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| **DOCUMENT TITLE:** | **Risk Management Protocol** |
| **CATEGORY:** | Governance and Assurance |
| **LAST REVISED:** | July 2022 |
| **VERSION:** | V1.3 |
| **DUE FOR REVISION:** | July 2023 |
| **OWNED BY:** | Head of Governance and Assurance - Syncora |
| **RELATED DOCUMENTS:** | Group Risk Management Strategy, and Risk Management Framework |

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| **OUR PRINCIPLES:** | With passion and excellence, Delphi makes a  difference to people’s lives by providing innovative and specialist addiction services that lead the way from dependence to freedom. |
| **OUR VALUES:** | We all commit to and care about: going one step further with our clients; our wellbeing as individuals and as teams; and improving and strengthening ourselves and our organisation. |

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| **RISK PROCESS** | |
| **1. Understand what risk is** | All staff and volunteers must read the Group’s Risk Management Strategy and Risk Management Framework and discuss any questions they have about these documents, or this protocol, with their manager.    Upon joining Delphi Medical, all staff and volunteers must undertake induction, which includes risk training.    Additional training is encouraged. Managers must discuss additional training needs via supervision.    After reading these named documents, and completing induction, all staff should be familiar with Delphi’s (and the wider Group’s) approach to risk management. |
| **2. Take responsibility** | All staff and volunteers have a responsibility for risk management.    Everybody should:   * Take a risk management approach to their work. * Take responsibility for the risks or controls that they ‘own’   and report/update on these risks as required.   * Highlight ways in which the business objectives may be at risk and could be managed better. * Consider how Delphi might reduce exposure to risk. * Engage with all risk management and governance processes. * Make sure that any obvious and emerging risks are appropriately reported (***see section 3***).     Additionally, all managers should:   * Ensure this protocol is implemented and embedded in their areas, ensuring that appropriate and effective risk processes are in place and understood. * Ensure all staff, volunteers, partners (as appropriate) are aware of our documented approach to risk and are working within the parameters of the risk strategy, framework, and protocol. * Ensure all their staff and volunteers have completed induction and training. * Attend training on the 4Risk system and ensure appropriate people have access within their area. * Access and regularly review risks in their area, identifying and reporting any strategic risks to the Senior Leadership   Team as appropriate. |

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|  | * Respond to update requests from the 4Risk system. * Provide space for (and encourage) regular risk discussion and peer support and learning. * Include risk as an agenda item at every meeting. * Share examples of good practice to peers at the monthly managers meeting and to all staff via the team meeting. * Encourage ideas for improvements and innovative practice. * Complete regular (announced and unannounced) audits of risk practice, in line with Delphi’s audit schedule. The outcome of audits must be discussed at supervisions, team, and management meetings.     Additionally, all senior leaders should:   * Facilitate risk discussion at the monthly managers meeting. * Add/manage strategic risks as appropriate. * Provide risk feedback to managers and staff.     Additionally, the Director of Treatment & Recovery/Head of Governance and Assurance (Syncora) should:   * Facilitate risk discussion at the Senior Leadership Team meeting, supplemented by a copy of the risk report from the 4Risk system. * Add/manage strategic risks as appropriate. * Provide risk feedback to senior leaders. * Report risks to the Care Governance Group and to Boards as requested. |
| **3. Report and Manage Risks** | **Stage 1**  *New/emerging risk, new activity, or change to existing practice*     1. Complete risk assessment form in a clear and appropriately detailed manner:     RISK ASSESSMENT  FORM Aug 22.docx   1. Send completed risk assessment form to Service Manager for review, signing, and submitting to Corporate Services.      1. Corporate Services upload risk to 4Risk system.   **Stage 2**   1. Risk owners and action/control owners will receive notifications when a risk or action is due for review. This notification will come from [noreply@insight4grc.com](mailto:noreply@insight4grc.com) |



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|  | 1. Following receipt of the notification, log on to the 4Risk system and complete the action required.   **Stage 3**   1. Risk reports are pulled and discussed at each Senior Leadership Team meeting by the Chair of the meeting.      1. Risks are escalated to Care Governance Group by the Director of Treatment & Recovery.      1. Risks are escalated to Committees and Board meetings by the Head of Governance & Assurance (Syncora). |