MIND IN CROYDON
RISK MANAGEMENT POLICY

1. INTRODUCTION

1.1 Risk is the potential for harm to an individual, group of individuals or to an organisation arising from a situation, or set of circumstances or behaviours. The gravity of the risk will vary according to the seriousness of the potential harm, the predictability of the harm and the information those involved have about the circumstances.

1.2 As a voluntary organisation working with people with mental health problems Mind in Croydon will face both general risks to the successful carrying on of its business and particular risks to and from individuals or groups of individuals. The assessment and management of these risks is necessary for the protection and welfare of Mind's trustees, employees, volunteers and service users.

1.3 This policy should be read in conjunction with policies and procedures applicable to particular Mind projects and with other relevant policies, in particular the Health and Safety, Management of Violence, Confidentiality and Stress at Work policies and the Guidelines on Relationships with Service Users. Mind must also stay aware of its responsibilities under relevant legislation.

1.4 Risk management is everyone's responsibility. Trustees, staff, volunteers and users should all be made aware of risks to Mind as a whole and to individuals and how to reduce those risks.

2. AREAS OF RISK

Mind in Croydon is particularly subject to risk in the following areas:

2.1 **Personal Safety**: Violence perpetrated against staff, volunteers, users or members of the public; self-harm or self-neglect; racial or sexual abuse; exploitation; accidental harm or harm caused through negligence or lack of care; sudden deterioration in physical or mental health of an individual.

2.2 **Crisis and Emergency**: Flood and fire; storm damage to a project premises; the sudden withdrawal of substantial funding; the death or serious illness of a key employee or volunteer.

2.3 **Finance**: Including withdrawal or reduction of funding; fraud or theft; uncontrolled expenditure; unforeseen contingencies e.g. litigation. Mismanagement, including that of investments, is another risk where, paradoxically, the refusal to take any risk can itself pose a risk to Mind's financial health.

2.4 **Premises and facilities**: Including health and safety issues; food hygiene; maintenance; security.

2.5 **Public Relations**: Threats to Mind's reputation through the acts or omissions of employees, trustees, volunteers or users; bad publicity; misrepresentation; poor quality service; the disclosure of unauthorised information.

2.6 **Litigation**: Employment disputes; negligence towards staff or volunteers or in the provision of services; breach of law/regulations etc.

2.7 **Information Technology**: loss, contamination or misuse of information.

3. **MANAGEMENT OF RISK**
   Give yourself a breathing space: think before you act.

3.1 **Assessment / Information Gathering**:
   The following should be considered:
   - Is there a risk involved in the situation or proposed action?
   - What is the nature of the risk?
   - How likely is it that it will happen?
   - If it does how serious will it be?
   - What are the positive reasons for taking the risk?
   - What can be done to reduce or eliminate the risk?
   - What is the number and level of experience of staff available? How many people are needed to deal with the situation and are they available?
   - What are the contingency plans if things go wrong?
   - Who in Mind needs to know about the situation and when?
   - Do any Mind in Croydon policies or procedures warn against or prohibit the proposed course of action?

Please also read the very important instruction at 4.9 of the Health and Safety Policy.

If you don't know ask
Advice and information may be sought from professional advisers, senior managers and trustees and, in the case of service users, from people involved in their care and treatment, including family or other carers.

3.2 **Judgement**: Once the above has been considered an experienced member of staff or group of trustees should be in a position to make a judgement about how to proceed. Less experienced people may need to consult more senior staff or trustees. A balance should be sought between the benefits of incurring the risk and any harmful consequences that may occur. Warnings or prohibitions in Mind policies and procedures are paramount and should over-ride individual judgement.

3.3 **Decision**: Once the decision is taken others who need to know should be informed and any contingency plans should be shared with them. For decisions concerning service users this will generally include the user. A decision not to take a particular risk should also be shared with and explained to those who need to be informed.

3.4 **Evaluation**: Even when all has gone well it is important to look at how things turned out and what factors may have affected the successful outcome. Information gained should be recorded and shared. When something has gone wrong it is essential to examine in detail what happened, to make recommendations for action to avoid something similar happening in future and to share these widely throughout the organisation. (**See Appendix A: Incident Procedure**)

4. RECORD KEEPING

4.1 The importance of making a written or computer record of the above process in all cases of serious risk cannot be over-estimated. It may be necessary to prove later that risk was adequately considered. Records will include the following, depending on the area of Mind's work and the type of risk:
- Board and Sub-committee minutes and papers
- Health and Safety reports
- Project diary and incident reports
- Project case notes/records
- Mind Office incident book
- Helpline computer records
- Financial records
- Emails (keep or print out any relevant to risk)

4.2 If the possibility of serious risk has been considered this should always be recorded, even if only in a hand-written note.

4.3 In making and keeping records the requirements of the Data Protection and Freedom of Information Acts must be observed. Service users have the right to request access to their files. Record keeping must also comply with Mind in Croydon's Confidentiality Policy.

5. INFORMATION SHARING

This is an essential part of managing and reducing risk. Information may need to be shared with:
- Colleagues involved in the same area of work or with the same client(s).
- Professional colleagues responsible for the care of an individual service user.
- The Senior Management Team: managers are responsible for bringing risk issues and recommendations and serious incidents to the attention of other members of the Team.
- The Board of Directors: they must be specifically informed of a serious risk to the organisation, or to a major part of it. All serious incidents (anonymised if necessary) should be referred to the Risk Management and Safety Sub-Committee [**see Appendix B for Terms of Reference**]. Lesser risks need not be reported to the Board unless they are numerous in one area of work or form a pattern which could indicate a more general risk.
- Mind's insurers: the Hon. Treasurer and Chief Executive will advise whether this is necessary.
- Mind's auditors, in the case of serious financial risk
- Mind's Chief Executive and solicitors, in the case of risk of litigation or in employment disputes
- Mind's surveyor, in the case of risk to premises
- Mind's funders, when a service funded by them is at serious financial or legal risk or general safety is threatened.

6. TRAINING, SUPERVISION AND SUPPORT

6.1 Risk assessment training appropriate for their area of work will be part of the induction process of all staff and volunteers. This may be provided informally or through a specific course.

6.2 Line managers will also cover risk in on-going practical training and in supervision and appraisal. Staff members also have a responsibility to bring concerns about risk and how they are dealing with it to the attention of their

line manager in supervision sessions. Line managers are expected to include their concerns and the agreed action in the record of supervision sessions.

7.   REVIEW AND AUDIT

7.1   Lessons can be learned both by individuals and the organisation as a whole by reflecting on situations where risk has been dealt with well or not so well. It is important, therefore, that Mind has a formal system for review and audit of risk.

7.2   In most areas of Mind's work risk is not a 'one-off' event but is recurring or changing. In some areas (e.g. Health and Safety) a cyclical approach is needed, with regular reviews built into operational planning. In others (e.g. individual clients who pose a risk to themselves or others) staff and volunteers who work with individuals may need to be constantly alert to risk and aware that it can increase or diminish over time.

7.3   If this process is carried out thoroughly in all cases of serious risk familiarity with it should enable staff to go through an equivalent mental process as a matter of course in less serious cases.

7.4   Support and debriefing will be provided for staff, users and volunteers involved in incidents. Mind will also provide help and backing to staff where a decision on risk has gone wrong, provided the above guidelines were followed.

7.5   Any specific event that raises significant issues about risk should be reported in writing to the Board, through the Risk Management and Safety Sub-Committee (**see 5 above and Appendix B**)

7.6   The Chair of the Risk Management sub-committee will provide reports to the Board throughout the year. Minutes of the Risk Management sub-committee will be received by the Board.

Reviewed and Updated by the Board of Mind in Croydon – February 2018

MIND IN CROYDON
APPENDIX A

RISK MANAGEMENT POLICY
INCIDENT PROCEDURE

1. Immediately an incident has occurred it should be reported to:
    a. **Fairfield House**: The Project Manager or his/her deputy
    b. **Orchard House**: The Project Manager or his/her deputy
    c. **Pampisford Road (projects)**: The Project Manager concerned or his/her deputy
    d. **Pampisford Road (premises)**: Chief Executive or Business Development and Service Delivery Manager
    e. **Shops**: Shop Manager who will take charge, talk through the incident with those involved and offer support if necessary.

2. At Fairfield or Orchard House or shops an incident report will be completed. At Pampisford Road incidents should be recorded in the incident book; in the case of serious incidents a separate written report should be made by those involved.

3. The incident report should go to the project manager concerned and, at Pampisford Road, to the Chief Executive. They will make a decision about what action, if any, is necessary. This may include making contact with and/or a referral to professional services.

4. If the incident is sufficiently serious, the report will be sent to the Chair of the Risk Management sub Committee who will decide, with the advice of Committee members, whether the incident needs to be reviewed by the Board of Mind in Croydon.

5. Where an incident is reviewed the Committee may make recommendations to the project and to the Board. Where staff have acted well in handling the incident the Committee may wish to commend those concerned.

6. Staff should try to involve service users involved in the incident as much as possible in this procedure.

MIND IN CROYDON
APPENDIX B

RISK MANAGEMENT SUB-COMMITTEE
TERMS OF REFERENCE

1. The Risk Management Sub-Committee is a sub-committee of the Board of Directors of Mind in Croydon Ltd. and is accountable to the Board.

2. The Committee is responsible for:
   a. Monitoring potential and actual risks to Mind in Croydon and to its staff, volunteers and users of its services (**see Risk Policy**).
   b. Reviewing incidents involving Mind in Croydon people or premises
   c. Receiving health and safety reports and considering health and safety issues within Mind in Croydon.
   d. Making recommendations arising from the above to the Board of Directors.
   e. In certain instances contacting the Chair and other honorary officers to agree more immediate action
   f. Where appropriate, initiating remedial actions and reporting these to the Board

3. Project Managers are responsible for bringing incidents and risks to this Committee's attention. Committee members, in consultation with the Chair of the Committee, may raise incidents and matters of risk on their own initiative.

4. The Committee will meet quarterly but may meet at other times, if necessary.

5. The Committee will report to the Board on incidents, risks and health and safety issues, with recommendations for action. It will also assist the Chief Executive in preparing an Annual Report on risk for the Board.

6. All information brought to the Committee which concerns individuals or which could cause damage to Mind in Croydon if publicised will be kept strictly confidential by all members of the Committee. The Chair of the Committee and Company Secretary are authorised to decide which information falls into this category.

7. Membership of the Committee will be:
   • Two trustees (one of whom will be the Chair)
   • The Company Secretary
   • The Chief Executive
   • The Business Development & Service Delivery Manager
   • Health and safety representative
   • A user of Mind services (if neither trustee member is a user)

Other staff members, volunteers or professional advisers may be invited to attend meetings from time to time.