

Risk Management Strategy and Policy

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Please contact the Equality, Diversity and Human Rights Team on 01903 845724 or email

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1. Equality and Human Rights Impact Analysis (EHRIA)

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1.1 Board Lead:	Helen Greatorex	1.2 Analysis Start Date:	18 th April 2011 (Original)	
		1.3 Analysis Submission Date:	18 th April 2011	
		1.4 Analysis Submission Date:	27th January 2015	
1.5 Analysis Team Members:	1) Author / Editor: Glen Woolgar/Paul White 2) I/We, being the author(s), Service Managers, acknowledge in good faith that this analysis uses accurate evidence to support accountable decision-makers with due regard to the National Equality Duties, and that the analysis has been carried out throughout the design or implementation stage of the service or policy.			
1.6 If this is a cross agency policy/service or strategy please indicate partner agencies and their formal title				
1.7 Completion Statement				
1.8 Policy Aim	The purpose of this document is to define Sussex Partnership NHS Foundation Trust's strategy and policy for risk management and covers; Strategic Intent, Policy Objectives and Targets, Accountability and Reporting Structures, Risk Management Process, Risk Management Training and Support, Monitoring, Reviewing and Auditing.			
Send draft analysis along with the policy, strategy or service to equality.diversity@sussexpartnership.nhs.uk for internal quality control prior to ratification.				
1.9 Quality Assessor sign off	Tereza Kaplanova			
1.10 Reference Number	TK223			

2. Evidence Pre-Analysis – The type and quality of evidence informing the assessment

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X	2.1 Types of evidence identified as relevant have X marked against them		
	Patient / Employee Monitoring Data	X	Risk Assessments
	Recent Local Consultations	X	Research Findings
	Complaints / PALS / Incidents	X	DH / NICE / National Reports
	Focus Groups / Interviews	X	Good Practice / Model Policies
	Service User / Staff Surveys	X	Previous Impact Analysis
	Contract / Supplier Monitoring Data		Clinical Audits
	Sussex Demographics / Census		Serious Untoward Incidents
	Data from other agencies, e.g. Services, Police, third sector		Equality Diversity and Human Rights Annual Report
<p>Please provide detailed evidence for the areas highlighted, and also any other Evidence that may be relevant (please state):</p> <p>This policy was developed by the Head of Risk and Safety in consultation with colleagues.</p> <ul style="list-style-type: none"> HEALTH AND SAFETY AT WORK ACT 1974 MANAGEMENT OF HEALTH AND SAFETY AT WORK REGULATIONS 1999 NHSLA RISK MANAGEMENT STANDARDS 			

3. [AimsAndFreedomsGuidance](#) Impact and outcome Evaluation – Any impacts or potential outcomes are described below.

[HelpEqualityImpactsGuidance](#)

Ref	Mark one X		Describe how this policy, strategy or service will lead to positive outcomes for the protected characteristics . Describe how this policy, strategy or service will lead to negative outcomes for the protected characteristics . (Please describe in full for each)	People's Characteristics (Mark with 'X'):								
	+	-		Age	Disability & Carers	Gender Reassignment	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Human Rights
3.1	X		Trust approved access statement is on the policy to enable access to policy in different formats and languages.	X	X			X				
3.2	X		The policy addresses the need to assess and monitor risk including the reporting of incidents through effective risk management and good management practice.	X	X	X	X	X	X	X	X	X
3.3	X		The policy promotes risk triangulation (which should ultimately result in equality considerations where appropriate).	X	X	X	X	X	X	X	X	
3.4												

Add more rows if necessary with new reference numbers in the left column

4. General Duty – Due Regard

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Describe how this policy, strategy or service will show due regard for the three aims of the general duty across the protected characteristics listed. Please describe in full. (Please make sure that you address each of the protected characteristics in your answers)		People's Characteristics (Mark with 'X'):								
		Age	Disability & Carers	Gender Reassignment	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Human Rights
4.1	Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010; Help	X	X	X	X	X	X	X	X	X
4.2	Advance equality of opportunity between people from different groups; Help	X	X			X				
4.3	Foster Good relations between people from different groups Help	X	X	X	X	X	X	X	X	
Add more rows if necessary with new reference numbers in the left column										

5. Monitoring Arrangements

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5.1	<p>The arrangements to monitor the effectiveness of the policy, strategy or service considering relevant characteristics? E.g.</p> <ul style="list-style-type: none"> ➤ survey results split by age-band reviewed annually by EMB and Trust Board ➤ Service user Disability reviewed quarterly by Equality and Diversity Steering Group or annually in the EDHR Annual Report 	<p>The Risk Management Strategy & Policy will be monitored via a number of different routes currently in existence within the Governance Support Team:</p> <ol style="list-style-type: none"> 1. Incident data to include the capture of some protected characteristics that when aggregated and analysed will provide a picture of any prevalence in a particular strand and common themes that can be addressed. This will be monitored at the various Trust Forums. 2. Review training course evaluations / verbal feedback. 3. Review the Governance Performance Audit (GPA) and Risk Assessment Form. 4. Ad-hoc audits to be carried out for specific risk and safety areas i.e. Lone working arrangements, violence against staff report, manual handling.
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6. Human Rights Pre-Assessment

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The Impacts identified in sections () have their reference numbers (e.g. 4.1) inserted in the appropriate column for each relevant right or freedom		
	+	-
A2. Right to life (e.g. Pain relief, DNAR, competency, suicide prevention)		
A3. Prohibition of torture, inhuman or degrading treatment (e.g. Service Users unable to consent)		
A4. Prohibition of slavery and forced labour (e.g. Safeguarding vulnerable patients policies)		
A5. Right to liberty and security (e.g. Deprivation of liberty protocols, security policy)		
A6&7. Rights to a fair trial; and no punishment without law (e.g. MHA Tribunals)	3.2	
A8. Right to respect for private and family life, home and correspondence (e.g. Confidentiality, access to family etc)	3.3	
A9. Freedom of thought, conscience and religion (e.g. Animal-derived medicines/sacred space)		
A10. Freedom of expression (e.g. Patient information or whistle-blowing policies)		
A11. Freedom of assembly and association (e.g. Trade union recognition)		
A12. Right to marry and found a family (e.g. fertility, pregnancy)		
P1.A1. Protection of property (e.g. Service User property and belongings)		
P1.A2. Right to education (e.g. accessible information)	3.1	
P1.A3. Right to free elections (e.g. Foundation Trust governors)		

7. Risk Grading

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7.1 Consequence of negative impacts scored (1-5)	1	7.2 Likelihood of negative impacts scored (1-5):	1	7.3 Equality & Human Rights Risk Score = Consequence x Likelihood scores:	1
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8. Analysis Outcome– The outcome (A-D) of the analysis is marked below ('X') with a summary of the decision

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X 8.1 The outcome selected (A-D):	8.2 Summary for the outcome decision (mandatory)
X A. Policy, strategy or service addresses quality of outcome and is positive in its language and terminology. It promote equality and fosters good community relations	Policy promotes the need for good management through effective risk management principles to foster positive impacts.
B. Improvements made or planned for in section 9 (potential or actual adverse impacts removed and missed opportunities addressed at point of design)	
C. Policy, service or strategy continues with adverse impacts fully and lawfully justified (justification of adverse impacts should be set out in section 3 above)	
D. Policy, service or strategy recommended to be stopped. Unlawful discrimination or abuse identified.	

9. Equality & Human Rights Improvement Plan

- › Remove negative impacts for people with protected characteristics
- › Improve opportunities for people with protected characteristics
- › Improve evidence and fill 'gaps' in our knowledge where relevant
- › Record changes already made as a result of the impact analysis process
- › Actions resulting from public engagement, should include the name and date of the engagement next to it

Actions should when relevant and proportionate meet the different needs of people.

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Impact Reference(s) (from assessment)	What directorate (team) action plan will this be built into	Action	Lead Person	Timescale	Resource Implications

Add more rows if necessary

Build this plan into relevant parts of your project / business / service plans (reflect in their wording that they are 'equality objectives')