Barts Health NHS Trust

Introduction to Risk Management

Learning Objectives

By the end of this session you should be able to understand the following:

- ❑ the Vision and direction for risk management at Barts Health

- ❑ overview of the Trust Risk Register and hierarchy of risk

- ❑ difference between a risk register, issue and health and safety risk assessment

- ❑ your responsibilities

- ❑ where to obtain additional information

Risk Management at Barts Health

Healthcare is a high risk activity and the Trust needs to understand and manage risks to achieving our objectives. The Trust's aim is to promote a risk awareness culture in which all risks are identified, assessed, understood and proactively managed. This will encourage ways of working that ensures risk management is embedded in our culture and becomes an integral part of the Trusts objectives, plans, practices and management systems as part of everyday business.

The Trust has a **Risk Management Strategy** that has been developed with an emphasis on understanding the current status of risk management within Barts Health and a **Vision** of risk management in the future.

The Barts Health Vision for Risk Management

"Risk management is embedded in everyday business and is integral to everything that we do "

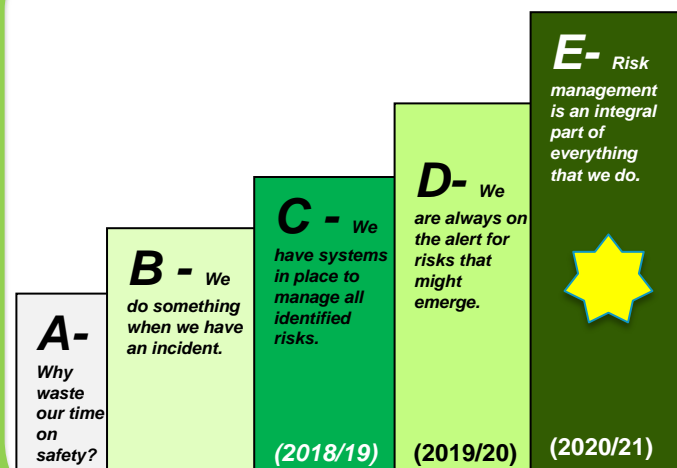*Trust Risk Management Strategy (2018)*

Achieving the Risk Management Vision

The Trust Risk Management Committee self assessed itself against the Manchester Patient Safety Framework in October 2017 and rated the Trust at level **B/C** *(defined as we do something when we have an incident,* and *we have systems in place to manage all identified risks.)*

The Trust aims to mature from its current position to level **E** (*risk management is an integral part of everything that we do)* over a three year period through the implementation of the 2018/19 risk management action plan and future annual action plans, supported by ongoing Trust initiatives to strengthen staff engagement and culture.

The Manchester Patient Safety Framework

A- *Why waste our time on safety?*

B - *We do something when we have an incident.*

C - *We have systems in place to manage all identified risks.*
(2018/19)

D- *We are always on the alert for risks that might emerge.*
(2019/20)

E- *Risk management is an integral part of everything that we do.*
(2020/21)

Trust Risk Management Objectives

The Trust has set the following risk management objectives to help with the achievement of the Vision:

1. All decision making is based on an integrated review of risk appetite, risk performance and assurance.

2. Senior management actively seek out information about risk events.

3. There are clear lines of accountability for the management of risks.

4. Risk information is communicated in a timely and professional manner across the Trust and with stakeholders.

5. Systematic processes are used to learn and share lessons from our successes, best practice, errors and failures with staff, patients and the public.

6. There is an integrated and effective approach to managing risk across the Trust with defined structures, clear routes for escalation/ de-escalation and challenge.

7. All staff are competent and supported in the reporting and management of risks, and not blamed or seen as unduly negative for identifying these.

Trust Risk Strategy Statement

The Trust's Vision is also supported by a Risk Strategy Statement:

1. The Trust Board is committed to leading the organisation in delivering a high quality, effective, sustainable, value for money service. **Robust and practicable systems and processes are required** in order to achieve this and enable staff to understand risk and integrate risk management into their daily activities. This embedding of risk management in Trust culture will support better decision making.

2. The Trust is committed to a risk **management culture** that underpins and supports the business of the Trust and enhances the safety of our patients, visitors and staff. Strategic and business risks are not necessarily to be avoided, but, where relevant, can be embraced and exploited in order to take opportunities for development. Foreseeable risks are identified with an active risk reduction plan.

3. Considered risk taking and innovation is encouraged within authorised and defined limits of the Trust's **risk appetite.** The priority is to reduce risks that impact upon safety and quality and to minimise our financial, operational and reputational risks.

Trust Risk Strategy Statement

4. Senior management will lead change by being a **role model** for behaviours and culture: ensuring risks are identified, assessed and managed at all levels. Managers at all levels are expected to make risk management a fundamental part of their approach to clinical and corporate governance. Line managers will encourage staff to identify risks as part of our open, honest and fair culture.

5. The strategy will be delivered by linking the Trust's strategic objectives to local objectives and by delivering a focused **training programme** as reflected in the Trust Training Needs Analysis.

6. Risk management is the **responsibility of all staff** who should have an awareness and understanding of the risks that affect patients, visitors and staff

The Trust Risk Register

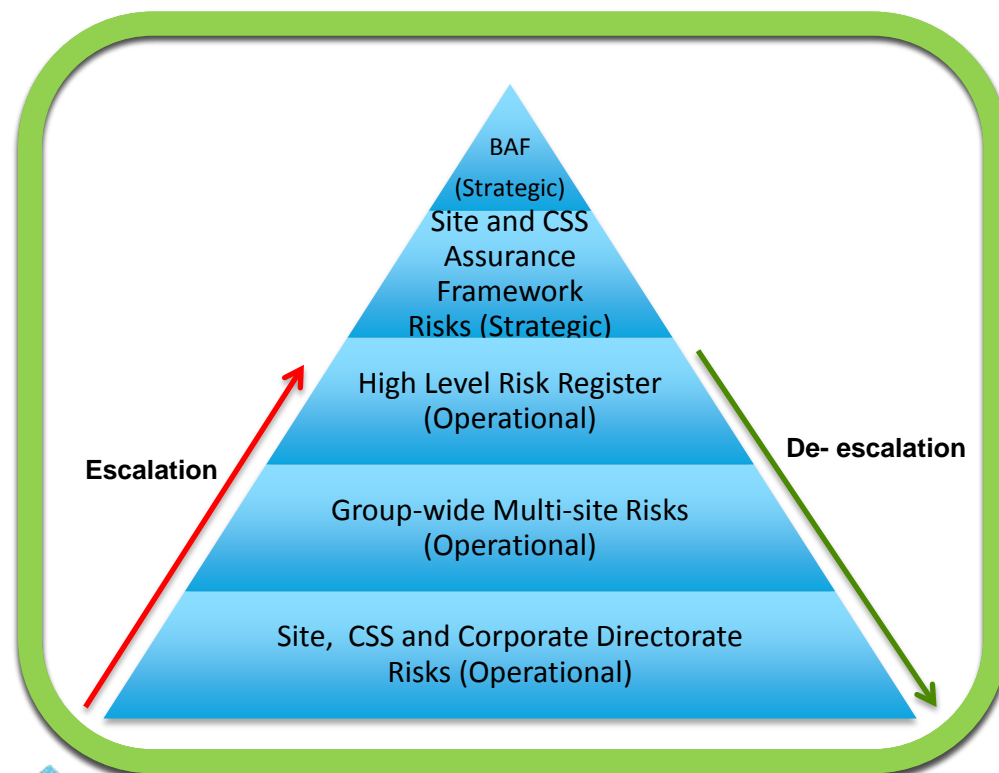The Trust Risk Register is hosted on Datix and is organised by the risk levels below:

Board Assurance Framework (BAF) risks are strategic level risks which threaten the achievement of the Trust's strategic objectives.

Site and CSS Assurance Framework risks like BAF risks are strategic level risks, and threaten the achievement of the Sites' and CSS strategic objectives.

High Level Risk Register hosts operational risks with a current residual risk score of 15+.

Group wide risks are operational risks and threaten the Trust wide business across multiple sites, services and directorates.

Site, CSS and Corporate Directorate risks are operational risks and are specific to each Site, CSS or Corporate Directorate.

Pyramid diagram (top to bottom):
- BAF (Strategic)
- Site and CSS Assurance Framework Risks (Strategic)
- High Level Risk Register (Operational)
- Group-wide Multi-site Risks (Operational)
- Site, CSS and Corporate Directorate Risks (Operational)

Escalation (left, upward arrow) — De-escalation (right, downward arrow)

Avoid Confusion: Terminology

Risk:

The chance of a future event that has *not yet happened* impacting on the Trust achieving its objectives/goals or may cause harm or have an adverse impact on the Trust reputation, stakeholders or assets.

Issue:

An event that has **already happened** or is currently happening. Issues at the Trust are managed through the *Adverse Incident Reporting* process or through line management escalation.   Issues are **not** recorded on the Trust Risk Register.

Health & Safety Risk Assessment:

This is a legal requirement and an examination of what hazards in the workplace *could* cause harm, and the precautions needed to control risks to as low as reasonably practicable.

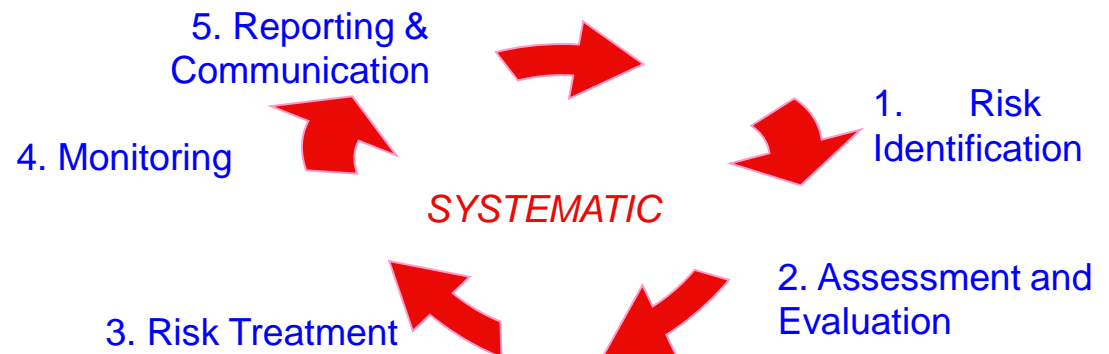**Difference Between Risk Register and Health & Safety Risk Assessments:**

Where you are unable to control a health and safety risk assessment to *as low as reasonably practicable (i.e. the identified control* measures are unable to be implemented,) then the risk must be escalated and treated as a potential risk for the Trust Risk Register.

What is Risk Management?

Risk Management is the process through which risks are identified and evaluated, plans made and implemented, monitored and communicated, with a view to minimising the likelihood of an event actually occurring or, should it occur, minimising any adverse impact of the risk upon the organisation's objectives.

Effective risk management is a continuous cycle that requires the following activities:

5. Reporting & Communication

4. Monitoring

SYSTEMATIC

1. Risk Identification

2. Assessment and Evaluation

3. Risk Treatment

How Are Risks Prioritised?

The Trust measures and grades risk through the risk assessment process.   Risk assessment involves calculating an aggregate risk score based upon the **consequence** of a risk and the **likelihood** of the risk being realised.   The calculation is undertaken using a 5x5 risk scoring matrix which is issued by the National Patient Safety Agency (NPSA).

The Trust has three grades of risk known as risk levels which define how the risk will be managed. The three risk levels are categorised as **High, Medium** and **Low**.

5x5 Risk Matrix (Likelihood x Consequences)

Consequence	Likelihood				
	1	2	3	4	5
	Rare	Unlikely	Possible	Likely	Almost certain
5 Catastrophic	5	10	15	20	25
4 Major	4	8	12	16	20
3 Moderate	3	6	9	12	15
2 Minor	2	4	6	8	10
1 Negligible	1	2	3	4	5

Who Manages Risk Registers?

Risk grading makes the evaluation of risks easier providing a systemic framework by which to identify the level at which risks will be managed, monitored, prioritising remedial action and the availability of resources to address risks

Risk Grading

Risk Level	Reviewed	Accountable for Remedial Action
High (15-25)	Monthly	Directors
Medium (8-12)	Quarterly	ADs/ Deputy Directors/ Department Managers
Low (1-6)	6 monthly	Band 6+

Your Responsibilities – All Employees

1. Comply with the risk management and health and safety arrangements and policies appropriate to the work task being undertaken.

2. Participate in mandatory and other training as directed by your manager.

3. Report to your line manager any deficiencies that could impact upon the health, safety and welfare of individuals (patients, staff, visitors and contractors).

4. Complete and submit and incident report form in the event of an incident and escalate high risk harm incidents by the quickest means possible.

5. Where necessary to raise concerns through specific channels (see the Trust *Whistle Blowing* and *Raising Concerns in the Workplace* policies).

Your Responsibilities – All Employees

6. Work within the safety systems and protocols arranged by the Trust, and in accordance with the directions of your manager, including the correct use of personal protective equipment where this has been identified.

7. Be aware of your full duties and responsibilities under the HASW Act, the requirements of your professional body and those of your job plan to work safely, which may be updated and revised from time to time.

Your Responsibilities – Agency, Locum, Bank Staff

1. To undertake a local induction and to escalate concern via the staff bank or other office arranging their placement if this is not provided.

2. Work within the safety systems and protocols arranged by the Trust, and in accordance with the directions of their manager, including the correct use of personal protective equipment where this has been identified as necessary.

3. To participate in risk management activities as directed by the manager responsible for their activity in the Trust

4. To report any safety incidents or escalate any concerns to that manager.

Your Responsibilities – Contractors

1. Contractors are required to comply with the statutory and contractual arrangements that specify the health, safety and risk management activities that must be observed while working in the Trust.   This includes maintaining appropriate communication with the Trust senior manager who is responsible for each Contract.

Additional Information

- ❑ Your Department Risks Register

- ❑ Risk management pages on *We Share*

- ❑ Risk Management Strategy (*We Share*)

- ❑ Risk Management Policy (*We Share*)

- ❑ Adverse Incident Policy (*We Share*)

- ❑ Health & Safety Policy (*We Share*)

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