The NHSLA Risk Management Standards

Stress Workshop

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Introduction to the NHSLA

- Special Health Authority - part of NHS
- Geographical limits - England
- Not an insurance company (mutual pool)
- Handles clinical and non-clinical claims
- Encourages good risk management practices
- Provides a Human Rights Act information service
- Resolves disputes between PCTs and independent contractors
- Coordinates equal pay claims
Introduction to the standards

- Assessment process
- Structure of the standards
- Three levels of assessment
- Progressive development of Level 2 and 3 standards

Next mandatory assessment
- Level 0 annual until compliant
- Level 1 two years
- Level 2 or 3 three years

- All assessments are two days on site
- Success means a reduction in contributions - 10%, 20% & 30%
The progression of organisations through the NHSLA standards is logical and follows the development, implementation, monitoring and review of policies and procedures.

- Level 1 assesses whether effective risk management systems and processes have been documented (Policy).
- Level 2 assesses whether the systems described at Level 1 have been implemented (Practice).
- Level 3 assesses whether the organisation is monitoring its compliance with the systems and acting on the findings (Performance).
Why include stress in the standards?

<table>
<thead>
<tr>
<th></th>
<th>No. of Claims</th>
<th>Total Paid £</th>
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<tr>
<td>Totals since 1997</td>
<td>526</td>
<td>15,986,695</td>
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- 396 are closed claims (therefore these costs are final figures and include damages and claimant and defence costs)
- 126 are open claims (so final costs are not available)
- Averages out to approximately £40,000 per incident
Why include stress in the standards?

Claims for Work Related Stress as at 31/12/2008

- Total Paid £
- No. of Incidents

Year

Why include stress in the standards?

NHS Employers

- Stress is believed to account for over 30% of sickness absence in the NHS, costing the service £300-400 million per year. The Healthcare Commission's 2007 staff survey found that 33% of staff questioned said they had felt unwell because of work-related stress over the past 12 months.

HSE

- *Achieving the ‘Revitalising Health and Safety’ targets: Statistical progress report, October 2008* shows that the incidence of work-related stress, depression or anxiety has not clearly changed since the base year.

NHSLA

- Between 50-60% of organisations assessed at higher levels of assessment could show effective implementation and monitoring of their stress policy.

  (2007-08 data from those acute organisations formally assessed)
### Introduction of criterion 3.10

**Level 1**

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Minimum requirements</th>
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<tr>
<td>The organisation has approved documentation which describes the process for managing the risks associated with work-related stress.</td>
<td>As a minimum, the <em>approved</em> documentation must include a description of the:</td>
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<tr>
<td></td>
<td>a. <em>duties</em></td>
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<td></td>
<td>b. information available for all staff on the management of work-related stress</td>
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<td></td>
<td>c. <em>process for identifying workplace stressors</em></td>
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<tr>
<td></td>
<td>d. <em>requirement to undertake appropriate risk assessments for the prevention and management of work-related stress</em></td>
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<td></td>
<td>e. arrangements for counselling for staff affected by stress</td>
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<td></td>
<td>f. process for monitoring the effectiveness of all of the above</td>
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</table>
Demonstrate that the process for managing risks associated with work-related stress has been clearly described and documented

- You may be required to be on standby - the author will have good knowledge of evidence

- An honest self-assessment will alert you to areas which may need further clarification

- Do not be tempted to show evidence of implementation…

- Ensure your good practice is documented

- Template policy on NHSLA website
Demonstrate implementation of the process for managing risks associated with work-related stress

- Show evidence of identification and assessment

- Illustrate a cross-section of your organisation
  - Cross sites/cross service (include some high risk areas)
  - Cross selection of staff - medical / nursing / AHPs / non-clinical staff

- The assessor could visit (request information from) various other areas

- Be ‘creative’ in your presentation of evidence - if you have assessment reports from the HSE we will take them as assurance
Level 3 - Performance (Monitoring)

Demonstrates whether or not the processes for managing risk, associated with work-related stress are working across the organisation

- Ensure cross reference to the relevant sections within the policies
- Audit/monitoring sizes - make them realistic, ensure they give the board the assurance they need
- Ensure that there are recommendations, action plans and evidence of change alongside every report
- Be mindful that very few (if any) processes cannot be improved. If your monitoring does not uncover any deficiencies, revisit your audit/monitoring pro-formas