



Risk Management Policy

Ferndale Primary School
Date written: 2017, review 2020,
2023, 2026
Next review 2029

Rationale

This risk management policy forms part of the school's internal control and corporate governance arrangements.

The policy explains the school's underlying approach to risk management, documents, the roles and responsibilities of the Governors, the Leadership Team 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 School Governors will use to evaluate the effectiveness of the school's internal control procedures.

Underlying approach to risk management

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

- The Leadership Team supports, advises and implements policies approved by the School Governors.
- The Governors have responsibility for overseeing risk management within the School as a whole.
- The School makes prudent recognition and disclosure of the financial and non-financial implications of risks.
- Teachers are responsible for the continuous encouragement of good risk management practice within their area.
- An open and receptive approach to solving risk problems is adopted by the Governors.
- Key risk indicators will be identified and closely monitored on a regular basis.

Role of the School Governors/Headteacher

The School Governors' role in the management of risk is to:

- Set the tone and influence the culture of risk management within the school, including:
 - a) Determining whether the school is "risk taking" or "risk averse" as a whole or on any relevant issue
 - b) Determining what types of risk are acceptable and which are not.
 - c) Setting the standards and expectations of staff with respect to conduct and probity.
 - Approve major decisions affecting the school's risk profile or exposure.
 - Monitor the management of significant risks to reduce the likelihood of unwelcome surprises or impact.
 - Satisfy itself that the less significant risks are being actively managed, with the appropriate controls in place and working effectively.
 - 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 Leadership Team

Key roles of the Leadership Team are to:

- Implement policies on risk management and internal control.
- Identify and evaluate the significant risks faced by the school for consideration by the Governing Body.
- Provide adequate information in a timely manner to the Board of Governors and its committees on the status of risks and controls.

Risk management as part of the system of internal control

The system of internal control incorporates risk management. This system encompasses a number of elements that together facilitate an effective and efficient operation, enabling the school to respond to a variety of operational, financial, and commercial risks. These elements include:

- **Policies and procedures**

Attached to significant risks are a series of policies that underpin the internal control process. The policies are set by the Governors and implemented and communicated by the Leadership Team to the school staff. Written procedures support the policies where appropriate.

- **Termly reporting**

Comprehensive termly reporting is designed to monitor key risks and their controls. Decisions to rectify problems are made at regular meetings of the Leadership Team and the Board of Governors if appropriate. These may include at different points of the year: financial reports, safety reports, safeguarding reports, staffing, recruitment, data, GDPR, attendance, etc

- **Business planning and budgeting**

The business planning and budgeting process is used to set objectives, agree action plans, and allocate resources. Progress towards meeting the Strategic Plan objectives will be monitored termly.

- **Risk management framework**

The framework is compiled by the Leadership Team and helps to facilitate the identification, assessment and ongoing monitoring of risks significant to the school. The document is formally appraised termly, improvement actions and risk indicators are monitored, and emerging risks are added as required.

- **Third party reports**

From time to time, the use of external consultants will be necessary in areas such as health and safety and human resources. The use of specialist third parties for consulting and reporting can increase the reliability of the internal control system.

- **Curriculum Leaders**

Must risk assess equipment/resources/activities for subject, monitored by Leaders and reported to Headteacher.

- **Class teachers**

- Must risk assess equipment/resources/activities/trips and visits. Monitored by leads and reported to the Headteacher.

Risk assessment paperwork is in place for the whole school. All off-site activities require an off-site form to be signed by a senior member of staff, before an activity is undertaken.

Risk assessments are to be collated in a central electronic file for general information.

Behaviour risk assessments form part of the Behaviour Management documentation and are carried out on all relevant pupils. These are kept centrally by the Behaviour lead/SENCO, with copies attached to any relevant behaviour plans.

Risk assessments on staff in post awaiting DBS clearance will be kept centrally by the School Business Manager. Staff awaiting DBS clearance will have had a Children's Barred List Check and undergone a DBS Risk Assessment.

Staff who are awaiting clearance will have a risk assessment which will become void upon receipt of a satisfactory DBS clearance.

Staff awaiting clearance may not be left on their own in charge of a pupil or pupils, undertake any activity which places them alone with a pupil or pupils, or carry out any personal hygiene tasks or activities that involve invasive physical practises. (These conditions are to be found in the Child Protection/Safeguarding Policy and are shared with all staff).

Annual review of effectiveness

The Board of Governors is responsible for reviewing the effectiveness of internal control of the school, based on information provided by the Leadership Team. Its approach is outlined below.

For each significant risk identified, the Board of Governors will:

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

In making its decision the Board of Governors will consider the following aspects:

Control environment:

- The school's objectives and its financial and non-financial targets.
- Organisational structure and calibre of the Leadership Team
- Culture, approach, and resources with respect to the management of risk.
- Delegation of authority.
- Public reporting.

On-going identification and evaluation of significant risks:

- Timely identification and assessment of significant risks.
- Prioritisation of risks and the allocation of resources to address areas of high exposure.

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.

Monitoring and corrective action

- Ability of the School to learn from its problems.
- The commitment and responsiveness with which corrective actions are implemented.

The Leadership Team will prepare a report of its review of the effectiveness of the internal control system for consideration of the Board of Governors upon request.

This policy should be read in conjunction with the following policies and documents:

- Health and Safety Policy
- Behaviour Policy
- Physical Restraint Policy
- Personnel Policies as per LA guidance
- The strategic improvement plan
- LA Guidelines on Off-Site Activities.

Risk Register – used as a guide for plans and policies, not as checklist

Risk		Impact	Likelihood	Risk	Any Changes (Y/N)
1	Fail to establish and articulate the school’s short, medium and long-term objectives.				
2	School culture is not aligned to that of the Governors’ vision				
3	Fail to prepare for and instigate a change plan.				
4	The GB fails to effectively hold the Headteacher and senior managers to account.				
5	Fail to improve learning and personal outcomes for students				
6	Fail to manage the performance of the school.				
7	Fail to continuously develop leadership skills.				
8	Fail to effectively promote the school in the community.				
9	Lack of effective internal communication.				
10	Lack of effective communication with external stakeholders, particularly parents.				
11	Fail to develop and maintain short and medium term financial plans.				
12	Fail to operate within budget and deliver outcomes.				
13	Financial fraud or error.				
14	Fail to maximise commercial opportunities.				
15	Fail to recruit sufficient and capable staff.				
16	Fail to adequately vet new staff (DBS checks, qualification checks).				
17	Fail to retain and develop staff.				
18	Fail to monitor and appraise staff performance.				
19	Fail to adequately succession plan for key staff.				
20	Estates and facilities are not fit for purpose.				
21	Fail to effectively respond to a business continuity event.				
22	Fail to ensure buildings and facilities are safe and secure.				
23	Fail to manage the safety of students and staff off-site.				
24	Fail to manage data confidentiality.				
25	Fail to effectively safeguard students (prevention or suspicion of incident).				
26	Safeguarding reports are not handled with appropriate due care.				
27	Fail to ensure quality of teaching.				
28	Fail to support students to make appropriate year on year progress.				
29	Failure of a Key Supplier				

Key to Risk Indicators

1	Very low impact or likelihood of risk	Risk calculated as: Impact X Likelihood = Risk
2	Low impact or likelihood of risk	
3	Moderate impact or likelihood of risk	
4	High impact or likelihood of risk	
5	Extreme impact or likelihood of risk	

For each Risk a mitigation plan is required.