

School / Department	
Policy Name	<b><u>NASAT: Risk Management Policy</u></b>
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Responsible governor (signed)	Effectiveness of Leadership & Management

### Scope

NASAT carries out several types of risk assessment which must be controlled and owned by the appropriate manager. These include:

1. Risk Assessments – see NASAT 012b

All types of assessment should be carried out with due regard to the particular need and must take account of all other relevant assessments.

### Policy Summary

This policy describes how health and safety risks must be managed in NASAT to meet legislative and organisational requirements, and most importantly to reduce risk.

### Definitions

**Action Plan** – A risk management action plan provides a programme showing how, when and by whom measures are to be introduced to control identified risks.

**Generic Assessment** – This can also be referred to as a “model” assessment. The Management of Health and Safety at Work Regulations 1999 allow the use of this sort of assessment where it is known that there are core hazards and risks associated with similar workplaces or activities. They save a lot of duplicated effort but must be used with caution.

**Hazard** – Anything with the potential cause harm.

**Risk** – The likelihood and severity of a hazard causing harm.

**Risk Assessment** – An evaluation of risks arising from hazards conducted in order to establish the preventive and protective measures necessary to enable work place and work activity health and safety risks to be reduced as far as is reasonably practicable.

**Risk Management** – In the context of health and safety, risk management deals with the proactive minimisation of health and safety risks to those who could be adversely affected by a hazard.

**Specific Assessment** – This sort of assessment is the “normal” type used to identify individual significant hazards. It leads to specific assessment of risk and control measures to deal with each particular risk.

### **Risk Management**

All risks must be reduced so far as is reasonably practicable, but a special system of risk management prioritisation called, “Top X” is used by NASAT to identify and manage the highest risks. Each level of management has a responsibility to ensure that the greatest risks are recognised and managed effectively.

It is important that all risk assessments are suitable and sufficient and that the detail in a risk assessment is proportionate to the risk. Risk assessments are not required where there is no significant hazard. For NASAT this means that the risks presented by the challenging behaviour of supported individuals may need to be detailed. However, many other risks inherent throughout NASAT tend to be generally low and may require less detail.

### **Risk Management Responsibilities**

The National Autistic Society Academies Trust (NASAT) has a general duty under the Health and Safety at Work etc Act 1974 (HSW Section 2 (1)) to ensure, as far as is *reasonably practicable*, the health, safety and welfare at work of all employees. A similar duty applies for other people who are not employees (HSW Section 3).

It is particularly important to recognise that the risks presented by the challenging behaviour of some of the people supported by NASAT, can be the most difficult to assess and control. The measures employed to manage these risks should not be developed without full and proper consideration of all of the relevant factors, and consultation where necessary.

NASAT promotes a positive risk taking philosophy for the people it supports which weighs up the potential benefits and harms of exercising one choice over another. This philosophy should lead to an identification of the potential risks involved, and the development of plans and actions that reflect the positive potentials and stated priorities of the individual. It should involve the use of available resources and support to achieve the desired outcomes, and to minimise any potential harmful outcomes. Principals must take extra care when developing strategies and recording specific assessments for positive risk taking to ensure that the evidence shows that the benefits truly outweigh the potential harms.

The rights of the individual must always be taken into account and a person centred approach should be adopted. Where possible the individual should be fully involved in the risk assessment process. This may require the use of modified forms for the capture of information e.g. the use of pictograms. These should be used to inform the risk assessment which should also be recorded on the standard forms.

### **NASAT Board Directors – Key Duties**

Directors are responsible for ensuring that appropriate monitoring is undertaken in order to ensure that Action Plans are prepared and that actions resulting from the risk assessment process are carried out as recorded.

They must direct the Top X process so that adequate resource and attention is given to reducing the Top X risks to a tolerable level.

They must ensure that Principals under their control are managing health and safety risks in accordance with this policy.

If they are part of SMG then they are required to meet quarterly to ensure that the management of corporate Top X risks is satisfactory.

### **Principals - Key Duties**

Principals are to assess the risk to health and safety of the employees under their control, to anyone else who may be affected by the work activity, and must also assess risks associated with the work place. They must ensure that appropriate preventive and protective measures are identified, introduced and monitored in order to maintain their ongoing effectiveness.

Principals must carry out a systematic risk assessment of work activities, work places and all potential risks, e.g. pandemic influenza and Hepatitis B. The significant findings of the assessments must be recorded and brought to the attention of all concerned using an action plan, where necessary. Where the manager chooses to delegate the responsibility for carrying out risk assessments they remain accountable and must ensure that the assessments completed on their behalf are suitable and sufficient.

**Principals are to ensure that all employees are aware of risk assessments that may affect them and evidence that this has occurred should be documented.**

Principals should ensure that they have adequate trained and registered risk assessors available to carry out the volume and complexity of assessments that may be required in their area of responsibility. They must also make sure that the trainee risk assessors are adequately supported through the training process and thereafter.

Principals must keep a risk register (Appendix 2) of all the local assessments that have been carried out. The risk register must show:

- the title and unique reference number of each assessment
- the date of each assessment
- the anticipated review date for each assessment

This risk register must be copied to the SQE Team in February each year so that corporate risks can be identified and where necessary action taken, e.g. development of additional corporate generic assessments, organisational changes, etc.

Principals must ensure that all risk assessments are reviewed on an annual basis or sooner i.e. if there are changes to the site, equipment or people which suggest that they are no longer valid, or where existing control measures are found to be inadequate, e.g. following an accident or near-miss, change in behaviour, etc. There may also be regulator or local management procedures which require more frequent review.

Principals must co-operate and co-ordinate with other employers where offices and sites are shared, and with contractors.

Where Principals are unable, for any reason, to adequately control health and safety risks they must formally notify their line manager / director immediately, and copy the notification to the Head of SQE.

### **Risk Assessor – Key Duties**

Risk assessments must only be carried out by competent assessors.

Risk assessors act on behalf of their line manager following successful completion of an appropriate training course and must have:

- an understanding of relevant current best practice
- awareness of the limitations of their own experience and knowledge
- the willingness and ability to supplement existing experience and knowledge

Risk assessors should make every effort to involve people who may have a genuine interest in the assessment process. In particular the involvement of people supported by NASAT should be encouraged.

### **Safety Health and Environmental Coordinator - Key Duties**

To ensure that risks are reported at each Safety Action Group (SAG) meeting, and that minutes of each SAG clearly show the risks and the progress that is being made to manage those risks.

### **Employees - Key Duties**

All employees are required to comply with risk assessment control measures established for health and safety at work. They should cooperate with the risk assessor so that assessments are relevant and workable

