



P12 – RISK AND COMPLIANCE

This policy and procedure applies to employees of St Dunstan's Trustee Limited on behalf of St Dunstan's Education Foundation & College Hire Limited.

Risk and Compliance Policy

St Dunstan's Educational Foundation seeks to mitigate both immediate and perennial risk to tolerable levels and insomuch as is reasonable or achievable. The primary mechanism for achieving this aim is through processes of risk review at both an Executive and Governance level. The primary mechanisms for recording, evaluating and mitigating against risk are:

1. The Risk Register
2. The Serious Incident Log

These are informed by the work of ongoing audits (internal and external), operational committees, operational logs and record keeping.

Executive Risk Mitigation

The St Dunstan's Executive Team (DET) routinely review risks as follows:

- Weekly review of 'emerging persistent risks and modifications to the risk register' as a standing item.
- Weekly review of 'current updates on current risks and modifications to serious incident log' as a standing item.
- Termly review of the serious incident log to look for trends and appropriate mitigations and actions.
- Termly detailed review of the risk register.
- Termly reviews of other logs that offer risk to the organisation, including but not limited to bullying, behaviour, debtors and staff absence.

In addition, the DET devolves detailed operational planning to the following committees:

- Inspection and Compliance Committee, chaired by the Deputy Head Academic, who is responsible for preparing for ISI inspection, reviewing the expected Self-Evaluation paperwork and compliance against the Independent Schools Standards and Regulations (ISSRs).
- Health and Safety Committee, Chaired by the Chief Operating Officer, and responsible for operational mitigation of all matters pertaining to Health and Safety across the sites.

- Individual Pupil Needs Committee, chaired by the Designated Safeguarding Lead (DSL), and responsible for reviewing all elements of individual pupil need – medical, pastoral, safeguarding, SEND and EAL – to ensure all possible reasonable adjustments are in place.

Trustee Risk Mitigation

The Governing Body of St Dunstan’s Educational Trust are jointly and severally responsible for the mitigation of risk. The Governing Body meet three times yearly to review and offer challenge on the following reports:

- The Risk Register
- The Serious Incident Log
- Reports from external auditors
- Other logs, as required, including bullying, IPN, safeguarding, behaviour, health and safety
- Reports from the inspection and compliance committee in the College and preparation for inspection

Audits and Reviews

St Dunstan’s Educational Foundation believe that in matters of risk mitigation, appropriate and robust processes of external auditing offer significant advantage to the organisation. A full list of annual audits is contained as a related document to this policy. Where appropriate, audit reports including follow-up actions are presented to the Inspection and Compliance Committee.

Related Documents

Health and Safety Policy

ISI Self Evaluation Part 1

Logs at St Dunstan’s

Audits – St Dunstan’s Educational Foundation

External (onsite) compliance audits and telephone support

Focus Department	Purpose	Frequency
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Auditor		
Audit: Finances Finance RSM	Annual financial audit, confirming compliance of financial statements for SDEF, CHL and Benevolent Fund with charities law and UK accounting standards	Annual audit, Michaelmas inc. onsite inspection of files & records
Audit: TPS Finance RSM	Factual report on the end of year certificate as required by TPS	Audited annually in September
Audit: Safer Recruitment HR VWV	Single Central Record inspection to ensure 100% ISI compliance. Detailed report and action plan provided. Contract also includes all year-round Q&A advice and support.	Annual inspection in Michaelmas and all year-round support
Audit: Employment Law HR Judicium	Employment Law advice on all HR Policies and specific employee matters. Including advice and documentation for capability, absence, disciplinary, occupational health, grievance, restructure, redundancy, tribunals..	All year-round telephone and email support
Audit: Health and Safety Property Judicium	Annual site and policy inspection to ensure compliance with H&S legislation. Covers areas such as site safety, COSHH, annual Fire Risk Assessment, H&S training etc. Detailed report and action plan provided.	Annual inspection over the Summer and all year-round support
Audit: Data Protection Admin Judicium	Annual documentation inspection, covering all GDPR policy and procedures. Evidencing good practice regarding breach responses, reporting to ICO, visibility of privacy notices and DPO legal requirements etc.	Annual inspection, usually in the Summer and all year-round support
Audit: UKVI Head VWV	Exploring new contract possibilities, probably from VWV, as we've tested their compliance checklist before	Bi-annual audit Michaelmas
Audit: Safeguarding DH Pastoral ISI	New contract, currently being negotiated. Looking for an annual audit of all safeguarding procedures to ensure complete compliance under the latest ISSRs	Annual inspection and all year-round support?
Audit: ISI DH Academic ISI	Jonny is exploring options through ISI's consultancy provision	TBC

External advice and support provided on an ad-hoc basis

Area	Purpose	Frequency
Various Legal Companies Head, COO, Clerk, CFO	Specific one-off advice following various matters including parental complaints (relating to education provision, contracts, finances, VAT etc.) usually sought through Rickerbys, RSM, VWV and paid on an hourly basis.	Ad hoc, as and when required

Risk and Compliance

Author/s:	Saffron Hutt Nicholas Hewlett	Date Reviewed:	Lent 2023
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Committee:	Governing Body	Clerk to the Governors Signature:	