Risk Management Policy and Procedure

Bolder Academy
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Registered in England and Wales No: 08932893

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Contents

1. Introduction and aims

At Bolder Academy, we are committed to providing a safe and healthy working environment that inspires and supports academic achievement.
This policy sets out how we will identify and manage financial risks and the health and safety of members of staff, students and visitors that may be affected by our activities.

The Academy aims to ensure that:

- All risks that may cause injury or harm to staff, pupils and visitors are identified, and all control measures that are reasonably practicable are in place to avoid injury or harm.
- Risk assessments are conducted and reviewed on a regular basis.

2. Legislation and statutory requirements

This policy is based on all the relevant legislation and Department for Education (DfE) guidance and includes the Management of Health and Safety at Work Regulations 1999, the Health and Safety at Work etc. Act 1974, the Equality Act 2010, the Children and Families Act 2014, and the Department for Education (DfE)'s SEND Code of Practice, Keeping Children Safe in Education and School Exclusions statutory guidance.

In addition, the Academies Financial Handbook has been used to compile this policy.

3. Risk Assessment Process

The purpose of risk assessments is to enable the Academy to determine what measures should be taken to comply with the duties under the relevant statutory provisions.

An effective Risk Management Policy involves the identification of risks and actions to remove or limit its impact on the strategic aims and objectives of Bolder Academy.

3.1 Financial Risk Assessment

The key starting point for the process are the strategic objectives of Bolder Academy as identified in the Academy Development Plan, Annual Budget and Three-year Plan. It is the risks to the achievement of these objectives that this policy seeks to minimise.

3.2 A 6-step process

Risk management includes a six-step process:

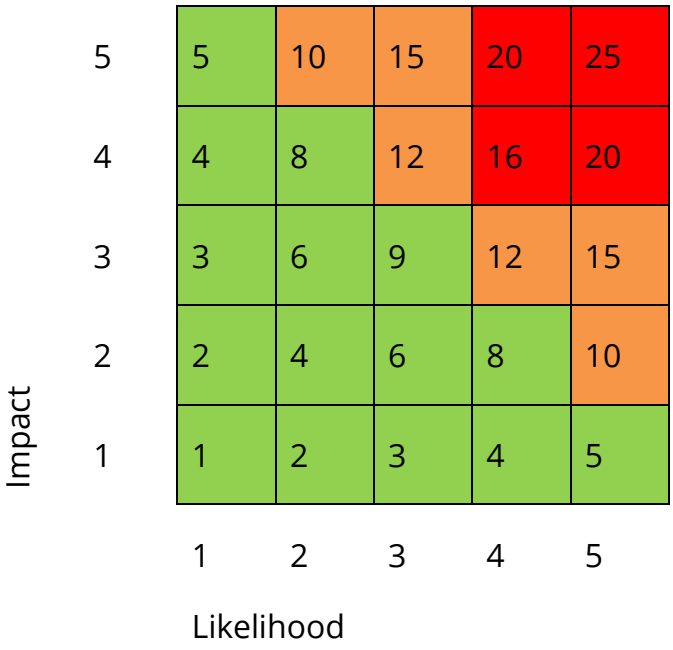
1. Identify, assess and evaluate the hazards/ risks.
2. Decide who may be harmed (if applicable) and how and determine appropriate response to risks (risk appetite).
3. Evaluate the risks and assess existing controls and determine appropriate actions and/ or additional controls to mitigate the risks.
4. Record findings from 1-3 above in the form of a risk assessment and allocate responsibility for action.
5. Monitor the results and review the assessments.
6. Retain risk assessments.

Identifying, Assessing and Evaluating the Financial Risks

The Bolder Academy Risk Management Policy advises that risk identification should be approached in a methodical way to ensure that all significant activities have been identified.

The identification, assessment and evaluation of risk is done by means of using a risk register following the format suggested in the Academies Financial Handbook to ensure that all significant objectives and activities have been identified and the risks associated with each area have been identified.

The Academy uses a 5x5 matrix to assess the likelihood and impact of a risk occurring with high being 5 and low being 1, as illustrated in the diagram below:



The descriptors for impact and likelihood can be expanded as follows:

The impact of risk occurring:

Impact	Description
High	The financial impact will be significant [in excess of £100,000) Has a significant impact on the Academy's strategy or on teaching and learning Has significant stakeholder concern
Medium	The financial impact will be moderate [between £10,000 and £100,000] Has no more than a moderate impact on strategy or on teaching and learning Moderate stakeholder concern
Low	The financial impact is likely to be low [below £10,000] Has a low impact on strategy or on teaching and learning Low stakeholder concern

The likelihood of risk occurring:

Likelihood	Description	
High	Likely to occur each year, or more than 25% chance of occurrence within the next 12 months	Potential of it occurring several times within a 4 year period. Has occurred recently
Medium	Likely to occur within a 4 year time period or less than 25% chance of occurring within the next 12 months	Could occur more than once within a 4 year period. Some history of occurrence
Low	Not likely to occur within a 4 year time period or less than 5% chance of occurrence	Has not occurred Is not likely to occur

Risk Appetite

- Risk appetite is the amount of risk to which the organisation is prepared to be exposed before it judges action to be necessary.
- Risk appetite is also about comparing the cost (financial or otherwise) of constraining the risk with the cost of exposure should the risk become a reality, and finding an acceptable balance.
- Some risk is unavoidable, and not within the ability of the organisation to completely manage it down to a tolerable level.

Response to Risk

When responding to risks, the Academy will seek to ensure it is managed and does not develop into an issue where the potential threat materialises by adopting one of the 4 responses below:

Transfer: For some risks the best response may be to transfer them. This might be done by conventional insurance, or it might be done by paying a third party to take the risk in another way. This option is particularly good for mitigating financial risks of risks to assets.

Tolerate: The exposure may be tolerable without any further action being taken. Even if it is not tolerable, ability to do anything about some risks may be limited, or the cost of taking any action may be disproportionate to the potential benefit gained. In these cases, the response may be tolerable. This option may be supplemented by contingency planning for handling the impacts that will arise if the risk is realised.

Treat: By far the greater number of risks will belong to this category. The purpose of treatment is not necessarily to obviate the risk, but more likely to take control action to contain the risk to an acceptable level.

Terminate: Some risks will only be treatable, or containable to acceptable levels, by terminating the activity. It should be noted that the option of termination of activities may be severely limited in the public sector when compared to the private sector; a number of activities are conducted in the public sector because the associated risks are so great that there is no other way in which the output or outcome, which is required for the public benefit, can be achieved.

The Financial Risk Register

The risk register will be the Academy's reporting mechanism for risk. This will highlight the key risks facing the Academy and allocate responsibility for action.

Any significant changes in risk impact or probability, or the occurrence of an event which raises the profile of a risk will be recorded on the risk register as it occurs. Any new or increased risks identified in Governor or Leadership Team meetings, or raised by a member of staff will be evaluated and, if appropriate, recorded in the Risk Register.

The Risk Register will be kept as a standing agenda item and reviewed each term by Governors. The termly Responsible Officer Reports will provide an assessment of the effectiveness of the Academy's management of risk.

Health and Safety Risk Assessment

Bolder Academy has a legal duty to assess what within their activities and premises might cause harm to people, and decide whether reasonable steps are being taken to prevent that harm or if more needs to be done.

Having a robust risk assessment process will not only result in a safer and improved working environment but will also reduce the risk of civil action and criminal prosecution.

Before Health and Safety Risk Assessments

Bolder Academy will take the following steps prior to risk assessing health and safety issues:

- Ensure that the person responsible for undertaking the risk assessment has been appropriately trained.
- Try to involve those at risk in the assessment process as they will have a greater understanding of the activity and will have knowledge of previous incidents or near misses.
- Be careful not to over rely on generic risk assessments as there may be subtle differences between seemingly similar activities.
- Not make assumptions that the risks from a previous activity is the same as a subsequent one.
- Use a simple system that all persons understand and are able to relate to.
- Try to carry out risk assessment prior to the introduction of any new activities or processes. Once the process is in place it may be difficult to make significant changes i.e. the assessment of a floor surface in a playground.
- Remind staff the purpose of the risk assessment process is to manage risk at a tolerable level and not to eliminate it.

Risk Assessment Procedures

Health and Safety Risk Assessments procedures are implemented as follows:

- Risk identification – This identifies hazards through observations, competent advice, employee consultation and manufacturer's guidance.
- Identification of appropriate staff – The Academy will identify who is responsible for individual risk assessments on the risk register. It also identifies who the lead person is to assess, identify and rectify.
- Identification of training needs – training may be provided by a competent person, online and/or part of an existing course run by the London Borough of Hounslow. Training is also completed using e-learning modules.
- Identification of risk ratings – Risk ratings are assigned to describe the risk perception.
- Identification of control measures – Bolder will endeavour to eliminate risk, however, where this is not possible, the hazard will be substituted for a less risky alternative or controlled.
- Communication process – Risk assessments are part of the induction programme, inset days, line management, staff briefings and the review process. Staff have access to all Health and safety policies on the shared area. In addition, specific activities such as trips and residential which have a risk assessment will be communicated through staff briefings.
- Review process –Risk assessments are reviewed annually after any key changes or serious incidents.

Completing Risk Assessments and Risk Matrix

Bolder Academy will complete risk assessments which detail the following information:

- The date the assessment was undertaken;
- The persons involved in the risk assessment process (this may be more than one person); and
- The date of the next review (this is normally every 12 months).

The Academy will use the following process and matrix to assess Health and safety risks.

a. Hazards

Individual hazards will be identified.

b. Persons at Risk

Bolder will determine those who may be exposed to the identified hazards for the activity being assessed. This may include students, staff, contractors, visitors and other third parties.

c. Existing Control Measures

Control measures for the hazard that are already been put into place. Plus any further control measures including:

- Training;
- Statutory Inspections and regular maintenance;
- Audit and inspection programmes; and
- Safe systems of work.

d. **Probability**

Based on the existing control measures Bolder will determine the probability of the hazard causing injury or ill health. This will be scored as follows:

1. **Very unlikely**
2. **Possible**
3. **Probable**

e. Severity

If the hazard was to cause injury or ill health, determine the likely severity. A scoring systems as set out below is in place:

1. **Could return to normal duties after treatment (i.e. minor cut that needs a plaster)**
2. **Injured person cannot return to normal duties (i.e. sprained ankle or deep cut)**
3. **Disabling injury or fatality (i.e. amputation of limb)**

f. Risk Rating

By multiplying the probability and severity ratings Bolder will determine **the residual risk** from the hazard. This will allow the Academy to determine if this at a tolerable level or more needs to be done.

Probability

3	**3**	**6**	**9**
2	**2**	**4**	**6**
1	**1**	**2**	**3**
	1	**2**	**3**

Severity

1 – 3: Low risk (tolerable and only needs to be reduced if it can be done easily and cheaply)
4 – 6: Medium risk (should be reduced to a tolerable level within an agreed time frame)
7 – 9: High (operation should be stopped immediately until appropriate controls are in place)

g. Additional Controls

Based on the risk ratings Bolder will then determine if additional controls are required to reduce the risk to a tolerable level.

When reviewing additional controls the following hierarchy will be used:

Once additional controls have been agreed Bolder will **determine who will take responsibility** for ensuring they are implemented. This is detailed on the risk register and assessment.

A target date will be assigned and also detail when the action is complete.

4. Monitoring and review

Risk assessment are seen as a live document and are subject to review:

- At least annually;
- After a serious incident or near miss (this may indicate that existing controls are not adequate); and
- If the circumstances change (e.g. you have a new piece of equipment in the science lab).

Appendix 1: Useful definitions

Risk assessment	A tool for examining the hazards linked to a particular activity or situation, and establishing whether enough precautions have been taken in order to prevent harm from them based on their likelihood and their potential to cause harm
Hazard	Something with the potential to cause harm to people, such as chemicals or working from height
Risk	The chance (high or low) that people could be harmed by hazards, together with an indication of how serious the harm could be
Control measure	Action taken to prevent people being harmed

Appendix 2 – Further Guidance about Approach to Risk Assessment

1. Principles of Risk Prevention

- If possible, avoid a risk altogether.
- Avoid introducing new hazards.
- Evaluate unavoidable risks via a risk assessment.
- Combat risks at source.
- Consult with those affected to adapt work to the requirements of the individual.
- Take advantage of technological and technical progress.
- Implement risk prevention measures within a policy.
- Give priority to protection measures that safeguard the whole Academy.
- Ensure that staff and students understand what they must do in order to minimise risk.
- Develop a positive approach to health and safety within the Academy.

2. Guide to Undertaking a Risk Assessment

2.1. The first part of a risk assessment involves looking carefully at what, within the Academy environment, could cause harm to staff, students or visitors to Bolder.
2.2. The second part of the process involves managing those risks by implementing safeguards to ensure or minimise the risk that nobody gets hurt or becomes ill through activities or being on Academy grounds.
2.3. The final part of a risk assessment is reviewing and updating if necessary. No risk assessment can be fool-proof and accidents may still happen. Reacting swiftly to accidents is an important step on the road to risk control.
2.4. The important things you need to decide are whether a hazard is significant, and whether you have it covered by satisfactory precautions or controls so that the risk is small. You need to check this when you assess the risks. For instance, electricity can kill, but the risk of it doing so in an office environment is remote, provided that electrical equipment is suitable for the task, bought from a reputable supplier and is properly maintained or a student with a severe allergy where the risk is high but by carrying an Epipen and being trained to use it along with staff the risk is low.
2.5. In the Academy environment there are a range of different risk assessments.

Risk assessments may fall into a number of types – this list is not exhaustive

- Building specific e.g. Legionella, fire or generic building such as classroom overcrowding, cleaning materials/COSHH.
- Staff specific e.g. pregnancy risk assessment, working at heights, VDU/DSE etc.
- Teaching specific e.g. in the delivery of lessons and may be from a range of sources including the teachers lesson plan, specific risk assessments to the activity e.g. P.E. & Technology and those provided by professional organisations e.g. CLEAPS, COSHH.
- Offsite Activities – these would cover activities undertaken during day trips, residential trips or overseas trips.
- Student specific risk assessments e.g. where students have a disability, illness, or condition be it permanent or temporary e.g. mobility issues, asthma etc.
- Student Welfare e.g. where a student is identified as vulnerable because of a social factor.
- Student Behaviour e.g. where a risk assessment is appropriate to protect staff and students due to a behavioural event that may lead to staff withdrawing from providing teaching to that student.

3. How to assess the Risks in the Workplace

3.1. In most departments the hazards are easy to recognise. For example, in the science department, the use of toxic or dangerous chemicals should already have an assessment under the Control of Substances Hazardous to Health Regulations (COSHH) which must be referred to by the teaching staff.

3.2. Hazards that are already covered under other risk assessments may be ticked as 'checked' in the general risk assessment. There is no need to conduct a separate risk assessment.

4. How to assess risks to Students' Welfare

4.1. Where any of the following criteria are met, the Academy should conduct a risk assessment regarding students' welfare by following steps 1 – 5 in sections 7-11 below:

- A student with a clinical predilection towards behavioural, social and emotional difficulties i.e. a student with autistic spectrum disorders (ASD).
- A student with a historical tendency towards behavioural, social or emotional difficulties.
- A student either returning to the Academy after a fixed-term exclusion or joining from another Academy after a permanent exclusion.
- A student with either a clinical predilection or historical tendency towards behavioural, social or emotional difficulties is participating in any off-site Academy trips/visits.

4.2. All risk assessments regarding students' welfare should take into account previous behaviour, and outline specific measures, including both punitive sanctions and pastoral support, to ensure that the risk of the behaviour being repeated is minimised and managed.

4.3. Care will be taken to ensure that students with SEN will not be excluded from Academy activities as a result of behavioural difficulties, unless it is sufficiently severe as to directly interfere with the education of other students.

4.4. Staff will liaise with both the Academy's Behaviour and Inclusion Lead when undertaking an assessment of risks to students' welfare.

5. Step 1 - Look for the hazards

5.1. Walk around your area of responsibility with fresh eyes to assess what could reasonably be expected to cause harm. Put yourself in the place of non-specialist staff and students to find the risks.
5.2. Ignore the trivial and concentrate only on significant hazards that could result in serious harm or affect several people.
5.3. Use the following examples to guide you:

- Slipping/tripping hazards (e.g. poorly maintained floors or stairs).
- Fire (e.g. from flammable materials).
- Chemicals (laboratories etc.) and how they are used and in what quantities.
- Moving parts of machinery (faculty workshops).
- Work at height (scaffolding around experiments etc.).
- Ejection of material (workshops, experiments etc.).
- Pressure systems (laboratories etc.).
- Vehicles (e.g. fork lift trucks, minibuses).
- Electricity (e.g. poor wiring, portable appliances, electrical experiments).
- Dust (e.g. metal grinding, cement etc.).
- Fume (e.g. welding, chemicals etc.).
- Manual handling.
- Noise (noisy machinery or process).
- Poor lighting, low temperature etc.
- Biological hazards (lab work, gardening, contact with body fluids etc.).
- Kicking/hitting.
- Running away.
- Verbal abuse.
- Threats/aggression.
- Destruction of property/vandalism.
- Bullying.
- Prior exclusion.
- Stealing.
- Inappropriate Sexual behaviour

6. Step 2 – Decide who might be harmed and how

6.1. In addition to staff, think about people who may not be in the workplace all the time e.g. cleaners, visitors, contractors, maintenance personnel, etc.
6.2. Include students, members of the public or people that share your workplace, if there is a chance they could be hurt by your activities.
6.3. Other groups of people to think about:

- Office staff.
- Operators.
- Maintenance personnel.

- Cleaners.
- Contractors.
- Members of the public.

6.4. Also consider the following vulnerable groups:

- Staff and students with disabilities.
- Inexperienced staff.
- Visitors.
- Lone workers.
- Pregnant workers.

7. Step 4 – Record your findings

7.1. Write down the more significant hazards.
7.2. Record the most important conclusions.
7.3. You do not need to show how the assessment was carried out provided that:
- A proper check was made.
- The assessment details who might be affected.
- All the obvious significant hazards are considered, taking into account the number of people who could be involved.
- The precautions are reasonable and the remaining risk is low.

7.4. Assessments need to be suitable and sufficient, not perfect.
7.5. Ask yourself:
- Are the precautions reasonable?
- Is there something to show that a proper check was made?

7.6. Where a crime is committed against a person, it will be reported to local police as soon as possible.

8. Step 5 – Review your assessment and revise it if necessary

8.1. Reviewing and revision should take place on a case by case basis when new machines, substances and/or procedures are introduced.
8.2. General reviewing should take place on an annual basis.
8.3. Assessments should be dated and initialled when reviewed.

9. Specific risk assessments

9.1. Specific risk assessments must be conducted under the following regulations.

- Control of Substances Hazardous to Health Regulations 2002.
- Control of Noise at Work Regulations 2005.
- Control of Vibration at Work 2005.
- Manual Handling Operations Regulations 1992 (as amended 2002).
- Health and Safety (Display Screen Equipment) Regulations 1992 (as amended).
- Personal Protective Equipment at Work Regulations 1992.
- Working at Height Regulations 2005.
- Regulatory Reform (Fire Safety Order) 2005.
- Genetically Modified Organisms (Contained Use) Regulations 2000.
- The Radioactive Substances Act 1993.
- The Ionising Radiations Regulations 1999.

Appendix 3: Links with other policies

See Health and Safety Policy