



Kaitiaki Kindergartens

Operational Policies

5.05 Risk Management Policy

Classification: Quality and Risk
Applies to: All Employees
Approved by: General Manager

Date: April 2019
Review Date: April 2021

Purpose:

- To ensure that the Association, staff, children and family/whanau are protected from exposure to avoidable or preventable risk during service provision.

References:

- Education Act 1989
- Education (Update)
- Kindergarten Teachers Collective Agreement (KTCA)
- State Sector Act 1988
- Employment Relations Act 2000
- Current Employment Agreements
- Employee Code of Conduct Policy
- Vulnerable Children's Act 2014

Definition:

- Kaitiaki Kindergartens – is referred to as 'The Association'
- Head Teachers and Centre Managers- are referred to as Service Leaders
- Professional Practice Leaders – PPL
- Kindergartens and Early Learning Centres - are referred to as services
- Non-teaching employees - Other Employees
- Personal information is any information about an individual as long as that individual can be identified.
- Agency covers the Association, each kindergarten and each person employed.
- Privacy Officer is the person appointed by The Association to encourage compliance with the information privacy principles and deals with requests. This is the General Manager.

Policy

The Association is committed to providing a safe and healthy environment for the children and employees at its services and it acknowledges that effective management of risks is fundamental to achieving this.



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Procedure

Actual and potential risks are identified, documented and communicated where necessary to staff, children and family/whanau and other stakeholders.

1. Risks are identified
2. Risks are assessed for
 - a. Degree of likelihood of occurring
 - b. Degree of potential impact if they do occur
3. Treatments are determined for identified risks.(avoided, prevented, mitigated, transferred or accepted)
4. Identified risks are monitored, evaluated and reviewed at a frequency determined by the severity of the risk and the probability of change in the status of that risk.

The General Manager will:

1. Evaluate and recommend to the Board at regular meetings the level of risk that the Association should bear in relation to its business (**see Risk identification and management plan**)
2. Recommend policy with regard to the methods of managing identified risk and ensuring that the Association complies with statutory obligations
3. In consultation with the PPL and staff, identify training needs of Association staff in relation to acceptable risks and teaching/learning
4. Critique and review any incidents, complaints and review reports ensuring that a continuous quality improvement approach is adopted
5. Prioritise, classify and monitor identified risks to ensure that appropriate actions are taken to minimise any adverse outcome and report on these to the Board

Types of Risk

- Governance
- Management
- Staffing
- Financial
- Compliance
- Assets
- Political



- Disasters
- Technology
- Health and safety
- Reputation and Brand
- One-off events

Risk Definition and Classification Framework:

Table 1. Qualitative measures of consequence or impact

Level	Descriptor	Example Detailed Description
1	Minor	Minimal injuries (requiring only first aid), low levels of stress ,small financial expense/costs above budgets incurred, slight effect on environment, small fall in rolls, operational interruption of one day or less, up to 10% overrun on project expenses or time, minor adverse media attention, small legal issues or breaches in regulations, slight degradation in service supply at one kindergarten.
2	Notable	Medical treatment required, several staff showing signs of stress, serious medium term environmental effects, loss of more than \$25,000 value, large fall of >10% in rolls, operational interruption of more than 2 weeks, more than 25% over run in project expenses or time, criticism of actions from media or several stakeholders, breach of regulations that may lead to a fine, serious threat to viability of organisation that may require external assistance.
3	Major	Extensive injuries to one or more individual, serious stress shown by one or more staff, long term environmental impairment, closure of a service, major financial expense/costs of over \$50,000 incurred, operational interruption of more than one month, more than 50% over run in project costs or time, significant adverse national media attention, major degradation of viability of organisation.
4	Severe	Death of an individual, earthquake or tsunami, high levels of stress throughout organisation, long term environmental impairment, loss of more than \$100,000 value, loss of a kindergarten service, operational interruption of more than 6 months, more than 75% overrun on project costs or time, serious public relationships outcry, serious litigation, immediate threat to the viability of organisation.



Table 2. Qualitative measures of likelihood

Level	Descriptor	Example Detailed Description
1	Probable	Expected to occur in most circumstances, once a year or more often.
2	Likely	Will probably occur in most circumstances, once every 2 years.
3	Possible	Should occur at some time, every 1 to 4 years
4	Unlikely	Could occur at some time, between 5 and 20 years.

Table 3. Level of Control

Level	Descriptor	Detailed Description
1	Little	There is little the association can do to prevent this risk
2	Some	There are certain actions the association can take to prevent this risk
3	High	There are several actions the association can take to prevent this risk

Table 4. Qualitative risk analysis matrix – level of action required (if possible and dependent on circumstances)

	CONSEQUENCES			
LIKELIHOOD	Severe	Major	Notable	Minor
Probable	Immediate action	Immediate action	Immediate action	Business As Usual
Likely	Immediate action	Immediate action	Immediate Action	Business As Usual
Possible	Immediate action	Immediate action	Increased Action	Business As Usual
Unlikely	Immediate action	Increased Action	Business As Usual	Business As Usual

Legend –

H - High risk: immediate action required

M - Moderate risk: Management responsibility and action required



Kaitiaki Kindergartens



- Low risk; Manage by routine procedures

Signed:

General Manager

Date:

25/7/19

Endorsed by

Signed:

President of the Board

Date:

25/7/19