



ASPECTS CARE

RISK MANAGEMENT AND ASSESSMENT

POLICY AND PROCEDURE

Date Policy Implemented December 2010 by Paul Graham – Registered Care Manager
Reviewed in line with Mental Capacity Act 2005
Policy reviewed January 2023 by Paul Graham – Director of Services

Aspects Care

Risk Management Policy

Introduction

1. This document sets out Aspects Care policy on and procedures for the identification and management of risk, including the roles and responsibilities of all members and parts of Aspects Care.
2. Guidance and briefing on the day-to-day assessment and management of identified risks are set out in the relevant risk assessment completed on files.
3. This paper was updated as part of a periodic review of risk management.

The policy on management of risk

1. The identification and management of risks affecting Aspects Care ability to achieve its objectives are key responsibilities of all employees and partners involved in the work of Aspects Care.

The effective management of risk is an important means by which Aspects Care achieves its goals. The reason why risk assessments are put in place are to:

- a. manage risk actively across the full breadth of Aspects Care work
- b. devolve responsibility for risk ownership and risk management to the most appropriate local level within Aspects Care, but complementing this with whole-Aspects Care ownership, oversight, and monitoring mechanisms
- c. integrate local risk management with local planning and local budgeting to ensure that risk is taken fully into account in planning and budgeting
- d. develop understanding of a risk-aware approach to working
- e. provide and maintain guidance on the techniques of risk assessment and risk management
- f. monitor and report regularly and frequently on the management of risk; and
- g. keep policy and practice under review.

The purpose of the assessment is to identify action necessary to comply with legal requirements, making suitable and sufficient assessments of risks, arrangements for the effective planning, organisation, control, monitoring and review of the preventive and protective measures.

Although the phrase "risk assessment" may conjure up images of a complex process of judgement, based upon skilled technical knowledge, the assessment is in fact nothing more than a careful examination of what is likely, in the

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workplace, in the clinical area or across the organisation as a whole, to cause harm to clients, staff, visitors or anyone else who could be affected by Aspects Care's activities.

In addition, risk assessment will identify risks to the organisation in being able to meet its operational and financial objectives whilst maintaining a quality service. From this information Aspects Care staff can then weigh up whether or not there are sufficient precautions in place, or more needs to be done to prevent that harm/threat materialising.

The primary aims are to make sure that Aspects Care remains a viable organisation fit for its purpose, that no person suffers harm due to conditions either in the workplace, or as part of their clinical treatment due to poor working practice or errors in community care.

The key principles

1. The following key principles to why Aspects Care complete risk assessments, the approach taken and what the risk assessments are for:

- This policy forms part of Aspects Care corporate governance and internal control arrangements.
- Risk management is one of the key tools to ensure the achievement of Aspects Care business objectives set out in its strategic operating plans, and as such is an integral part of planning and monitoring.
- Risk management is a process for defining, analysing, controlling, and managing risk.
- Risk assessment is an explicit and major feature of Aspects Care approach to the authorising and management of existing and new work.
- Risk assessment and planning are a contractual requirement within social care contracts
- Minimise risk to service users, staff, family, friends, other professionals and members of the general public.
- The Directors is ultimately responsible for the internal control arrangements, including risk management.

2. Aspects Care defines risk as:

'The threat that an action or event will adversely affect Aspects Care ability to achieve its current and future objectives.'

In its management of risk, Aspects Care make a distinction between strategic risk and operational risk. This distinction is reflected in the respective roles of the Executive and the operational Groups (see paragraphs 11-13).

- Operational risks are primarily to do with the day-to-day conduct of Aspects Care business – reviews, audits,

benchmarking, maintenance of the care/support infrastructure, – or the management of Aspects Care as an organisation – governance, staffing, resources, office systems. The management of operational risk is an integral part of the overall responsibility for operational planning, management and monitoring that has been delegated to Aspects Care.

- Strategic risks are different. They are invariably less to do with the day-to-day conduct of Aspects Care business and are more to do with the nature and purposes of the organisation, its ability to achieve its mission, the environment it works in, its competitors, the stakeholders' needs it seeks to satisfy, its response to opportunities and threats, its vulnerability to political shifts, the solidity of its reputation and standing. Strategic risks are identified and managed by the Director through its own meetings, through events such as the Service User meeting and Directors Away days, and through Directors and senior staff engagement with key partners, institutions, clients, employers, governments/council departments and other stakeholders. Key strategies for managing strategic risks include adaptability and responsiveness, working in partnership with stakeholders to understand and meet their needs, developing our own expertise, analysing and disseminating the enhancement value in our work, demonstrating the benefits of what we do, and changing what we do and how we do it as circumstances alter.
- Care Risk Management is a process where risks associated with clients are identified and analysed. Steps are then taken to reduce, control, or eliminate the risk. The aims of Risk Assessments are to identify what potential or actual risk clients face when accessing the services provided by reviewing the following areas:
 - Training and Supervision
 - Management of Client activities
 - Written Protocols and Guidelines
 - Client Record Keeping
 - Complaints and Claims Management
 - Induction of staff
 - Equipment

- Incident Reporting
- Risk Assessment
- Local ownership of the assessment is essential in identifying potential or actual risks for which measures can be put in place to remove or reduce the likelihood of occurrence.

Aims and Objectives

To ensure compliance with relevant legislation, in particular with the requirements of the Management of Health and Safety at Work Regulations (1999).

To undertake a suitable and sufficient assessment of all workplace risks, identifying hazards and judging the level of risk.

To eliminate or reduce, as far as reasonably practicable, all unacceptable risks by the implementation of appropriate alternatives or control measures.

To record and review assessments at an appropriate frequency.

To provide suitable information, supervision and training to enable effective risk assessments to be carried out

Risk management strategy: roles and responsibilities

Role of the Directors

1. The Directors have ultimate responsibility for the management of Aspects Care risks. It monitors Aspects Care approach to the management of risk, and its effectiveness in managing risk. It considers the risks facing Aspects Care at a strategic level. Its role includes:
 - a. instilling a culture of risk management:
 - determining the Aspects Care 'risk appetite' across the whole organisation or on any relevant individual issue, and reviewing this periodically as part of the strategic planning cycle
 - determining which types of risk are acceptable and which are not
 - determining the appropriate level of risk exposure
 - setting the standards and expectations of staff, Directors and contractors who undertake work on behalf of Aspects Care
 - b. satisfying itself that risks are managed appropriately:
 - considering the external environment and identifying emerging strategic risks
 - approving the overall risk management arrangements

- approving decisions which have a major impact on the Aspects Care risk profile or exposure and satisfying itself that the Aspects Care actual level of risk exposure does not exceed that agreed
- monitoring the management of significant risks
- satisfying itself that the less significant risks are being actively managed, and that the appropriate controls in place are working effectively
- mmm reporting on risk management annually in the Directors' Report as part of Aspects Care internal controls arrangements

Role of the Directors

1. As part of Directors role to produce a report on the effectiveness of the Aspects Care internal control arrangements, it will report on:
 - a) annually on the Aspects Care approach to risk management and overall risk management arrangements
 - b) periodically on the management of significant risks (on report from the Executive)
 - c) on the implications of internal audit reports and
 - d) on the implications of the recommendations made by the external auditors

Role of the Registered Care Manager/Deputy Managers

1. The Registered Care Manager/Senior Care Coordinator has the authoritative decision-making role within the Aspects Care management structures. S/he has the ultimate management responsibility for risk and implementation of the Directors' policy and reporting requirements. The Registered Care Manager/Senior Care Coordinator takes the lead in ensuring that policy and practice remain appropriate and fit for purpose. The Registered Care Manager ensures that assessment and management of risk are an explicit feature of the Aspects Care approach to the authorising and management of existing and new work. The Registered Care Manager/Senior Care Coordinator also acts as a 'risk owner' themselves in respect of strategic risks.
2. Specifically, it is responsible for:
 - establishing and maintaining a coherent and practical Aspects Care approach to the management of risk, within Aspects Care Planning Framework structure
 - maintaining Aspects Care Risk Policy, strategy, and guidelines
 - identifying and managing the strategic risks faced by Aspects Care, for consideration by the Directors
 - reviewing twice a year its assessments of strategic risk
 - oversight of operational risks alongside identification and management of strategic risks

- annual review of management of risks
- periodic review of the effectiveness of Aspects Care risk management arrangements
- preparation of reports to the Directors

Role of the Care Coordinators

1. The Care Coordinators role is to identify, assess, manage, monitor and report on the management of operational risks at the “frontline” service delivery point. Specifically, as part of the development of local operating plans Care Coordinators are responsible for:
 - a. devising an appropriate local mechanism for identifying, assessing, managing, monitoring and reporting on risk which reflects Aspects Care risk management policy
 - b. implementing policies on risk management and internal control arrangements
 - c. as part of the annual summary local operating plan, describing risks identified and how they are being managed in accordance with Aspects Care risk management guidelines
 - d. identifying, assessing, and developing a strategy to manage risks for the objectives
 - e. monitoring the management of the risks for which they are responsible
 - f. reporting quarterly to the Registered Care Manager on the identification and management of risk.

Role of staff and contractors

1. All employees and contractors are expected:
 - to be familiar with Aspects Care policy on and approach to risk management
 - to take a risk management approach to their work
 - to take responsibility for the risks they ‘own’
 - to highlight ways in which the business objectives may be at risk and could be managed better
 - to consider how Aspects Care might reduce its exposure to risk.