

Learning Guide

Knowledge of risk management



- High risk**
This is when there is a strong likelihood of harm occurring. It may result in severe or permanent injury or even death of a consumer or a support worker.
- Moderate risk**
Occurs where there is a reasonable chance that harm will occur to a consumer or a worker resulting in damage or injury to the individual for a period of several weeks or months.
- Low risk**
This is where the effect is likely to be short term, occurs infrequently and/ or there is minimal likelihood of harm occurring to a consumer or a support worker.



23389 Describe risk management planning in a health or wellbeing setting

Level 3

3 credits

Name:

Workplace:

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Introduction

Managing risk is an essential part to providing a safe and hazard free environment for the person you support. It is important to know how to identify, assess, analyse, and eliminate or control risk to the best of your ability as a support worker.

How to use your learning guide

This guide supports your learning and prepares you for the unit standard assessment.

This learning guide relates to the following unit standard:

- 23389 Demonstrate knowledge of risk management planning in a health, disability, or community setting (level 3, 3 credits).

This learning guide is yours to keep. Make it your own by writing notes that help you remember things, or where you need to find more information.

Follow the tips in the notes column.

You may use highlighter pens to show important information and ideas, and think about how this information applies to your work.

You might find it helpful to talk to your workmates or supervisor.

Complete this learning guide before you start the assessment.

What you will learn

This topic will help you to:

- describe the components of a risk management plan.
- develop a risk management plan.
- the implementation process of a risk management plan.
- the evaluation process of a risk management plan.

Risk

What is risk?

Risk is exposure to a danger, threat or chance of something bad happening, such as an injury or loss.

In the context of this workbook, it is related to injury, damage, loss, failure, delay or harm in a health, disability or community setting. The importance of the risk is measured according to how likely it is to happen and the impact of it happening to the individual and/or the organisation.

Categories of risk

The combination of the likelihood of something bad happening and the possible consequences of it happening will determine the level of risk. The level of risk is often categorised as low, medium or high.

Organisations may use other ways to describe the effect (or impact) of risk. This could include a numbering system from 1-10 or a financial scale measured in monetary terms (costs). Your organisation will have a way of describing the level of risk for each risk it has identified.



High risk

This is when there is a strong likelihood of harm occurring. It may result in severe or permanent injury or even death of a consumer or a support worker.

Moderate risk

Occurs where there is a reasonable chance that harm will occur to a consumer or a worker resulting in damage or injury to the individual for a period of several weeks or months.

Low risk

This is where the effect is likely to be short term, occurs infrequently and/or there is minimal likelihood of harm occurring to a consumer or a support worker.

How risk may be categorised

There are different ways that risk can be categorised which relates to the consequences of that risk occurring. Different methods of charting risk may reflect low or high risk differently. The reason for this is related to the kind of service and the way in which it operates.

The background or circumstances of the situation is called the context of risk. For example, the risk of an infection outbreak may be different in a residential setting than a non-residential service.

Some examples of categorisation are shown in this table.

Risk example	Possible effects	Level of risk (Based on effect on organisation)	Numbering 1=low 5=moderate 10=high	\$ \$00=low \$000=med \$0000=high
Infection outbreak	Staff absences requiring replacement Consumer illness Temporary closure of service	Low – medium	2-3	\$000
Storm	Staff absences Damage to the building Injury to consumers and staff Temporary loss of some services	Medium	5-6	\$0000
Staff injury	Staff absences Temporary or permanent injury Ongoing costs – ACC	High	6-7	\$0000
Loss of contract	No longer funded to provide the service Staff redundancies Possible business failure	High	8	\$00000

Further categories

Human resources

Untrained or unskilled staff can present a risk to both themselves and consumers. Human resource management, for example, changes in key personnel or the way a personal grievance is handled is another risk. Bullying can occur in the workplace. It can also happen in other settings. Unpredictable behaviour, aggression or the mix of consumers in a particular group may present a threat to physical safety of either a consumer or a member of staff.

Health and safety

A hazard may occur as a result of an activity, for example, standing on a wobbly chair to reach something on a high shelf or a process such as the way equipment or people are moved. Hazards may also occur due to circumstances or a situation, an occurrence or event, for example, a flood in the bathroom or it might be due to a substance, for example putting cleaning fluid in an unmarked bottle.



An accident may occur when hazards are not managed and could result in an injury or damage property or equipment. A 'near miss' is an incident that could cause an accident.

Not having an active health and safety programme within an organisation could be seen as a risk. Faulty or unavailable equipment is also a risk.

Legal

A lack of informed consent, for example, a consumer with limited understanding of an intended treatment or procedure could lead to a legal risk. Financial abuse or theft is also a risk. Dissatisfaction from a consumer or their family/whānau may lead to complaints and the way these complaints are managed and followed up can present a legal risk.

Emergencies

Fire and civil defence emergencies, for example, an earthquake are risks. A fire in a key area such as a kitchen may mean an organisation cannot deliver some or all of its services.



Governance

A poorly managed or governed organisation presents risks. These may be due to insufficient funds to provide an effective service or the way an organisation is run and the workplace culture. Unsafe systems, lack of training and/or supervision or lack of information all add risk factors.

Losing contracts to provide services is a risk to organisations.

Clinical

Infection control, for example, outbreaks of infection or the inadequate sterilisation of medical equipment presents a risk. Errors in the management of medication are a major area of risk in health. The abuse and/or neglect of consumers is another risk and falls to either consumers or staff can present a major risk in a variety of settings. Staff working outside their scope of clinical practice is also a risk.

Environmental

Environmental risk includes factors such as the weather, for example, very cold or hot temperatures or storms. The layout and maintenance of buildings may present risks, for example, inadequate lighting, poor ventilation or obstructed or difficult access to emergency exits. Outside terrain, such as steps or hills and other factors such as a busy road nearby may also present risks.



Write

My notes →

Where do you find information about risk in your organisation?

How does your organisation categorise risk?

What is an example of a health and safety risk that your organisation has identified?

What is an example of a clinical risk that your organisation has identified?

What is an example of an environmental risk that your organisation has identified?

Identifying risks

How are risks identified?

Risks are identified by detailed consideration of things that could or have gone wrong. Assessing risk is a key function of people in an organisation. In larger organisations risk assessment may be a specific role but everybody employed by an organisation has a responsibility to report risks.

Commonly, an organisation will consider each category of risk and then further examine it to decide how important that risk might be to an organisation. Identifying risks is about constantly asking “what if...?” questions. This means thinking about what, where and when an event could happen as well as why and how it can happen.

For example, if you were considering a potential equipment failure, the questions that could be asked might include:

- What would happen if this piece of equipment failed?
- What is the worst thing that could happen?
- Could it cause harm to the consumer or to the support worker?
- Could it cause delay to the support worker?
- What is the financial cost for repairs or a replacement?
- How long could we function safely and effectively without this piece of equipment?

Risks are identified through a systematic check of:

- the environment, for example, a person’s home.
- actual or potential situations – situations that may arise or have arisen in the past.
- the people, for example, the mix of people in a group of consumers.
- changes in the organisation, for example, a new contract requiring new staff or a
- change in the way the organisation is owned or operated.
- the steps in a plan or project.

Possible workplace risks

Examples for your reference

Risk	Possible effect or example	Impact	Risk level	Likely controls
Untrained unskilled or insufficient staff to do the work	Delayed or inadequate support Clinical errors	Likelihood: Likely Consequence: Significant	High	Rosters prepared in advance Induction programme Inservice education programme Staff competency
Individual consumers or the consumer group	Unpredictable behaviour Aggression Injury to consumers or support worker	Likelihood: Possible** Consequence: Moderate**	Low**	Behaviour support programme Staff training: calming and de-escalation Individual assessments
The ability to meet contractual responsibilities	A fire in a key area such as a kitchen may mean the organisation cannot deliver some or all of its services	Likelihood: Unlikely Consequence: Significant	Low	Smoke alarms Fire evacuation plan Trial evacuations Firefighting equipment, such as extinguishers, available and checked

Lack of informed consent	A consumer might have a procedure or treatment they, or their family, are not happy about	Likelihood: Unlikely Consequence: : Minimal – significant	Low	Informed consent policies and procedures Consent forms. Written information in plain language Welfare guardian appointed
A threat to physical safety to consumers or staff	Actual or potential threat, such as: pushing. hitting. biting.	Likelihood: Possible Consequence: : Moderate	Moderate	Staff training Behaviour support plans Increased staffing levels

An adverse event	Reportable events, such as: Injuries Incidents Accidents	Likelihood: Almost certain Consequence: Insignificant to significant	Low to Critical	Incident reporting process Readily available forms Policies and procedures Corrective action planning to prevent recurrence
Lack of monitoring of services	Inadequate complaints follow up Service gaps not identified	Likelihood: Unlikely Consequence: Moderate	Low	Quality plan Internal audits Complaints management policies and procedures

<p>Failure of equipment or equipment is not available</p>	<p>Moving equipment not available leading to unsafe clinical practices.</p>	<p>Likelihood: Possible</p> <p>Consequence: Moderate to significant</p>	<p>Low to moderate</p>	<p>Maintenance schedule</p> <p>Electrical and safety checks</p> <p>Hazard forms/register available</p> <p>Hazard signs</p> <p>Incidents or near misses reported promptly</p>
<p>Consumer or family dissatisfaction</p>	<p>Complaints</p> <p>Adverse publicity</p>	<p>Likelihood: Likely</p> <p>Consequence: Minimal</p>	<p>Low</p>	<p>Complaints policies and procedures</p> <p>Follow up of complaints</p> <p>Complaint forms</p> <p>Staff training on rights and responsibilities</p>
<p>Workplace hazards and accidents</p>	<p>Staff time lost</p> <p>Injury to staff or consumers</p> <p>Exposure to litigation</p>	<p>Likelihood: Likely</p> <p>Consequence: Moderate to significant</p>	<p>Moderate</p>	<p>Health and safety programme/officer</p> <p>Hazard reporting procedures</p> <p>Hazard register and signs, eg, "wet floor"</p>

Infection control	<p>Outbreaks of infection</p> <p>Inadequate sterilisation of medical equipment</p> <p>Failure to follow procedures</p>	<p>Likelihood: Likely</p> <p>Consequence: Moderate</p>	Moderate	<p>Infection control policies and procedures</p> <p>Staff training through induction and ongoing education</p> <p>Personal protective equipment</p>
Workplace bullying	<p>High staff turnover</p> <p>Personal grievance claims</p>	<p>Likelihood: Possible</p> <p>Consequence: Minimal</p>	Low	<p>Staff support programme</p> <p>'Open door' policy by management</p> <p>Staff code of conduct</p>
Emergencies	<p>Medical emergencies</p> <p>Accidents</p> <p>Fire</p> <p>Weather related</p> <p>Earthquake</p>	<p>Likelihood: Unlikely</p> <p>Consequence: Minimal to significant</p>	Low	<p>Policies and procedures</p> <p>Staff training</p> <p>Practice drills</p> <p>Emergency equipment available and checked regularly</p>
Inadequate management of medication	<p>Medication errors in timing, dose, route, person or drug</p> <p>Administration techniques</p>	<p>Likelihood: Low to critical</p> <p>Consequence: Insignificant to significant</p>	Low to critical	<p>Policies and procedures</p> <p>Staff training and competency programme</p> <p>Monitored dose system</p> <p>Pharmacy contract</p> <p>Monitoring errors and forms for reporting</p>

** Risk may vary according to service type.

Scenarios

Read the following examples of situations that include different types of risks. There are some questions to answer after each scenario.

Scenario one

Several consumers in a residential disability home have become unwell with a vomiting and diarrhoea illness over the past few days. In addition, three support workers have been on sick leave and reported similar symptoms.

The organisation decides to investigate what has caused the outbreak. As part of the investigation, they review policies and procedures about how to manage an outbreak. They discover that the policies were last reviewed more than three years ago and that there is not enough detail in the procedures to guide staff in the event of another outbreak.

They update the policies and procedures by consulting with an infection control nurse and also provide a training session to staff on hand hygiene and the use of gloves. They also plan to repeat the training every year as a way of keeping staff up to date on infection control measures.



Write

What is a risk in this scenario?

How could it affect the person being supported?

How could it affect the support worker?

How could it affect the organisation?

Scenario two

Sally is a support worker in a residential care facility. She writes about the progress of the people she supports at the end of every shift. She also gives a verbal report at the handover meeting when new staffs are coming on shift.

Today has been extra busy in the wing Sally works in, with staff shortages due to illness and a training session that went overtime. This meant that there was no time for the usual handover meeting between shifts and Sally didn't have time to write up progress notes.

As a result, important information about a resident who was not well was not recorded or passed on to the new shift and the person ended up having to be taken to hospital.

When the organisation investigated the incident, they discovered that the communication and documentation about the person was inadequate and that the situation had been made worse by staff shortages and workload. They decide to put a risk management plan in place as a way of managing internal communication in the future.



Write

What is a risk in this scenario?

How could it affect the person being supported?

How could it affect the support worker?

How could it affect the organisation?

Scenario three

Aspen Care Centre is a residential care centre set in beautiful grounds by the river on the edge of town. Residents love to make use of the grounds, including a lovely area of native bush. They also visit the nearby town centre and are free to come and go as long as they notify the staff of their intentions.

Reg has lived at Aspen Care for the past three months but has still not really settled in. A long haul truck driver before retiring to a small block of land, Reg now needs residential support because of dementia associated with long term alcoholism. He's very fit and likes to go for a walk every day, rain or shine. Lately, the staff have noticed that Reg is returning from his walks much later than his stated return time and he has also been seen near the bridge on the main road a couple of times.

The staff don't want to spoil Reg's pleasure but recognise that these excursions are presenting some risks. One day, Reg returns home two hours late from his walk and staff report their concerns. Aspen Care's manager decides that a plan needs to be put into place to help keep Reg safe.



Write

What is a risk in this scenario?

How could it affect the consumer?

How could it affect the support worker?

How could it affect the organisation?

Risk management

Risk management is the process of assessing risk and developing strategies to manage those risks.

Managing risk requires a proactive approach, following a series of steps to devise a management plan and by continuous communication about the risks with everyone

involved. There are several risk management plans available and there may be one unique to your organisation. Review your organisation's policies and procedures for managing risk and become familiar with your risk management strategy.

The risk management standard (AS/NZS ISO 31000:2009) provides principles and generic guidelines on risk management for organisations, individuals and activities in Australia in New Zealand.



The key steps to a risk management plan

- 1 The situation should be identified.
- 2 Who should investigate? For example:
 - Those with the skills and knowledge to assess the situation.
 - The multidisciplinary team who can make a more informed or holistic assessment.
 - The person with an overview of the project.
- 3 All the facts should be gathered so that the risks can be identified. These include the risks for consumer and/or the support worker and others.
- 4 The risk should be categorised. For example, high, medium or low.
- 5 Action to be taken should be decided on.
 - What needs to be done to prevent harm occurring, for example, hazard identification forms.
 - Allocating responsibility, resources, such as, training.
 - Allocating realistic timeframes.
- 6 A strategy for follow up and review needs to be planned.
 - The information needs to be communicated to everybody.
 - Checks need to be made to make sure the actions have been taken as planned.
 - Review checks need to be made to see whether the actions and plan have been effective.

 **Write**

Use the scenario about Reg (on page 15) to fill in this risk management plan.

What is the situation?

Who needs to investigate?

What are the facts?

What risks have been identified?

How would you categorise the risks?

What actions need to be taken?

How will you follow up and review?

Levels of risk management

Risk management can be applied at different levels. For example, application could be at:

- strategic or management level, for example, the Board would consider organisational risks.
- operational level, for example, clinical services.
- project level, for example, when a new project or service is started.
- specific risk level, for example, where risk has already been recognised for infection control.

The importance of understanding risk

Risk is part of everyday life and cannot be completely eliminated. Organisations have a variety of risks that they need to manage as they go about their day to day responsibilities. By recognising the things that could potentially threaten the business or their activities, the organisation can take the steps necessary to lessen the damage that the risk may cause.

Each organisation needs to work out ways to identify their particular risks, develop a way to manage the risks and then continue to monitor whether there has been a change in the risk and whether their risk management plan is still working.

A risk may be from an internal or external source, or a combination of both.

Internal risks

These risks occur in your work environment, for example:

- moving and lifting a person or heavy equipment.
- exposure to an illness such as gastroenteritis.
- failure to pass on key information.

External risks

These risks come from an external source, for example:

- adverse weather conditions such as a storm.
- an aggressive dog at a consumer's home.
- working in an isolated rural area.

Assessing risk

Assessing risk is a process by where you identify hazards, analyse or evaluate the risk associated with that hazard and determine strategies for eliminate or control of the hazard.

There are several risk assessment models available and there may be one unique to your organisation. Review your organisation's policies and procedures for assessing risk and become familiar with you risk assessment model.

An example of the risk assessment tool is the CAR model. This model focuses on:

Consider and categorise all risks.

Action plan that should be taken.

Review: Has the action been effective?

A 'CAR' format risk assessment model has been completed for you using the following scenario.



Scenario

Margaret works as a support worker for Te Koka Care Service who provide support workers to people in their own homes and also to Residential Care Services on a casual basis. On this occasion, Margaret was supporting Jarred to make a meal. Part of Jarred’s goal ladder is to be able to cook a nutritious meal for himself.

A number of appliances, including the microwave, dishwasher, new sandwich maker and a toaster were plugged into one multi-plug without a cut out switch, which was also providing electricity to the fridge. The worry for Margaret is that the electric cord of the sandwich maker trails across the bench in the very spot where water collects because sometimes dishes are left to drain there.

Margaret decides to stop the meal preparation session and, because it is a moderate risk, she decides to put up a warning sign not to use the plug. She temporarily unplugs the appliances as well.

Margaret then rings her supervisor to discuss the potentially dangerous situation and, on her supervisor’s advice, rings an electrician to install an extra double power point in the kitchen

Situation	Description	Example
Teaching Jarred to make a meal. (circle one) Internal / external risk.	Consider and categorise all risks	Appliances on one multi plug without cut out switch Trailing cords near water Determine a moderate risk level
	Action plan that should be taken	Make a warning sign. Temporarily unplug some appliances Ring supervisor Discuss with Jarred Advised to contact electrician Make a time for electrician to install additional power point
	Review that the action has been effective	Check that electrician has completed installation Advise supervisor that action is complete Remove warning sign



Risk analysis and control

What is risk analysis?

Risks are prioritised by organisations using a number of factors. To help decide how important the risk could be to the organisation, it needs to consider what current controls are in place.

This means thinking about all the things that you and your organisation do to control the risks and having a consistent way of categorising those risks. Most organisations separate major and minor risks. Minor risks are often grouped together and may be managed in similar ways. Specific and important risks are usually itemised and managed individually.

Risks are prioritised by the organisation and recorded in a plan or risk register. Risk registers sometimes include hazards. The register notes how serious the problem is, how it can be fixed or managed, any current controls, who is responsible for managing the problem or if there has been any change in the risk itself. A date for reviewing the risk will also be included.

How much control is needed?

The organisation needs to decide whether their controls limit or restrict the risk from occurring or prevent it from becoming worse. If these controls are not enough to make the risk level acceptable, the organisation needs to then decide what else may be required and make a plan for this. By having adequately implemented and effective

controls in place, the organisation can then decide how often the risk should be monitored.

As risks are analysed, the outcome or impact is considered for each risk. This is called the consequence of the risk. The consequences may be for an individual such as a consumer or staff member, or for the organisation as a whole. Consequences are rated from an insignificant impact to a critical impact.

There can be more than one consequence from one event and these may be positive or negative. Likelihood is the chance of something occurring. Consequences and likelihood are combined to produce a level of risk.

$$\text{Consequence} + \text{Likelihood} = \text{Level of risk}$$

Examples of likelihood categories

Almost certain

Expected to occur in most circumstances

Likely

Will probably occur in most circumstances

Possible

Might occur at some time

Unlikely

Not expected to occur

Rare

May occur only in exceptional circumstances

Controls that may be used for specific hazards

In a residential setting, some examples could be:

- placing warning signs for a slip hazard, such as a wet floor or unsecured mat.
- training staff to use a new piece of equipment.
- locking doors and windows to maintain security.
- making sure that there are enough suitable qualified or experienced staff on each shift.

In a home environment, risks may be identified by your supervisor, and:

- a plan is put in place to control the risks.
- the organisation will ensure that you know the risk plan and the actions you need to take before you support the consumer.
- you will need to report any changes in that risk so the plan can be updated.

In all settings, infection control risks will need to be managed relevant to the setting. Controls might include:

- staff being trained in hand hygiene practices.
- personal protective equipment, for example, gloves, is provided and used.

Likelihood

		Likelihood				
		The likelihood of this occurring is almost certain	The likelihood of this occurring is likely	The likelihood of this occurring is moderate (possible)	The likelihood of this occurring is unlikely	The likelihood of this occurring is rare
Consequence	The consequence of these criteria not being met would result in extreme risk of harm or actual harm occurring.	critical	critical	high	moderate	low
	The consequence of these criteria not being met would result in a significant risk of harm.	critical	high	moderate	low	low
	The consequence of these criteria not being met would result in a moderate risk of harm.	high	moderate	moderate	low	negligible
	The consequence of these criteria not being met would result in a minimal risk of harm.	moderate	low	low	low	negligible
	Risk of harm is insignificant even if these criteria are not met.	low	low	negligible	negligible	negligible

The aim of implementing a management plan is to reduce the level of risk.

This chart lists the actions that would be required based on the level of risk identified.

Action required	
critical	This would require immediate action in order to manage the issue.
high	This would require a promptly developed plan and early action in order to manage the issue.
moderate	This would require a plan in order to manage the issue within a timeframe, for example, 6 weeks.
low	This would require a plan in order to manage the issue within a timeframe, for example, within one year.
negligible	This would require no additional action or planning.

Key steps to analyse and manage risk

Once the risks have been analysed, the organisation needs to set priorities for the risks that are not adequately controlled.

It needs to:

- identify the options to treat the risk.
- prepare action plans.
- implement the plan.
- continually monitor and review to ensure that the controls are still adequate.
- decide whether there has been a change in the risk.

Organisations will have a number of different ways that they manage risk. Risks are managed by making decisions whether to accept or retain the risk (and its consequences).

They may try to reduce the effect of the risk to a more acceptable level by taking action to reduce it, alter it in some way, or eliminate it completely. Managing risk is a continuous and necessary activity for all organisations.

The organisation may reduce its risk by:

- shifting or transferring the risk to someone else, for example, by having insurance policies.
- avoiding the risk, for example, by only providing services to a particular consumer group.
- treating the risk by reducing the negative effect of the risk, for example, by putting a workplace health and safety programme in place to help reduce some risks and eliminate others.

Once risks have been identified and assessed, the organisation decides how best to manage the risk. It will need to do one of four things for each risk:

- 1 Retain the risk.
- 2 Treat or manage the risk.
- 3 Eliminate the risk.
- 4 Transfer the risk.



Caption

Because risk can only be controlled it is continuously being assessed identified, prioritised, managed, measured, control and monitored, and identified and assessed again. It is a continuous cycle.

Risk management plans will never be perfect. Risk analysis results and management plans are updated to make sure that the current methods are still working and are relevant. Evaluation risk is an ongoing process requiring a balance between the level of risk and its effective treatment.

It is only worth spending time and money in managing risks that are considered likely to occur. Although unlikely events do occur it may be better to retain the risk and deal with the result if the consequence does occur.

An example of identifying, analysing and managing risks

Here is an example of how an organisation might manage the risks associated with the introduction of a new piece of equipment – a hoist.

Risk issue	Impact	Action plan	Outcome and monitoring
Injuries to staff	Possible	Training by physiotherapist	No incidents reported
Injuries to residents	Possible	Training by physiotherapist	No incidents reported
Damage to equipment	Unlikely	Enter into asset schedule and maintenance register	Maintenance up-to-date Monitoring records complete
Storage of bulky item when not in use	Likely	Review storage needs Avoid storage in corridors Reduce clutter in rooms where hoist is used Delete obsolete equipment ASAP	Environmental audit indicates 100% safe storage Hazard register complete Obsolete equipment removed from service
Transport of bulky item in narrow spaces	Likely	Locate residents using hoists in good access areas	Residents using hoists are located in adjacent areas Wooden or vinyl floors if possible
Untrained staff	Almost certain	Plan training programmes for all care staff with sessions to cover all shifts Individual follow up of non-attendees Individual competency checks	Programmes advertised in staff areas Repeat sessions to coincide with staff shift times One-on-one sessions completed All staff competent in hoist use Training records complete



Think of two risks not included in the previous pages.

Risk 1 is:	
Possible effect	
Likelihood	
Consequence	
Risk level	
Likely controls	

Risk 2 is:	
Possible effect	
Likelihood	
Consequence	
Risk level	
Likely controls	

 **Write**

Now think of a new activity that might be introduced to your organisation, for example, taking residents to feed the ducks in a nearby park.

What is the new activity?

What is an actual or potential risk associated with this?

How likely is this to happen?

What steps might your organisation take to reduce this risk?

Communication and consultation process

Consultation ensures that all views are considered when decisions are made. The organisation is likely to need to consult with everyone involved so that the context of the risk is understood before any decisions are made.

It is important to have a plan to communicate about the risk itself as well as about the process to manage it. Having an effective way to communicate within and outside the organisation ensures that those responsible for implementing risk management understand how and why decisions are made and why each action is required.

How each risk will be monitored should also be communicated to those involved. In your workplace, this is likely to be reporting to your supervisor about any changes you have noticed, for example:

- a new hazard.
- a change in an existing hazard.
- broken equipment.
- a breakdown in procedures.



Monitoring systems

Each organisation will have its own way of monitoring its risks.

Internal or external audits

These are checks of various parts of the quality and risk system. By examining these areas in detail, the organisation can monitor how effective its risk management is. For example, regular checks of the emergency equipment help ensure that equipment is complete and functional. Another example may be checks on infection rates and specific treatments.

Sometimes an external person will come in to do these checks, for example, monitoring of fire alarms and extinguishers.

Health and safety monitoring

Monitoring of hazards is an ongoing process with the frequency of monitoring related to the importance of the hazard.

This may also be audited by an external body, for example, ACC.

Consumer satisfaction surveys

Regular surveys are undertaken to help the organisation get feedback about how well it is providing its services. The results are analysed and reported so that any new areas of risk can be identified.

Quality committees

Reports from the key areas of an organisation are usually reviewed by senior management. Larger organisations may do this through a quality and risk committee, while smaller ones may do this through one regular meeting where they consider areas of risk, for example, infection control, health and safety, complaints, incidents and accidents.

Exception reports

Incidents, accidents, near misses, hazards and complaints are all parts of an effective quality system. By responding appropriately to all exceptions the organisation can actively manage new problems and improve consumer and staff safety. Exception reports are usually monitored and reported to management. Sometimes there are further actions to be taken to prevent the incident recurring. By analysing these exception reports, the organisation can recognise if new areas of internal risk are developing.

An example of an accident/incident report.

INJURY/ACCIDENT/INCIDENT REPORT	
PERSON REPORTING ACCIDENT/INCIDENT:	
Name: <i>Jane Smith</i>	
Contact phone: <i>234 5627</i>	Job status: <i>Support Worker</i>
DETAILS:	
Where injury/accident/incident occurred: <i>Bellevue R/H - Dining Room</i>	
Date: <i>6/6/2011</i>	Time: <i>8:30 pm</i>
WHO WAS INVOLVED?	
Name: <i>Mabel Allen</i>	Address: <i>Bellevue R/H</i>
Contact phone: <i>234 5627</i>	
OTHER PEOPLE INVOLVED?	
Name: <i>Gloria</i>	Address: <i>Bellevue R/H</i>
Contact phone:	
Position/relationship: <i>Friend of Mabel</i>	
WHAT HAPPENED?	
<i>Mabel fell over when she got up from her chair.</i>	
<i>She injured her wrist</i>	
ACTION TAKEN TO CHANGE/FIX INJURY/ACCIDENT/INCIDENT?	
<i>Ambulance called.</i>	
<i>Mabel taken to hospital.</i>	
SIGNED (PERSON REPORTING INJURY/ACCIDENT/INCIDENT):	
<i>J. Smith</i>	Date: <i>6/6/2011</i>
FOR THE ATTENTION OF:	
<i>B. Jones</i>	Signed: