

# Risk Management

## Risk Management Policy and Procedure

### Purpose

TassieCare services is actively working to identify, address and monitor potential risks to promote a safe environment for participants, team members and visitors and to maintain adequate and viable business operations to:

- support effective decision-making that is guided by our mission and vision.
- ensure a consistent and effective approach to risk management.
- formalise our commitment to the principles of risk management and incorporate these into all areas of the business.
- foster and encourage a risk-aware culture, where risk management is understood to be a positive attribute of decision-making rather than a corrective measure.
- manage health orders and implement relevant organisational strategies.
- align the planning, quality and risk management systems and integration into all areas of our operations.
- implement robust corporate governance practices to manage risk while allowing innovation and development.

### Scope

Risk management is built into all areas of our operations, including service delivery, corporate governance and managing risks associated with children and young people. Risk management is the responsibility of all team members and all areas of the organisation. It is the responsibility of the Director to carry out risk management analyses for the organisation and to take appropriate measures.

Managing Risks is the responsibility of everyone at TassieCare Services and therefore, the Risk Management Policy applies to all personnel, including employees, Directors and Executive Committee Members, volunteers and contractors involved in TassieCare Services.

This policy applies in all our operational environments and without fail wherever Participants and/or service users, including children and young people are participating in our organisation's activities, programs, services and/or facilities. The TassieCare Services Risk Management Policy must be read in conjunction with the TassieCare Services Code of Conduct and Safeguarding Children and Young People Policy.

### Policy

TassieCare services recognises the importance of managing risk and ensuring that all stakeholders are aware of their role in identifying, analysing, evaluating, treating, monitoring, and communicating risk in a systematic risk management approach.

Risk Management Policy provides the framework for the management of risks identified across our whole organisation as well as to all children and young people having contact

with our organisation. This includes both physical onsite and online risks (including threats to data integrity). It also includes risks associated with psychological harm and trauma particularly risks to those identified as belonging to vulnerable groups including children and young people.

TassieCare services understands the organisation may be at risk when:

- a well-functioning governance structure is not in place.
- management plans, policies and processes are inadequate.
- Team Member roles and responsibilities are unclear.
- participants are not required to sign consent forms or waivers.
- Team Member practices do not meet participant and health standards.
- equipment and facilities are not safe for the intended use.
- implementation of a comprehensive risk management plan has not occurred.
- finances are managed inappropriately, resulting in inadequate financial sustainability and cash flow.
- insurance is inadequate or inappropriate.
- operations are not evaluated regularly.

### Definition

Term	Definition
Risk	<p>The possibility of something occurring that will have an impact on the service’s objectives. Often risks involve constraints, failures, obstacles, and losses that may arise in the future.</p> <p>Risk is measured in terms of consequences and if the risk will have a positive or negative impact.</p>

### Procedure

#### Identification

Figure 1. Risk identification process



Our organisation implements processes to manage risk, such as:

- analysing hazard data
- conducting risk assessments, including participant, environmental and equipment assessments

- review of health orders and current practice requirements
- reviewing incident/accident information
- seeking team members, participant and visitor feedback/complaints
- maintenance of log items
- ongoing review of all policies and procedures
- seeking input from staff during staff meetings
- incorporating appropriate strategies identified during planning days, e.g. strategic and operational planning sessions
- incorporating new information obtained via education and training into the business
- conducting financial audits
- conducting internal and external audits.

### Planning

TassieCare services has established and maintained a Risk Management Plan. The plan identifies and addresses:

- Risks to TassieCare services - Including loss of funding, inability to deliver funded outcomes within budget, embezzlement of funds, lack of suitably qualified team members, extended team member illness, damage to reputation and relationships, changes in compliance requirements and eligibility, decisions by the Manager and loss of data due to natural disasters.
- Risks to Team Members - Including lack of suitably qualified team members, extended team member illness, team member injury due to WHS risks, changes in training and education compliance requirements, impacts of natural disasters and infection.
- Risks to participants - Including environmental, fire, falls, transport, team members working in a participant's home, changes in the consistency of performance of activities, interruptions to service delivery and exit plans (transitioning services to another service provider).

The Risk Management Plan includes:

- details of the risk
- the date the risk was identified.
- risk rating and the possible consequence/s of the risk
- actions required to eliminate, mitigate, or control the risk
- review dates, new controls, and changes to existing controls.

The Director reviews the Risk Management Plan every two (2) months, or more frequently as required, in response to information received via work health and safety reviews, audits and continuous improvement systems.

**Figure 2: Risk management process**


### Managing risks

#### Controls

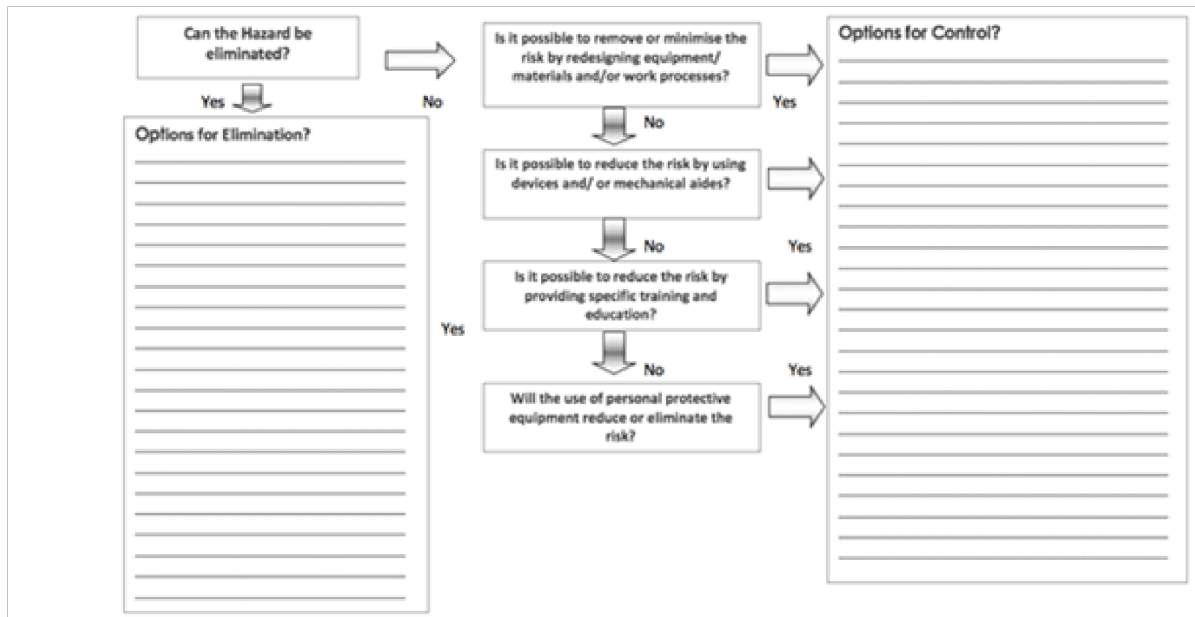
Controls are strategies used to manage risk. Identified risks are balanced against the cost and inconvenience of the control to the organisation before implementation. Controls used by TassieCare services to manage risks include:

- implementation of a Strategic Plan
- implementation of a Risk Management Plan
- implementation of Emergency and Disaster Management plans for participants
- implementation and review of participant risk assessment within support plans
- thorough team member orientation, education, and training
- implementation of new processes identified during a risk assessment
- effective internal and external information systems, including meetings and memos
- strict adherence to policies, procedures, and work instructions by all staff
- the utilisation of position descriptions
- ongoing capital maintenance and setting appropriate equipment budgets and plans
- maintaining all current registrations and insurances.

#### Risk matrix

		CONSEQUENCE				
		Insignificant (1)	Minor (2)	Moderate(3)	Major (4)	Extreme (5)
LIKELIHOOD		Participant – potential injury Staff – lost time or illness of < 5 days Visitors – no treatment or refused treatment Services – minimal disruption Financial – loss of <5K Environmental – fire alarm from faulty equipment	Participant – first aid attention by RN Staff – lost time or illness of 5-10 days Visitors – first aid attention by RN Services – disruption to some users Financial – loss of < \$10K &> 5K Environmental – small fire from faulty equipment	Participant – medical attention by GP required Staff – lost time for > 11 days or restricted duties Visitors – medical intervention by GP Services – disruption to all users Financial – loss of > \$10K but < \$50K Environmental – fire contained in a room	Participant – permanent loss of function or disfigurement; absconding resident; sexual assault Staff – permanent loss of function or disfigurement; sexual assault Visitor – as for staff Service – major loss of service Financial – financial loss of > \$50K &< \$100K Environmental – fire that grows larger than one room	Participant – death or hospitalisation Staff – death or hospitalisation Visitors – death or hospitalisation Services – complete loss of service Financial – financial loss > \$100K Environmental – fire requiring evacuation (5)
	Rare (1) – Unlikely to reoccur – may occur in exceptional circumstances	Low (1)	Low (1)	Low (1)	Low (1)	Low (1)
	Unlikely (2) – possibly could reoccur at some time in 2 – 5 years	Low (1)	Low (1)	Low (1)	Medium (2)	Medium (2)
	Possible (3) – possibly will reoccur, might occur at some time (may happen every 1 – 2 years)	Low (1)	Low (1)	Medium (2)	Medium (2)	Medium (2)
	Likely (4) – will probably occur in most circumstances (several times a year)	Low (1)	Medium (2)	Medium (2)	High (3)	High (3)
	Highly Likely (5) – is expected to occur again either immediately or within a short period of time (Likely to occur most weeks or months)	Low (1)	Medium (2)	Medium (2)	High (3)	Extreme (4)

### Risk Control Process used to remove or minimise associated risks.



### Improvement committee

Members of the improvement committee are representatives of our workforce. The committee functions to identify risks by reviewing information (see Procedure' and Identification'). The committee meets every quarter.

Separate to the committee review, all risks will be reviewed independently by TassieCare services's Director

Where risks are ongoing, they will be included in the Risk Management Plan and Continuous Improvement Plan. It is the Director's role to ensure all actions required to manage identified risks are undertaken within the nominated time frames.

### Hazard identification

Where a hazard or potential hazard is identified,

1. Team Members must complete in detail a Hazard Report Form
2. provide the Hazard Report Form on the same working day to the Case Manager or Line Manager
3. Case/Line Manager reviews, analyses, identify the level of risk and creates a plan of action to deal with the hazard.

When consequences of hazards are assessed as high or extreme:

1. a Team Member must contact TassieCare services
2. inform the Direct Service Manager immediately, or as soon as it is safe to do so
3. the Direct Service Manager takes steps to address extreme or high hazards immediately.

The documentation of the hazard includes:

1. the team member must complete Step 1 Report the Hazard and Step 2 Assess the Risk Note: the team member does not have to complete Step 2 if they do not feel that they can.
2. Line /Case Manager review and analyse Hazard Report Form
3. Complete the Control the Hazard section in detail
4. Add information into Continuous Improvement Plan, as required

All Hazard Report Forms are provided to the TassieCare services Improvement Committee for review.

### Monitoring

Risk management processes and systems are audited regularly as part of the audit program. Management must review registers and plans – risk, incident, complaints and feedback, and continuous improvement. Data gained from monitoring registers and plans will lead to knowledge of risks in the organisation and a formulation of organisation plans to reduce or eliminate risks for all parties – team members, participants, and the organisation.

### Reporting

TassieCare services will use the data gained from the risk management process to inform decisions and plans to improve practices continuously. The analysis will be conducted to assist changes in services, policies and procedures. The analysis will include, but is not limited to:

- complaints and feedback
- financial risk
- staffing issues
- participant satisfaction
- risks to participants and staff
- amendments to legal or compliance requirements
- training and education.

TassieCare services will review our risks management systems through:

- seeking feedback from participants, families, networks, and team members
- risk assessment of participants at intake and at least annually.
- annual practice and strategy review of each participant
- management meetings where the following topics are discussed, analysed, and acted upon:
  - incident management register
  - complaint register – review feedback, resolutions, and outcomes.
  - operational and governance management
  - human resource management
  - information systems – participant, staff, networks, technology, and distribution of information
  - work health and safety – safe practices
  - emergency and disaster management – using input from participant’s plans, situational changes (including prevention and control of infections and outbreaks)
  - financial management such as cash flow, compliance, contracts, insurances

### Consequence Rating Table

Insignificant	Minor	Moderate	Major	Extreme
<b>The participant</b>				
Less than first aid injury or a brief emotional disturbance	First aid injury or emotional disturbance impacting more than two days but does not require treatment.	Substantial injury resulting in medical treatment. Temporary impairment or development/exacerbation of mental illness requiring treatment Some cases of abuse/neglect of the person	Significant injury causing permanent impairment. Severe, long lasting, or significant exacerbation of mental illness requiring long term treatment. Significant faults were allowing significant abuse/neglect of people receiving support.	Avoidable death of a person. Systemic faults allowing widespread abuse or neglect of a participant.

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### Support Worker and others

Nil or minor first aid injury or a brief emotional disturbance	First aid injury or psychological injury impacting more than two days but does not require treatment.	Substantial injury resulting in medical treatment. Temporary impairment or development or exacerbation of psychological injury requiring treatment.	Significant injury causing permanent impairment. Severe, long lasting, or significant exacerbation of mental illness requiring long term treatment.	Preventable fatality
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### Related documents

- Emergency Plan
- Emergency Plan – Waste
- Complaints and Feedback Policy and Procedure
- Complaint and Feedback Form
- Anonymous Complaint and Feedback Form
- Continuous Improvement Policy and Procedure
- Hazard Report Form
- Risk Assessment Form
- Risk Indemnity Form
- Risk Management Plan
- Risk Register
- Continuous Improvement Plan
- Continuous Improvement Register
- Risk Management Process
- Safeguarding Risk Assessment
- Commitment to safeguarding children and young people.
- Documentation, including meeting minutes, agendas, and memos.
- Personal Emergency Preparation Plan
- Position Descriptions
- Team Member Training Record
- Team member Training Plan
- Training Attendance Register – In-house
- Training Register
- Capital maintenance and equipment budgets and plans.
- Maintenance of current registrations and insurances

### References

- NDIS Practice Standards and Quality Indicators 2021
- ACF standards
- Privacy Act 1988 (Commonwealth)
- Work Health and Safety Act 2011 (Commonwealth)
- Disability Services Act 1986 (Commonwealth)

**For clarification regarding this policy, please contact:**

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