

POLICY TITLE:	Risk Assessments and Risk Management - Wales
Policy Number:	ACS 13A
Applies to:	All Welsh Services
Version Number:	03
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Responsible signatory:	Katie Dorrian Acting Director of Governance and Risk on Behalf of Jane Stone, Director of Governance and Risk
Outcome:	<ul style="list-style-type: none"> • Robust and effective risk assessments are used to ensure that risk is managed effectively at services • Children and young people live and learn in environments where practice is 'risk aware' rather than 'risk averse'. • Children and young people are enabled to develop the skills to make reasoned and informed risk decisions.
Cross Reference:	AOP06 Safeguarding Children in Education AOP06A Safeguarding Children in Residential Care AOP06B Safeguarding Children in Education - Wales AOP08 Safeguarding Adults AOP08A Safeguarding Adults - Wales ACS16 Governance & Monitoring - Care ACS16 Governance & Monitoring - Education AH&S35 Risk Assessment (Including safe systems of working) AOP05 Mental Capacity ACS05 Restraint and Physical Intervention
EQUALITY AND DIVERSITY STATEMENT	
Aspris is committed to the fair treatment of all in line with the Equality Act 2010. An equality impact assessment has been completed on this policy to ensure that it can be implemented consistently regardless of any protected characteristics and all will be treated with dignity and respect.	

Please note one or more of this policies associated forms are available on PASS for those colleagues who have access to it, please refer to the associated form list within this policy for confirmation of which forms are available on PASS.

In order to ensure that this policy is relevant and up to date, comments and suggestions for additions or amendments are sought from users of this document. To contribute towards the process of review, email AsprisGovernanceHelpdesk@Aspris.com

Risk Assessments and Risk Management - Wales

1 INTRODUCTION

- 1.1 In order to effectively implement this policy, each Aspris Children's Service will have local procedures in place where necessary, which explain how this policy is applied and put into practice at service level.
- 1.2 Template **ACS LP 13** is provided for this purpose and includes a key content checklist.
- 1.3 This policy should be used in conjunction with the related policies listed on the preceding page where applicable, in particular policy AH&S 35 Risk Assessment.

2 AIMS

- 2.1 Robust and effective risk assessments are used to ensure that risk is managed effectively at services.
- 2.2 Children and young people live and learn in environments where practice is 'risk aware' rather than 'risk averse'.
- 2.3 Children and young people are enabled to develop the skills to make reasoned and informed risk decisions.

3 SCOPE

- 3.1 This policy relates to all risk assessments including those for:
 - (a) Individuals
 - (b) Activities
 - (c) Locations and environments
 - (d) Equipment.
- 3.2 Risk is defined as a threat that could adversely affect the ability to deliver to any objective.

4 RESPONSIBILITIES

- 4.1 Managers and Service leaders are responsible for ensuring that there are robust, accurate and current risk assessments in place in relation to Individuals, activities, locations and environments, and equipment. For all extraordinary activities or holidays Area/ Regional Managers must have final sign off the Risk assessment.
 - 4.1.2 These must be accessible to colleagues and be understood by colleagues, and should conform to 'good practice' conventions (see section 5 below).
 - 4.1.3 Manager and Service leaders are responsible for ensuring colleagues understand and apply the risk management cycle (See Appendix 1).
- 4.2 Managers and Service leaders should enable colleagues to understand and apply 'risk awareness' to all practice, enabling them to maintain a safe environment for children and young people.
 - 4.2.2 Risk should not be perceived of as a limiting or restricting factor, but something to be carefully assessed, mitigated and managed, ensuring that practice is not unduly 'risk averse'.
- 4.3 **Colleagues** are responsible for ensuring that they are fully aware of the risk assessments in place which relate to any children/young people they are working with.

- 4.4 Colleagues are responsible for ensuring that they are fully aware of the risk assessments in place which relate to any equipment, activities, locations and environments they will be accessing.
- 4.5 **Teachers** are responsible for ensuring that risk assessments are included within lesson plans.
- 4.6 Sharing information effectively is critical to successful risk management: **All colleagues** are expected to share information and communicate clearly in relation to risk assessment and risk management.

5 GOOD PRACTICE IN RISK ASSESSMENT

- 5.1 The following section outlines the key elements found in an effective Risk Assessment:
- 5.2 **Risk Identification:**
The risk description includes three key parts:
 - (a) The cause of the risk
 - (b) The risk event or uncertainty
 - (c) The possible impact of the risk
- 5.3 **Risk Direction:**
The risk assessment should consider risk in two directions:
 - (a) From the person/equipment/activity/environment
 - (b) To the person/equipment/activity/environment
- 5.4 **Risk Sources:**
The risk assessment should consider all the risk source areas and how they interact:
 - (a) People
 - (b) Environments
 - (c) Actions/Activities
 - (d) Equipment
- 5.5 **Risk Mitigation:**
The actions which are to be taken to minimise risk are called mitigating actions; it is important that these are clearly described and are effectively communicated in a timely manner, so that the team can all apply actions consistently to minimise risk.
 - 5.5.2 A clear mitigation description will include details of:
 - (a) **who** should do
 - (b) **what**,
 - (c) **when** and
 - (d) **what impact** this will have on the risk
- 5.4 **Inherent risk:** Inherent risk (the total risk present prior to any action being taken) should be clearly identified, quantified and categorised as Low/Medium/High.
- 5.5 **Residual risk:** Residual risk (the level of risk remaining after mitigation actions are in place) is clearly quantified, and categorised as Low/Medium/High.
 - 5.5.2 Where residual risk remains high, managers and service leaders should consider carefully the effectiveness of the risk mitigation actions.
- 5.6 Effective risk assessments always contain **positive information**; this means that they have no blank boxes, and 'N/A' is never used.

6 SUPPORTING CHILDREN AND YOUNG PEOPLE TO MAKE INFORMED RISK DECISIONS

- 6.1 Colleagues are expected to involve children and young people in making decisions based on risk: this will be tailored to meet children and young people's individual skills, needs and abilities.
- 6.1.2 This will enable children to develop the skills and knowledge to make safe informed and reasoned decisions and consider risk, and how it may be minimised in order to achieve actions and objectives as safely as possible.
- 6.2 Where children and young people may be vulnerable to putting themselves at undue risk, colleagues are expected to advise and help them to reconsider, and if there is significant danger, to intervene with a safer approach.

7 RISK REGISTERS

- 7.1 Each service should maintain a Risk Register which identifies all significant risk to the safe and successful operation of the service and its objectives.
- 7.2 Risk Registers are reviewed regularly as part of governance processes, and risk rated high are escalated through Line Management structures to Board level (where organisational level risk registers are maintained).
- 7.3 A simple service risk register template is available in Excel Format: **ACS Form 13C**.

8 LEARNING AND SUPPORT

- 8.1 Service leaders and managers are expected to be vigilant in monitoring risk assessments, and to identify from monitoring where there is a need for training in relation to risk assessment in order to ensure Good Practice (see section 5 above): Training can be sourced through liaison with the Quality Improvement Leads.
- 8.2 It is recommended that the service uses a Risk Assessment Index to ensure clarity in relation to the documents in use at the service .
- 8.3 A basic core documentation checklist is provided below:
Risk Assessment Index:
 - (a) **Individual:**
 - i. Admissions Impact Risk Assessment
 - ii. Individual Risk Assessment (every child)
 - iii. Specialist Individual Risk Assessments (RMFCH, CSE, Self-Harm)
 - (b) **Environment** Risk Assessment
 - (c) **Location** Risk Assessment
 - (d) **Activity** Risk Assessments (including lessons)
 - (e) **Equipment** Risk Assessments

9 MONITORING

- 9.1 Managers and Service leaders will include the monitoring of risk assessment and risk management within routine service monitoring as outlined in the Governance policy ACS 16, including incidents where risk assessment is a key or contributory factor.
- 9.2 This should include identifying and sharing any critical learning points which may be used to mitigate future similar risk.

10 REFERENCES

- 10.1 Health and Social Care (Community Health and Standards) Act 2003
Children Act 2004
Care Act 2014
Equality Act 2010
Education (Wales) Act 2014
Social Services and Wellbeing (Wales) Act 2014
Health and Social Care (Quality and Engagement) Wales) Act 2020
Children's Homes (Wales) Regulations 2002
Education (Independent School standards) regulations 2014 (S.I. 2014/3283
Welsh Assembly (2002) National Minimum Standards for Children's Homes
Fundamentals of Risk Management, Paul Hopkin, Institute of Risk Management,
Kogan Page, London 2018
Regulated Services (Service Providers and Responsible Individuals) (Wales)
Regulations 2017: Welsh Statutory Instrument No. 1264 (W.295)
The Children and Social Work Act 2017

Associated Forms:

ACS Form: 13A Admissions Impact Risk Assessment and Risk Mitigation Record
ACS Form: 13B Individual Risk Assessment & Risk Management (Available on PASS)
ACS Form: 13C Simple Risk Register Template
ACS Form: 13D Service Location Risk Assessment
ACS Form: 13E My personal risk and safety plan
ACS Form: 13F Self-harm Risk Assessment (Available on PASS)
ACS Form: 06 Missing From Care/ Education Individual Risk Assessment (Available on PASS)
ACS Form: 01D CSE Risk Assessment
ACS LP: 13 Risk Assessment and Risk Management

See also the AH&S forms folder for risk assessment forms

Appendix 1: Risk Management cycle:

