

West Dunbartonshire Health and Social Care Partnership

Risk Management Policy

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Policy Title & Reference	Risk Management Policy		
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Title, Version Number & Date of superseded version (if applicable)	Risk Management Policy & Strategy	V1.0	19 August 2015 Soumen Sengupta
Rationale for Introduction/driver for Change	<p>The Integration Scheme requires a Risk Management policy and underpinning strategy be in place to support integrated service delivery (except for NHS acute hospital service).</p> <p>The risk management framework provides the IJB with information to aid decision making in relation to delivery of the HSCP Strategic Plan.</p>		
Summary of Substantive Changes (if applicable)	<p>The Policy is now a standalone document with the supporting strategy developed to enable effective implementation.</p> <p>Align the review period with the lifecycle of the HSCP Strategic Plan (review every 3 years).</p> <p>Next interim review would be 2022, then every 3 years.</p>		
Summary of Technical changes (if applicable)	HSCP Risk Management Policy now supported by a separate Risk Management Strategy and Framework.		
Lead Officer	Margaret-Jane Cardno, Head of Strategy and Transformation		
Final Trades Union Position			
Consultation and Approval Process	Financial consultation	January 2021	
	Legal consultation	March 2021	
	Audit and Fraud consultation	February 2021	
	Trades Union	March 2021	
	Approval at HSCP Board	20 September 2021	
Accompanying Documentation(incl EIA)	HSCP Strategic plan 2019 - 2022		
Linked Policies and Procedures	<p>Public Bodies (Joint Working) (Scotland) Act 2014</p> <p>HSCP Risk Management Strategy 2021</p> <p>Strategic Risk Register</p> <p>Clinical Care and Governance</p> <p>Public Protection Risk Register</p>		

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1 West Dunbartonshire Health and Social Care Risk Management Policy

2 Introduction

- 2.1 West Dunbartonshire Health and Social Care Partnership Board is responsible for the strategic planning and reporting of a range of health and social care services delegated it by NHS Greater Glasgow and Clyde Health Board and West Dunbartonshire Council (described within the Integration Scheme).
- 2.2 The Partnership Board, Council and the Health Board believes that appropriate application of good risk management will prevent or mitigate the effects of loss or harm and will increase success in the delivery of better clinical and financial outcomes, objectives, achievement of targets and fewer unexpected problems.

3 Policy Aims

- 3.1 The policy seeks to enhance governance, transparency and accountability. It has been developed to support a culture where the HSCP workforce is encouraged to develop new initiatives, improve performance and achieve goals safely, effectively and efficiently by appropriate application of good risk management practice.

4 Risk Management Policy

- 4.1 The risk management policy will enable the HSCP Board to demonstrate a level of maturity where risk management is embedded and integrated in the decision making and operations of the Health and Social Care Partnership.
- 4.2 The fundamental measure of success of risk management will be how well the HSCP Board has been able to use its allocated resources to effectively deliver its Strategic Plan.
- 4.3 In doing so the HSCP Board aims to provide safe and effective care and treatment for citizens, patients and clients, and a safe environment for everyone working within the Integrated Joint Board and others who interact with the services delivered under the direction of the Integrated Joint Board.
- 4.4 All health and social care professionals remain accountable for their individual clinical and care decisions. Aligned with the established professional accountabilities that are currently in place within NHS and Local Government.
- 4.5 The HSCP Board believes that appropriate application of good risk management will prevent or mitigate the effects of loss or harm and will increase success in the delivery of better clinical and financial outcomes, objectives, achievement of targets and fewer unexpected problems.
- 4.6 Effective communication of risk management information is essential to developing a consistent and effective approach to risk management. This policy and supporting strategy will be promoted and made readily accessible to HSCP staff and will inform any risk management training provided to them by the Council and Health Board.
- 4.7 The HSCP Board purposefully seeks to promote an environment that is risk 'aware' and strives to place risk management information at the heart of key

decisions. This means that the HSCP Board can take an effective approach to managing risk in a way that both address significant challenges and enables positive outcomes.

4.8 In normal circumstances the HSCP Board's appetite/tolerance and grading for risk is established using a two dimensional grid or matrix. The impact of risk as one axis and likelihood as the other and for grading risk, the score obtained from the risk matrix are assigned grades as follows:

Impact of Risk	(5) Catastrophic	5 Adequate	10 Issue	15 Issue	20 Unacceptable	25 Unacceptable
	(4) Major	4 Acceptable	8 Adequate	12 Issue	16 Unacceptable	20 Unacceptable
	(3) Moderate	3 Acceptable	6 Adequate	9 Adequate	12 Issue	15 Issue
	(2) Minor	2 Acceptable	4 Acceptable	6 Adequate	8 Adequate	10 Issue
	(1) Insignificant	1 Acceptable	2 Acceptable	3 Acceptable	4 Acceptable	5 Adequate
	Risk Appetite	(1) Rare	(2) Unlikely	(3) Possible	(4) Probably	(5) Almost certain
Likelihood of Risk						

	1 - 3	Low
	4-9	Medium
	10-16	High
	16 +	Very High

4.9 The HSCP Board promotes the pursuit of opportunities that will benefit the delivery of the Strategic Plan. Opportunity-related risk must be carefully evaluated in the context of the anticipated benefits for citizens, patients, clients and the Board.

4.10 The HSCP Board will receive assurance reports (internal and external) not only on the adequacy but also the effectiveness of its risk management arrangements and will consequently value the contribution that risk management makes to the wider governance arrangements of the HSCP Board.

5 Benefits of Risk Management

5.1 Key benefits of effective risk management include:

- Appropriate, defensible, timeous and best value decisions are made;
- Risk 'aware' not risk 'averse' decisions are based on a balanced appraisal of risk and enable acceptance of certain risks in order to achieve a particular goal or reward;
- High achievement of objectives and targets;
- High levels of morale and productivity;
- Better use and prioritisation of resources;
- High levels of user experience/satisfaction with a consequent reduction in adverse incidents, claims and/or litigation; and
- A positive reputation established for the HSCP Board and partnership.

6 Implementing the Policy

- 6.1 The Joint Board, through the supporting risk management strategy, has established a risk management framework, which covers implementing the Risk Management Policy through clear procedures, processes, systems, risk management roles and responsibilities.

7 Review of the Policy

- 7.1 This Risk Management Policy will be reviewed every three years aligned with the HSCP Strategic Plan or sooner in the event of new guidance or good practice becoming available.

Background reading / reference documents

- Public Bodies (Joint Working) (Scotland) Act 2014
- West Dunbartonshire Health and Social Care Partnership Risk Management Policy and Strategy 2015
- West Dunbartonshire Council Risk Management Framework
- NH Greater Glasgow and Health
- West Dunbartonshire Health and Social Care Partnership Clinical and Care Governance

Person to Contact:

Margaret-Jane Cardno, Head of Strategy and Transformation
West Dunbartonshire Health and Social Care Partnership
16 Church Street
Dumbarton
G82 1QL
Email: Margaret-Jane.Cardno@west-dunbarton.gov.uk
Phone: 07786 747 952