PrimaryCare:24

DATIX RISK REGISTERS

Quality & Governance team

Launching Tuesday 6th April 2021

WELCOME!

Keep microphone muted when not contributing

- **Introductions**:
  Name
  Job Role
  Service/Team

- **What is your knowledge of Risk Management on a Scale of 0-5?**

AIM OF THE SESSION

To gain the knowledge and skills to identify, report and manage risks using the new Risk Register module on Datix.

OBJECTIVES

1. Risk Register overview
2. Use Datix Risk Register to identify and add risks using the RISK1 form
3. Understand the Risk Scoring Matrix
4. Manage a risk using the RISK2 form, and Action Plans

UNDERSTANDING RISKS

The **Datix Risk Register** provides a centralised system to record and manage risks identified across the organisation that could potentially impact on our effectiveness and ability to deliver services.

Risk management processes enable us to ensure significant risks are identified and appropriate controls are put in place to reduce or prevent the likelihood of risks occurring. The new Datix Risk Register will ensure a standardised, transparent approach to Risk Management throughout PC24 and will support the monitoring of identified risks.

UNDERSTANDING RISKS - SOURCES

How are risks typically identified?

- Incident and feedback management

- Carrying out risk assessments

- Observation

- CAS alerts and external notifications

- Compliance audits

MANAGING RISKS - RISK REVIEW CYCLE

1. Objectives

Organisation Objectives need to be set by Directors at a corporate level in line with the organisational strategy

2. Risk Identification

Significant risks will be identified from many sources. These need to be assessed regularly. Risks need to be defined in terms of preventing organisational objectives from being delivered.

3. Determine Controls

Controls to mitigate risks need to be identified and linked to the applicable risks.

4.Assurance (Evidence)

Assurance is provided by physical evidence of the controls in place to ensure the risk is being mitigated effectively.

5. Review & Evaluation

The Regular review of Risks needs to be undertaken to evaluate the effectiveness of controls & assurances to manage the risk and determine the current risk grade.

6. Upward Reporting

Significant risks graded 15+ escalated to the Board on a routine basis. Process operates within a framework, strategy and policy set by Governance, coordinated and overseen by the Quality & Workforce Committee.

MANAGING RISKS – CONTROLS & ASSURANCES

Recording the risk on the register will support the management of the risk; identifying **assurances** and **controls**, which will eventually reduce the level of risk.

Controls are a measure that are put in place to eliminate or reduce the likelihood of the risk occurring, or the consequences if it did occur. An example of a control for our risk could be that there is a panic alarm on Reception which alerts emergency services once activated.

Assurances are added to provide physical evidence that the controls are in place and working effectively. An example of an assurance of our control could be the certificate of proof that the alarm had been fitted, and the certificate of the last test date.

MANAGING RISKS – RISK GRADING MATRIX

What is a Risk Grade? This is a measure to demonstrate the consequences and the likelihood of the risk occurring. Risk grades will be measured in two stages, initial risks, first identified without controls in place and current risks once controls are added.

Risk Scoring Matrix Guidance Tool	**CONSEQUENCES**				
LIKELIHOOD	Insignificant	Minor	Moderate	Major	Catastrophic
Almost certain	**5**	**10**	**15**	**20**	**25**
Likely	**4**	**8**	**12**	**16**	**20**
Possible	**3**	**6**	**9**	**12**	**15**
Unlikely	**2**	**4**	**6**	**8**	**10**
Rare	**1**	**2**	**3**	**4**	**5**

MANAGING RISKS – RISK REVIEW TIMESCALES

The regularity with which risks are reviewed will depend on their content and severity.
The Datix Risk Register will send an automatic email notification to the Risk Owner when a Risk is due for review.

A **HIGH** (15-25) risk should be reviewed at least **Monthly.**

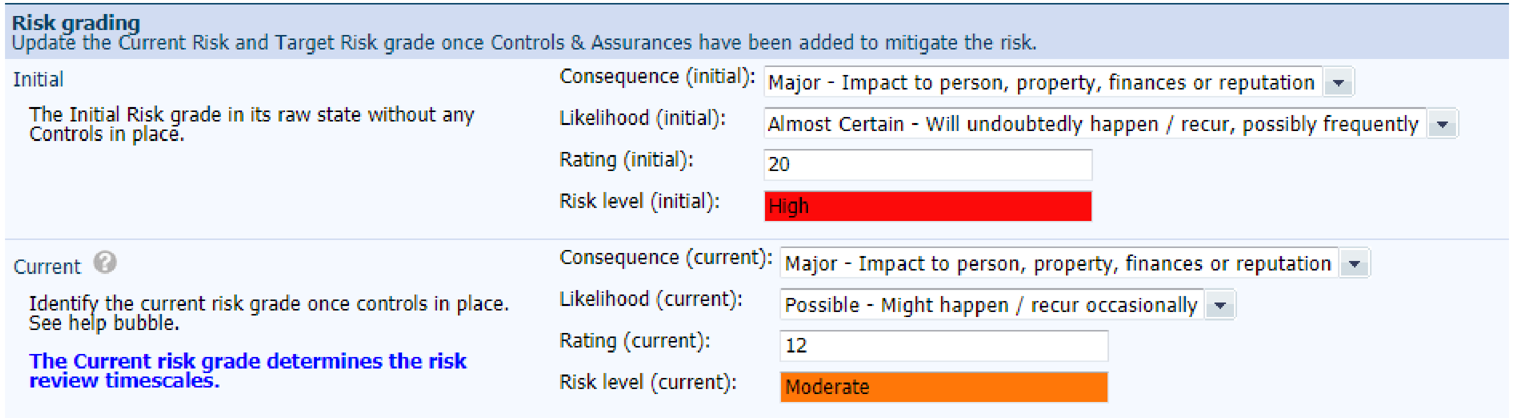
A **MODERATE** (6-12) risk should be reviewed at least **Quarterly.**

A **LOW** (1-5) risk should be reviewed at least **Annually.**

Each time a Risk is reviewed, the Risk Owner must complete the Review Update Section with any progress or changes. Once the Risk has been fully mitigated to an acceptable level and the Current risk grade has reduced significantly the Risk can be closed. the Risk Owner must set the Approval Status to 'Closed Risk'. Risks can be re-opened if controls become ineffective.

MANAGING RISKS – RISK GRADING MATRIX

The **Initial Risk** score is based on the risk in it's raw state before any controls have been considered.



Risk grading
Update the Current Risk and Target Risk grade once Controls & Assurances have been added to mitigate the risk.

Initial

The Initial Risk grade in its raw state without any Controls in place.

Consequence (initial): Major - Impact to person, property, finances or reputation
Likelihood (initial): Almost Certain - Will undoubtedly happen / recur, possibly frequently
Rating (initial): 20
Risk level (initial): High

Current

Identify the current risk grade once controls in place. See help bubble.

The Current risk grade determines the risk review timescales.

Consequence (current): Major - Impact to person, property, finances or reputation
Likelihood (current): Possible - Might happen / recur occasionally
Rating (current): 12
Risk level (current): Moderate

The **Current Risk** grade is the risk graded once controls & assurances are in place.

UNDERSTANDING RISKS - TYPES

Datix Risk Register		
Service/ Team Risks	Project Risks	Strategic risks

SERVICE/TEAM RISK: A risk identified which has the potential to have an impact on the operation of a team or the delivery of a service within the organisation. These risks are managed by Service/Practice Managers but must be approved by Head of Service.

PROJECT RISKS: A risk identified which has the potential to impact the delivery of a project. These will be managed by the PMO.

STRATEGIC RISK: A risk identified which has the potential to have an impact on an organisational level. These risks would be managed at an executive level and must be approved by the Chief Executive Officer of the organisation.

MANAGING RISKS – RISK ESCALATION

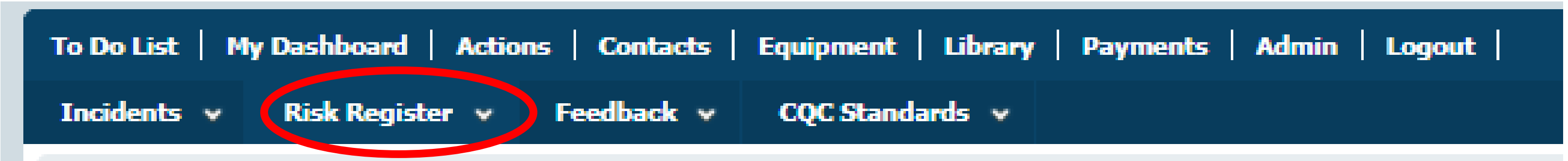
- Risks are escalated based on their severity, not based on the ‘Risk Type’ e.g. Strategic Risk or Service/Team Risk.
- All risks with a current risk grade of 15 or above are escalated to Quality & Workforce committee.
- The Executive Team will be responsible for escalating risks and transferring significant organisational risks to the Strategic Risk Register.
- All risks with a current risk grade scoring below 15 will be regularly reviewed and managed by the relevant manager and this process will be overseen by the Head of Service.

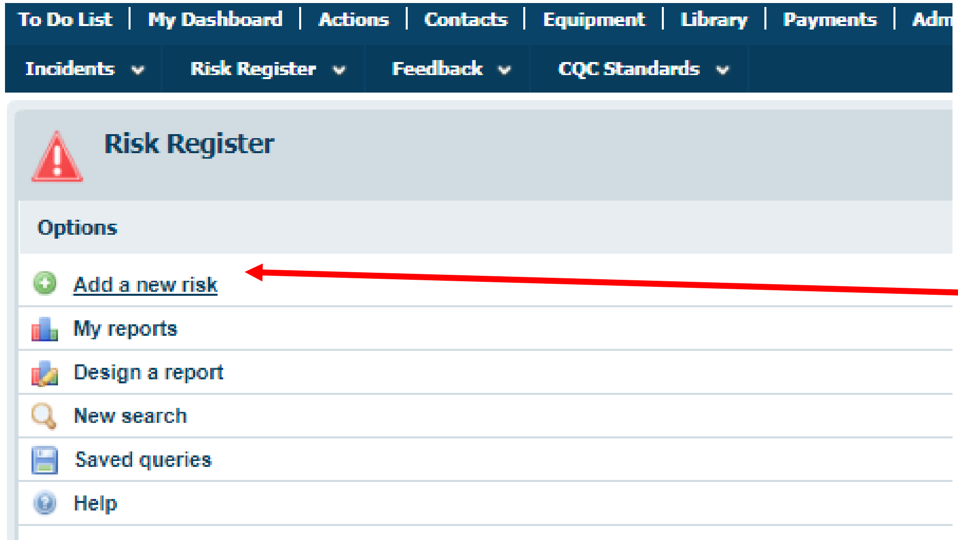
MANAGING RISKS -RISK PATHWAY

Stage 1 As soon as Risk is identified	Stage 2 Within 10 Working days	Stage 3 Senior Manager Approval	Stage 4 Regular review and update	Stage 5 Closure
NEW RISK IDENTIFIED	RISK BEING REVIEWED	RISK AWAITING APPROVAL	OPEN RISK	CLOSED RISK
RISK1 Form Completed	Risk Owner to review, add controls & assurance, add actions for additional controls, grade and submit for management approval	All new risks for approval to be discussed & approved and placed on Open Risk Register	Risk Owner to review risks regularly in accordance with grade timescales until closure	Risks that are deemed Sufficiently mitigated can be closed Risks can be re-opened if controls are ineffective

MANAGING RISKS – DEMONSTRATION

ADDING A RISK TO THE RISK REGISTER MODULE



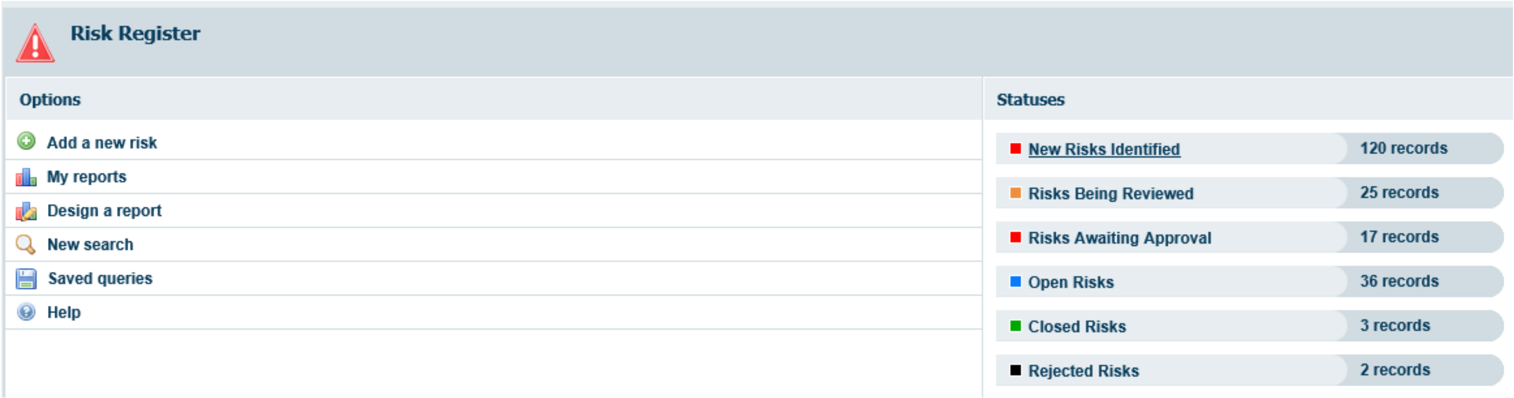


Click here to add a new risk to the risk register.

MANAGING RISKS – ACCESSING THE RISK REGISTER

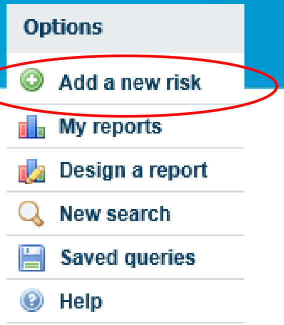
- Once logged onto Datix, click on the Risk Register Module Tab at the top of the page.

- This will take you to the Risk Register module main screen:

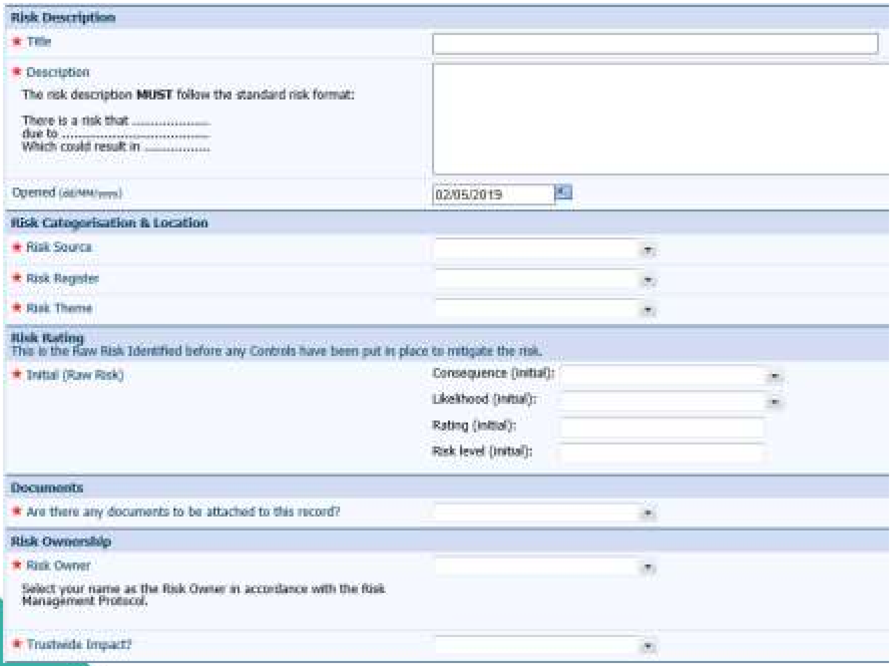


MANAGING RISKS – ACCESSING THE RISK REGISTER

1. Select "Add a new risk"



2. Complete the main page and click Submit to add the record on Datix



Enter the Risk name, the date will automatically populate, add your risk's description in the requested format – "There is a risk that… due to… which could result in…"

Select the source of the risk, the type of risk register and the risk theme. Select the **INITIAL** consequence and likelihood rating (see risk matrix). Rating and Risk Level will automatically populate. Select whether any documents need to be attached and identify the risk owner and whether it will impact organisation wide. Then click Submit. An automated email notification will be sent to the risk owner.

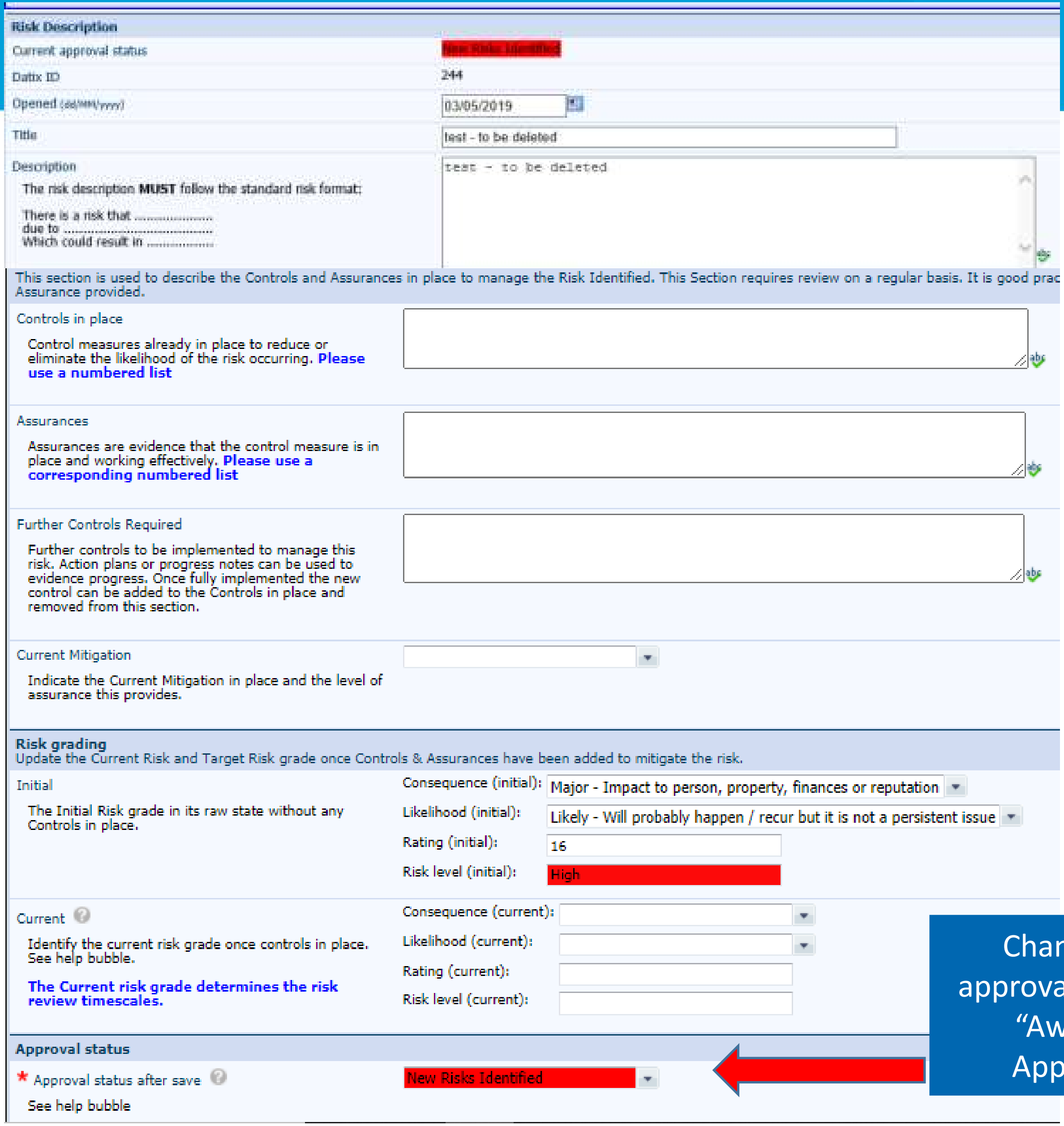
MANAGING RISKS – REVIEWING A RISK

The risk has now been added in Datix.

You have got 10 working days to Complete the controls in place, assurances and further controls required to reduce the risk and submit for Manager approval

Further guidance & examples on what is required is on the Datix form.

Once you have identified your controls and assurances you need to re-grade the risk in the current section.


Risk Description

Current approval status	New Risks Identified
Datix ID	244
Opened (dd/MM/yyyy)	03/05/2019
Title	test - to be deleted
Description The risk description **MUST** follow the standard risk format: There is a risk that .... due to .... Which could result in	test - to be deleted

This section is used to describe the Controls and Assurances in place to manage the Risk Identified. This Section requires review on a regular basis. It is good prac Assurance provided.

Controls in place Control measures already in place to reduce or eliminate the likelihood of the risk occurring. **Please use a numbered list**	
Assurances Assurances are evidence that the control measure is in place and working effectively. **Please use a corresponding numbered list**	
Further Controls Required Further controls to be implemented to manage this risk. Action plans or progress notes can be used to evidence progress. Once fully implemented the new control can be added to the Controls in place and removed from this section.	
Current Mitigation Indicate the Current Mitigation in place and the level of assurance this provides.	

Risk grading
Update the Current Risk and Target Risk grade once Controls & Assurances have been added to mitigate the risk.

Initial The Initial Risk grade in its raw state without any Controls in place.	Consequence (initial):	Major - Impact to person, property, finances or reputation
	Likelihood (initial):	Likely - Will probably happen / recur but it is not a persistent issue
	Rating (initial):	16
	Risk level (initial):	High
Current Identify the current risk grade once controls in place. See help bubble. **The Current risk grade determines the risk review timescales.**	Consequence (current):	
	Likelihood (current):	
	Rating (current):	
	Risk level (current):	

Approval status

* Approval status after save See help bubble	New Risks Identified

Change the approval status to "Awaiting Approval"

MANAGING RISKS – APPROVAL PROCESS

"Risk Awaiting Approval" need to be discussed and approved with Heads of Service or equivalent.

Management Approval
Senior Manager / Head of Service to review the Risk Description, Assurance Framework and grading. If satisfied they can complete the Management Appro
communication to the Risk Owner to confirm.

Alternatively, If the Risk scope, Assurance Framework or grading needs further work that status can be amended to "Risk being Reviewed" and relevant am

Senior Manager/Head of Service	Shields, Stacey - Deputy Director of Integrated Urgent Care
Approval Date	12/03/2021
Approval Comments	I have reviewed the risk description, Controls & Assurance and Risk Grade and am happy to approve this risk for the Open Risk Register for Regular review in accordance with the Current Risk Grade review timescales.

Approval status

* Approval status after save	Open Risks

See help bubble

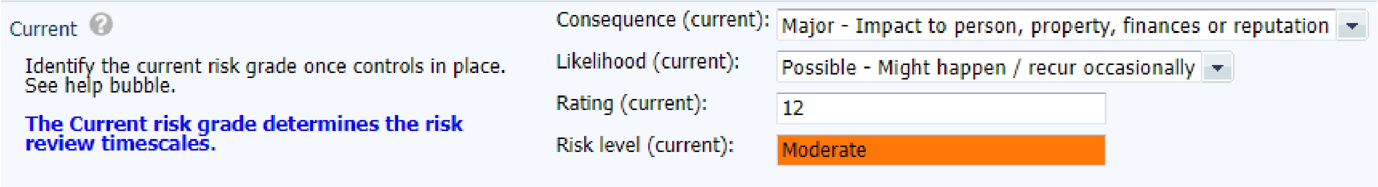
Heads of Service need to complete the management approval section. Complete the approval date and add any notes.

1. The Risk is approved and amended to "**Open Risks**" or
2. The Risk is not approved due to insufficient controls and the approval status is amended to "**Risks being Reviewed**" for the Risk Owner to amend.

MANAGING RISKS – REVIEWING AN OPEN RISK

Dependant on the “Current” grading of a Risk an Action Chain will be created to send email notifications to the Risk Owner when the Risk needs to be reviewed and updated.

High Red: Risk Rating 15-25	To be Reviewed Monthly
Moderate Amber: Risk Rating 6-12	To be Reviewed Quarterly
Low Green: Risk Rating 1-5	To be Reviewed Annually



Current

Identify the current risk grade once controls in place. See help bubble.

The Current risk grade determines the risk review timescales.

Consequence (current): Major - Impact to person, property, finances or reputation

Likelihood (current): Possible - Might happen / recur occasionally

Rating (current): 12

Risk level (current): Moderate

Open the Risk and Complete the Review Update Section

Review Update Section

Please tick any updates required each time the risk and associated action plans are reviewed for monitoring.

Review date (dd/mm/yyyy)

Risk Review Overview

- ☐ No Amendments/updates required
- ☐ Controls added/amended
- ☐ Gaps in Controls added/amended
- ☐ Assurance added/amended
- ☐ Gaps in Assurance added/amended
- ☐ Action Plans updated
- ☐ Action Plan Completed

Risk Grade Review Status?

Risk Review Summary

Risk ready for Closure?

Risk Owner’s need to review and update the Controls in place, Assurances and Further Controls Required – Then update the Risk Review Overview section and state whether the Risk Grade Status has been amended. Complete the Risk Review Summary section, this needs to be repeated at regular intervals as determined by the Risk Grade until the Risk is reduced or deemed sufficiently mitigated ready for closure.

RISK REGISTER – REVIEWING RISKS USING THE ACTION CHAIN

Actions

ID	Action lead	Assigned by	Module	Title/Recommendation	Due date	Done date	Status
203	Debs Smith		Risk Register	Quarterly Risk Review	04/06/2021		

Create a new action

Save Cancel

Action Chains have been configured to automatically notify Risk Owners when a Risk is due to be reviewed, dependent on the current risk grade when added to the Open Risk Register.

Action Details

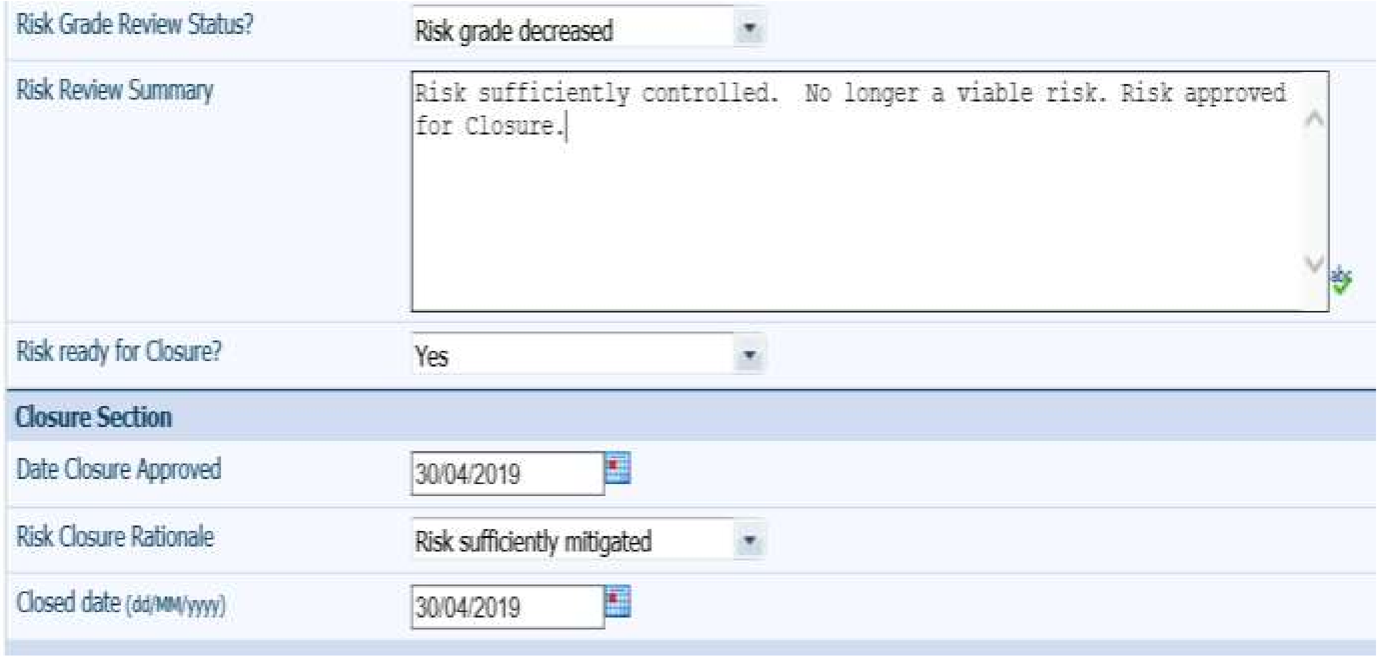
Action ID	203
Module	Risk Register
Type	Risk Review
Service / Team	Quality and Governance
Service Delivery Unit (SDU)	Corporate
Title / Recommendation	Quarterly Risk Review
Linked record ID	62
* Status Select 'Completed' to indicate that you have reviewed your linked risk.	
Record	MASTER TRAINING RISK - Environment
Action chain title	Quarterly Risk Review (Amber: Current Risk Rating 6-12)
Step number	1

Save Cancel

Once a Risk Owner has reviewed the Risk, they need to ensure that they change the status of the Action chain to 'Complete', which will trigger the next Risk Review date.

MANAGING RISKS – CLOSING RISKS

Risks should continue to be reviewed and updated in line with the Risk Review timescales. Once the Risk is felt to be sufficiently controlled it can be closed. Service Managers should notify Head of Service or Senior Manager prior to closure.



Risk Grade Review Status?	Risk grade decreased
Risk Review Summary	Risk sufficiently controlled. No longer a viable risk. Risk approved for Closure.
Risk ready for Closure?	Yes
Closure Section	
Date Closure Approved	30/04/2019
Risk Closure Rationale	Risk sufficiently mitigated
Closed date (dd/MM/yyyy)	30/04/2019

When a Risk is ready for closure the Risk Owner needs to submit the risk to their next Regional Operational Team Meetings or equivalent for it to be approved and closed by Regional/Corporate Managers

MANAGING RISKS – ADDITIONAL FUNCTIONS

On the left hand panel you will also see other tabs.

- Risk Description
- Email Communication
- Documents and Templates
- Actions and Action chains
- Progress notes

Use the email communication to send emails within the Datix record to provide a clear audit trail.

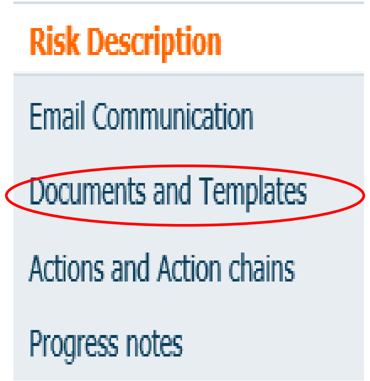
All required evidence needs uploading within the document section to provide assurance of compliance for each risk

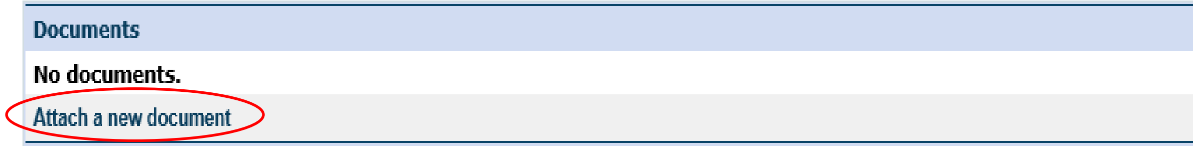
Action plans can be created if required for any further controls required

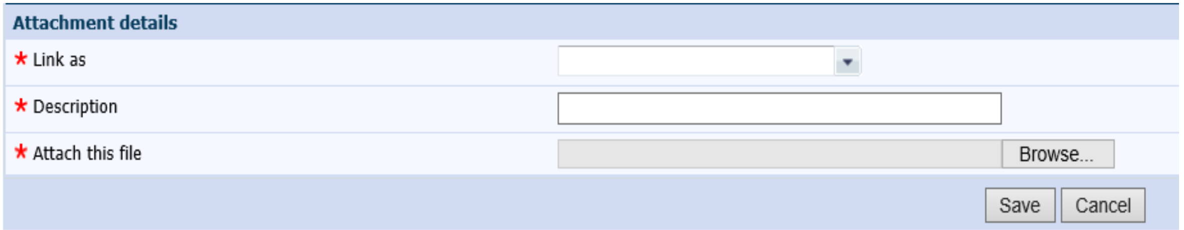
Progress notes can be added to give updates or further information for this record.

MANAGING RISKS – UPLOADING DOCUMENTS

Select the Documents tab in the left hand panel and click ''Attach a new document' to upload any required evidence.







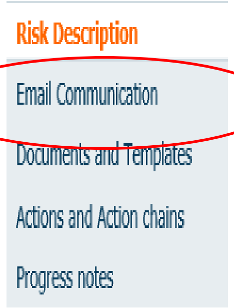
Link as: the document you are attaching. e.g. Policy Email or Photograph

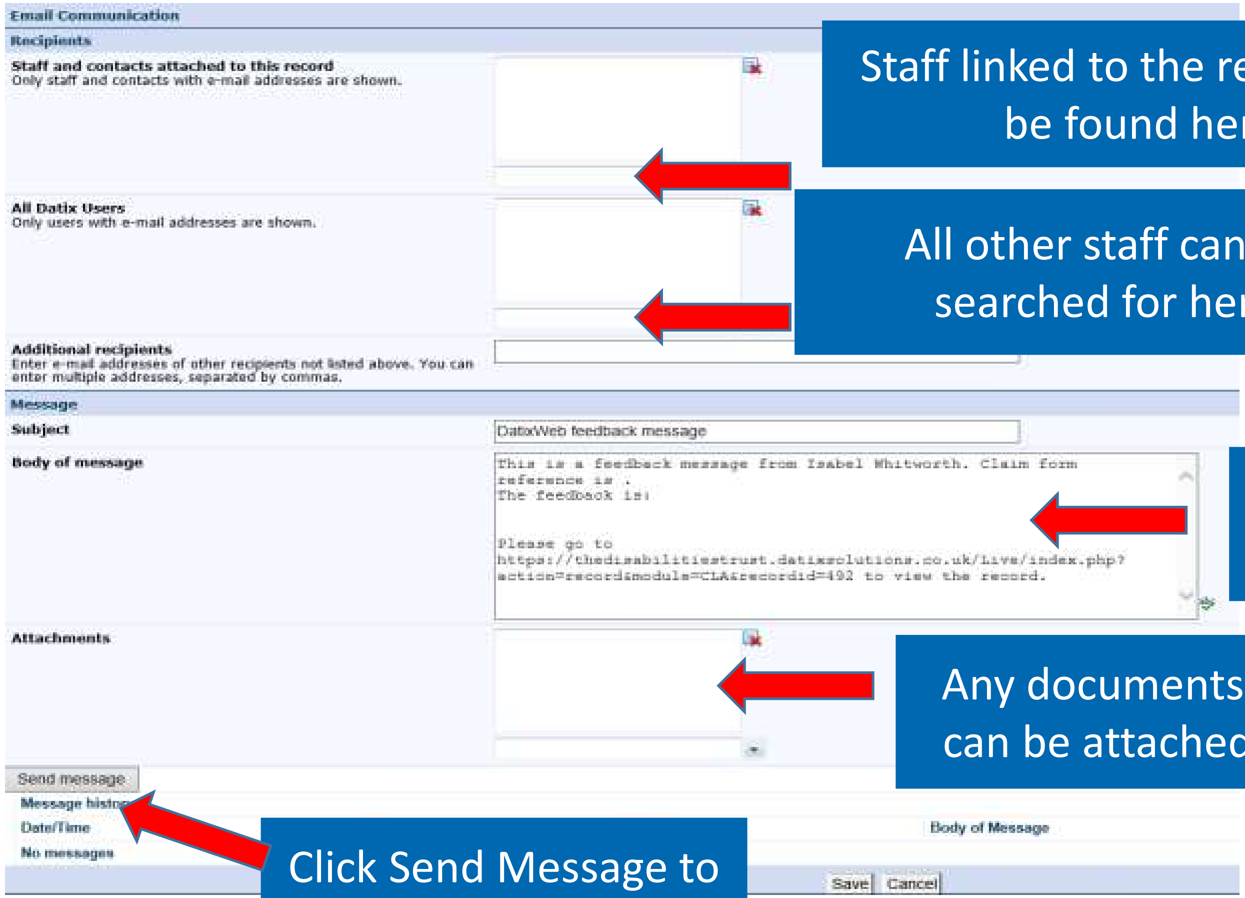
Select the type of document, add a brief description and browse to the electronic folder where you have saved the document to upload.

Clicking Browse will open your network drive for you to find the relevant document.

MANAGING RISKS – EMAIL COMMUNICATION

Select the Email Communication tab in the left hand panel





Staff linked to the record can be found here

All other staff can be searched for here

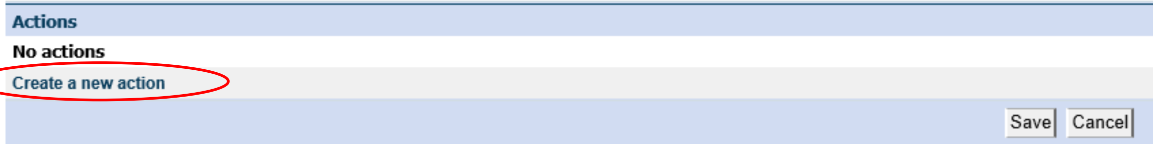
Insert the contents of your email here.

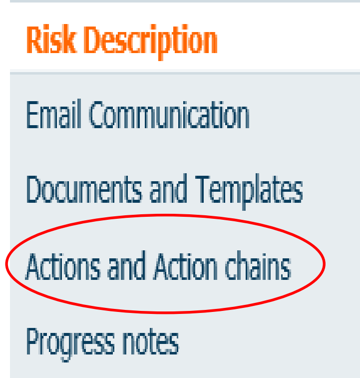
Any documents saved can be attached here.

Click Send Message to send your email.

MANAGING RISKS – ADDING AN ACTION

Select the ‘Actions’ tab in the left hand panel and Click ‘Create a new action’ to upload any required actions identified after completing the audit.





Ensure that your status is accurate at all times.

Select the type of action, add the specific action description and choose a person to be responsible (Action Lead). Add timescales into the Action timescales section

You can add progress notes in the specific action section once your action has been created.

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Thank you for listening

Any questions?