



EXE EAR CARE

07533 126317
info@exearcare.com
exearcare.com

POLICY TITLE – Risk Management
POLICY NUMBER – 012

Date authored – 23/09/2024

Next review – 22/09/2025

REFERENCE

- A. [Health and Social Care Act 2008](#)
- B. [General Data Protection Regulation \(GDPR\)](#)

INTRODUCTION

1. At Exe Ear Care, we are committed to providing high-quality ear care services while ensuring the safety and well-being of our patients, staff, and stakeholders. This Risk Management Policy outlines our approach to identifying, assessing, managing, and monitoring risks associated with our operations. Our goal is to foster a risk-aware culture, minimise potential hazards, and ensure compliance with legal, ethical, and healthcare standards within the UK healthcare sector.

PURPOSE

2. The purpose of this policy is to establish a systematic framework for managing risks that may affect Exe Ear Care's operations, reputation, or financial stability. This policy ensures we:
 - a. Protect our patients, employees, and assets from harm.
 - b. Comply with relevant UK legislation and healthcare regulations, including but not limited to the Health and Social Care Act 2008, General Data Protection Regulation (GDPR), and Care Quality Commission (CQC) standards.
 - c. Provide assurance to stakeholders that risks are effectively managed.

SCOPE

3. This policy applies to all employees, contractors, and stakeholders associated with Exe Ear Care. It covers all risks related to our service provision, including clinical, operational, financial, technological, reputational, and environmental risks.

DEFINITIONS

4. **Risk:** The possibility of an event occurring that will have an impact on the achievement of objectives. Risk is measured in terms of likelihood and impact.
5. **Risk Management:** The process of identifying, assessing, mitigating, and monitoring risks to reduce their potential impact.
6. **Risk Appetite:** The level of risk Exe Ear Care is willing to accept in pursuit of its objectives.

ROLES AND RESPONSIBILITIES

7. As a single employee company, the CEO takes responsibility for all roles.

RISK MANAGEMENT PROCESS

8. **Risk Identification.** Risks will be identified through regular risk assessments, staff feedback, incident reports, and external audits. Potential sources of risk include:
 - a. Clinical errors (e.g., misdiagnosis, treatment complications)
 - b. Data breaches or loss of patient information
 - c. Equipment failure or malfunction
 - d. Staff shortages or turnover
 - e. Changes in healthcare regulations or funding
 - f. Reputational risks (e.g., patient complaints or media scrutiny)
9. **Risk Assessment.** Once identified, risks will be assessed based on the likelihood of occurrence and the potential impact on the organisation. Risks will be categorised into low, medium, or high, and prioritised accordingly.

10. Risk Mitigation. Appropriate actions will be taken to mitigate identified risks. Mitigation strategies may include:

- a. Training and development programmes for staff to enhance skills and awareness.
- b. Regular maintenance and calibration of medical equipment.
- c. Implementing robust data protection and IT security measures.
- d. Developing contingency plans for operational disruptions.
- e. Securing adequate insurance cover.

11. Risk Monitoring. Risks will be continually monitored, and the effectiveness of risk controls will be regularly reviewed. A risk register will be maintained and updated by the Risk Manager, recording all identified risks, their assessments, and mitigation strategies.

TRAINING AND AWARENESS

12. Exe Ear Care is committed to ensuring that all staff are aware of and trained in risk management procedures. Regular training sessions will be provided to staff to ensure understanding of risk-related responsibilities and the processes for reporting and managing risks.

REVIEW AND CONTINUOUS IMPROVEMENT

13. This Risk Management Policy will be reviewed annually or following any significant change in legislation, business operations, or emerging risks. Lessons learned from risk events and incidents will be used to improve the policy and risk management processes.

COMPLIANCE

14. This policy aligns with applicable UK legislation, including but not limited to:

- a. Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- b. Care Quality Commission (CQC) Guidelines
- c. General Data Protection Regulation (GDPR)

AUTHORITY

15. This policy was written today the *23rd September 2024* and is enacted with immediate effect. All directors and employees of Exe Ear Care are to follow the guidance and direction within.



R. J. Toon

CEO.