

Risk Incidents and Complaints Management



What good risk management looks like

Instructions:



It is important to be able to minimise and monitor any risk associated with participants, your business and anyone working for you. The scale, complexity and risk basis of every service is different, and so there is no 'one size fits all' answer to what to include in your approach to managing risk. However the three common elements that apply across most services are listed below.

This checklist can assist you to identify what needs improvement in the way you manage risk and can be displayed as a prompt and reminder to staff and encourage good practice.



What good risk management looks like

You have a simple statement about your approach to managing risk, that includes what the responsibilities of staff are in relation to preventing and managing risk.

1. Identify the risk

You have conducted a risk assessment across all relevant parts of your operations that includes Work Health Safety (WHS), financial, strategic, compliance, health and safety (including prevention and control of infections and outbreaks), security, operational, Information Technology (IT) and environmental.

2. Assess and prioritise

You have identified the main risks you face and their impacts. This includes responding to disasters or emergencies, including infection control and outbreak planning.

You identify actions to take to reduce/avoid these risks from occurring.

3. Control your risks

You manage and treat any risks as they arise.

Ways to help to control risk

You also have in place the following as a safeguard to general risk.

- Incident reporting is followed
- WHS practices are implemented
- You have clear delegations for all financial decisions or approvals
- You have safeguards against fraud
- Budget monitoring occurs
- Compliance with legislation and regulations
- Security to premises protects against damage and theft
- Adequate insurance cover is in place
- Simulation exercises (e.g., fire evacuation, dealing with violent behaviour, failure of infection control measures) are conducted on a regular basis
- Computer files are regularly backed up and stored securely
- Worker screening is conducted according to your state's requirements and processes.



You understand that part of risk management relates to the NDIS Commission's Code of Conduct requirements.

You are clear about board, managers, and staff responsibilities in relation to risk management and have clear code of practice that clearly states the standard of behaviour in relation to the prevention and management of risk in their specific area of work.

All staff are responsible for maintaining an awareness of potential risks in their area of responsibility. They are also responsible for notifying a manager of any potential or actual risk. Your key personnel are responsible for managing risks in their area.

You provide training to staff on respiratory etiquette, hand hygiene and the use of personal protective equipment (PPE).

Your support delivery is linked to your risk management system and includes:

- Incident management
- Complaints management
- WHS
- HR management
- Financial management
- Information management and
- Mealtime management (where relevant)
- Emergency and disaster management
- Safe environment
- Dysphasia management (where relevant).

Staff with specific capabilities are identified to assist in responding to emergencies.

Plans are in place to identify, source and induct workforce in the event of workforce disruption, due to emergency or disaster.

Evaluate

You monitor the controls you put in place to manage your risks on a regular basis and can report on them.