

Risk Management Awareness Training

Liverpool PCT

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Learning Outcomes

- Understanding the advantages of having robust risk management systems in place
- Understanding risk management tools & techniques
- Ability to identify and record risks in a systematic way
- Ability to develop and maintain risk registers

Effective Risk Management

- **Why do we need risk management systems & processes?**
- **Why is it so important?**

Tools & Techniques

Escalation Process

- Chief Executive – legally accountable for the organisation - who within your organisation has this responsibility?
- Board Members & Directors – Ensure robust systems and processes exist which provide assurance - Who carries out this role within your organisation? – Is it the partners?
- Lead Officers – day to day management of risks in their area of responsibility escalating where necessary – Is this the role of the Practice Manager or CG lead?
- Responsibility for risk identification, assessment, recording, controlling, mitigating and escalating risks which effect the delivery of your service;

EVERYONES!

Tools & Techniques Incident Reporting & Significant Event Analysis

- Electronic Incident Reporting Form available to practices developed by the PCT
- Provides assurance to PCT Commissioners and external bodies that robust systems are in place
- Ensures lessons learnt & good practice shared both at practice, consortium & national level (NRLS)

Tools & Techniques

Internal Sources of Assurance (Limited)

- Internal audit
- KPIs
- Performance reports
- Sub-committee reports
- Compliance audit reports
- Local counter fraud work
- Clinical audit
- Staff satisfaction surveys
- Staff appraisals
- Training records
- Training evaluation reports
- Results of internal investigations
- SUI reports
- Complaints records
- Infection control reports
- Standards for Better Health self-assessment
- Information governance toolkit self-assessment
- Patient advice and liaison services reports
- Human resource reports
- Internal benchmarking

Sources of assurance

External Sources of Assurance (Significant)

- External audit
- Audit Commission
- NHS Litigation Authority
- Clinical Negligence Scheme for Trusts
- Strategic health authority reports/reviews
- Monitor
- Healthcare Commission hygiene code reports
- Care Quality Commission reviews
- Care Quality Commission inspections of Standards for Better Health declarations
- Royal College visits
- Deanery visits
- External benchmarking
- Patient environment action team reports
- Accreditation schemes
- National and regional audits
- Peer reviews
- Feedback from service users
- Feedback from commissioners
- External advisors
- Local networks (for example, cancer networks)
- Investors in People

Tools & Techniques

Risk Registers

- **Advantages;**
- Allows an objective assessment of risk to take place
- Scoring mechanism and identified gaps in controls or assurances will trigger escalation of risk within the organisation
- Organisational tolerances can be applied > risk consequences can be understood more widely.
- Enables recording of risks from a variety of sources including significant partnerships external to the organisation
- Regular review keeps risks dynamic & 'live'
- Provides evidence for Commissioners & external audit requirements
- Essential Business Tool
- **ENSURES YOU CAN DELIVER YOUR OBJECTIVES**

Learning Outcomes

Recap

- Understand the importance of risk management systems
- Ability to identify risks, record and manage them effectively
- Equipped with the tools & techniques to support the risk management systems & process.
 - Escalation of risk
 - Incident Reporting Form & SEA
 - Sources of Assurance
 - Risk Register template

Close & Thank You!!





