supporting Documents**

Significant supporting publications in the Trust's overall approach to risk are as follows:

- Risk Register and Mitigations Document
- School Risk Registers
- Business Continuity & Critical Incidents Plan
- Health & Safety Policy, Procedures and Manuals
- Educational Visits Policy and Procedures
- Risk Management Policy

## **Responsibility**

### **Trustee Board**

The Compass Partnership's Board of Trustees approves and reviews this policy and delegate responsibilities as appropriate. The Board also set the tone and influence the culture of risk management. The Board determines the level of risk that the Trust should be taking generally and on specific issues brought to them to review.

The Board of Trustees identify key directors that have responsibility for health and safety within the Trust; this is normally the Senior Executive Headteacher, Executive Headteachers, School Headteachers and Finance Director, Director of Operations.

### **Senior Executive Headteacher**

- Acts as the key decision maker for risk and health and safety responsibilities on behalf of the Trust and the Board
- Ensures that the H&S Procedures are up to date and is implemented across the Trust.
- Determines what types of risk are acceptable and which are not, and setting the standards and expectations of staff with respect to conduct and probity
- Approves major decisions affecting the Trust's risk exposure

### **Audit and Risk Committee**

- Identifies and evaluates the significant risks faced by the Trust for consideration by the Board of Trustees in the "Key Risks" as a whole as part of annual planning
- Monitors the "Key Risks" Register and ensure that appropriate procedures are in place
- Takes overall responsibility for the administration and implementation of the risk management process
- Monitors the management of significant risks to reduce the likelihood of unwelcome surprises or impact
- Satisfies themselves that the less significant risks are being actively managed, with the appropriate controls in place and working effectively
- Annually reviews the Trust's approach to risk management and approves changes or improvements to key elements of its processes and procedures

### **School Executive Heads and Headteachers**

- Identify a senior leader with responsibility for risk management
- Identify and evaluate the significant risks faced by the School for consideration by the Audit and Risk Committee
- Ensure that School Specific Health and Safety Policies are in place for their School.
- Monitor the "Key Risks" Register and ensure that appropriate procedures are in place at an School Level
- Take overall responsibility for the administration and implementation of the risk management process at an School level
- Monitor the management of significant risks to reduce the likelihood of unwelcome surprises or impact
- Satisfy themselves that the less significant risks are being actively managed, with the appropriate controls in place and working effectively at an School level



- Annually review the individual School's approach to risk management and approve changes or improvements to key elements of its processes and procedures

#### **Director of Operations and Partnerships**

- Create and maintain the Business Continuity Plan
- Compile the annual Risk Report

#### **Risk Managers (As nominated on the risk register)**

- Ensure appropriate procedures are in place
- Monitor risks within their specified area, and manage the mitigations and contingency plans.
- Report on the above as appropriate

#### **School Premises Managers**

- Advise on H&S policies and procedures and ensure that policies and procedures are implemented by site management staff.
- Manage school level H&S policies and procedures, act as lead for this **work and advise Headteacher accordingly.**

#### **All Staff**

- Identify risks through their line managers and directly to Risk Managers
- Follow all related procedures to minimise risks and mitigate them should they occur

#### **Monitoring Outcomes & Review**

The Senior Executive Headteacher will present an annual report on Risk Management to the Board.

The report will include a review of how this policy and procedures are operating including a summary of all incidents and an analysis of any major incidents that have arisen.

*Key indicators of the success of this policy are:*

- Number and severity of incidents (Accident rate – average number of accidents annually and number of RIDDOR reportable accidents)
- Existence and effectiveness of Trust procedures to handle incidents
- Actions taken to improve Trust operations to remove or mitigate future incidents

#### **The policy and related procedures will be reviewed:**

- At least every 3 years in totality
- Following each incident to review the effectiveness of specific procedures

- When there are significant changes in personnel, equipment and practices
- At the annual review of Compass Partnership risks to ensure appropriate procedures are in place for each risk identified

DRAFT