



CLIENT RISK MANAGEMENT POLICY

OH&S – POL / 0005

DRAFT VERSION 1.3

Issued on:
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Authorised by: _____ (To be Authorized)

Managing Client risks

Position statement

Samaritans is committed to providing safe and healthy workplaces and systems of work for all persons employed Samaritans, Service Users and visitors. All policies and procedures comply with the NSW Occupational Health and Safety (OHS) Act 2000 and the NSW Occupational Health and Safety Regulation (2001) and the Australian Standard 4360 on Risk Management.

Principles guiding this policy

1. A risk management approach is at the core of the OH&S system (and of all its efforts to manage risks, including Client risks), and comprises four well defined steps which are:
 - ✓ Identify the risks - what can happen? How can it happen?
 - ✓ Analyse and evaluate the risks – what controls are in place? What is the likelihood of the risk? What are the consequences if the risk is not controlled/treated? What is the level of risk?
 - ✓ Treat the risks - what needs to be done to eliminate or minimise the problem to the lowest level reasonably practicable?
 - ✓ Review, Monitor, Communicate, Consult and Train Staff - is what was put in place effective or did it create further risks? How can it be improved?
2. Risk management is the process whereby the controls or treatments to minimise a risk or risks are identified, developed, implemented, monitored and reviewed.
3. Risk management operational guidelines and service-monitoring systems enable the management of risk at all levels of the Samaritans.
4. All Samaritans staff manage risks in the workplace in accordance with their responsibilities and accountabilities.
5. Samaritans management will consult with Service Users and staff to enable them to contribute to the making of decisions affecting their health, safety and welfare at work and ensure their views are taken into account in making OHS and welfare decisions. In particular, managers consult with affected staff when risks to health and safety are identified, assessed and when elimination and control measures are being developed, monitored and reviewed.
6. Samaritans recognises that a large proportion of risks to Service Users, staff and visitors within Samaritans varying work sites arise from the nature of individual Service User needs and behaviour, which require individualised responses. In this context an

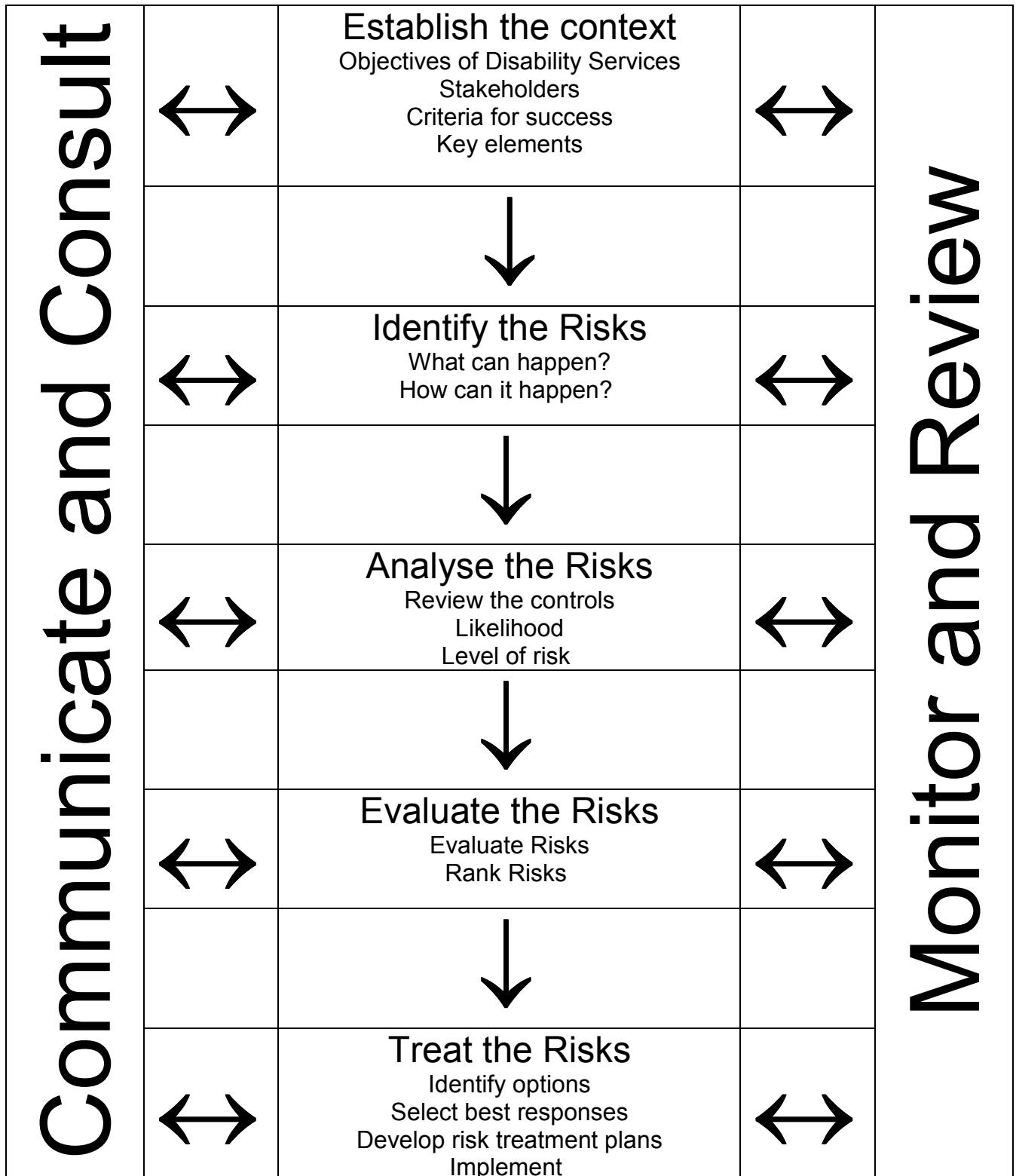
Client risk Management Policy Manual

individualised Client risk management system is used to ensure Service User related risks are managed effectively. The core of this Client risk management system will be known as the Client risk Profile (CRP).

7. The Samaritans Foundation recognises and acknowledges that each person with a disability is entitled to experience and learn from life situations even if these, on occasion, may be a threat to their well being. Each person with a disability experiencing a risk, of which they have been informed, is to receive support in the situation. In this context the Samaritans Foundation is focussed on:
 - Empowering people through collaborative partnerships and ensuring that Service Users and services have a mutually clear understanding of their respective roles and how that they can reasonably uphold them in specific situations.
 - Supporting people to access opportunities for personal change and growth.
 - Establishing trusting working relationships, whereby Service Users can learn from their experiences, based on taking chances just like anyone else.
 - Enabling individuals to understand the consequences of different courses of action and ensuring that an individual's decisions are based on a range of choices available, and supported by adequate and accurate information.
 - Working positively and constructively with risk whilst ensuring and respecting a full appreciation of the Service User's strengths.
8. Samaritans Management monitor the Client risk management system and incidents at all levels to ensure that trends and systemic issues are identified and addressed.
9. The safety of staff, Service Users and visitors requires appropriate induction and training for staff in proactive and preventative practice to minimise the likelihood, impact and risk of incidents.
10. Risks posed by a Service User's physical or medical needs or behaviour are given careful consideration in order to preserve the safety and well being of staff involved with the care of the Service User, the Service User, other Service Users and others in the Service User's environment.
11. In Disability Services, the Individual Planning process is the framework within which Service User support plans are organised for the purpose of coordinating services to meet individual need. This process is guided by organisational policies and procedures based on the NSW Disability Services Act 1993.
12. Within the Individual Planning process other Service User support plans are also developed which contribute toward meeting our responsibilities under the OHS Act. Individual Plans and Service User support plans are considered by Samaritans to be the preferred means to minimise Service User-related risk in the workplace and constitute an essential part of the Samaritans Client risk management system.
13. Under the Risk Management Framework, all Individual Plans must comply with OHS legislative requirements
14. Disability services comply with requirements for DADHC funded services

The Samaritans Approach to Client risk Management

Adapted from the Australian Standard 4360 on Risk Management.



1. Introduction

Samaritans has a duty of care to all Service Users and staff. Whilst every effort is made to preserve individuals right to choice making and privacy, duty of care must be seen as the over-riding priority in these considerations.

The Samaritans Client risk Management System is a simple, over arching and uniform risk and safety alert system designed for use throughout Samaritans disability services. The system is designed to provide an easily identified risk classification system with quick reference material on individualised risk management strategies.

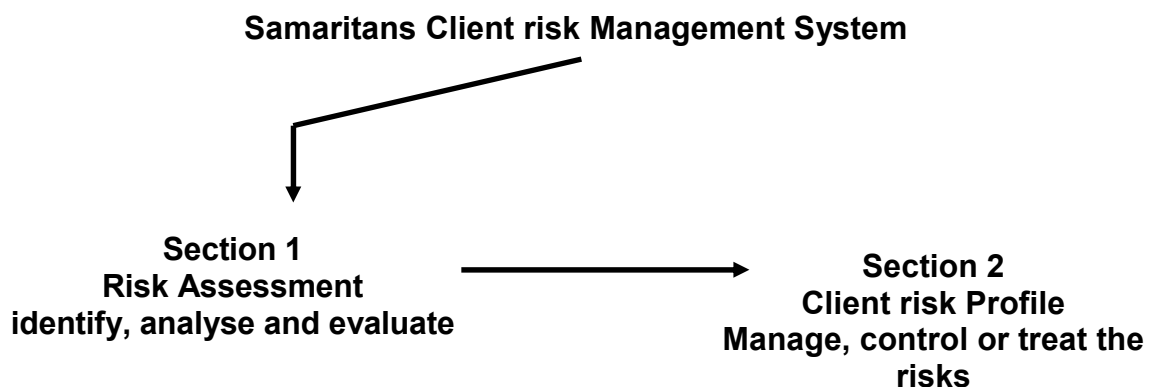
The Samaritans Client risk Management System also integrates service provision policies with occupational health and safety responsibilities. When implemented correctly, the Samaritans Client risk Management System provides an effective and uniform risk alert system that remains sensitive to the individual and changing needs of a Service User. The Samaritans Client risk Management System sits adjacent to the existing Individual Planning process, Samaritans Incident Reporting System and is strengthened by the existing Samaritans OHS Policy 0004 Risk Assessment.

2. Overview of Process

The Samaritans Client risk Management System is designed to provide:

- a consistent means for identifying, analysing and evaluating Client risk behaviour
- quick access to critical information on risk control and risk treatment
- direction to the existence and location of further risk management information
- clear instructions to staff regarding OHS and Disability Services Policy requirements

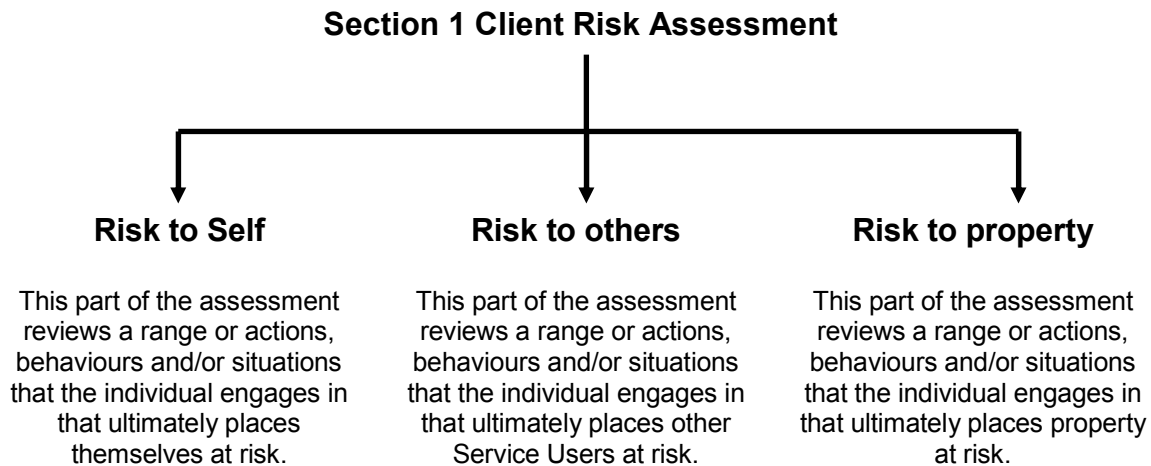
There are two sections to the Client risk Management System.



Client risk Management Policy Manual

The **Client Risk Assessment** must be completed for all Service Users within 3 months of entry to the service (by February 2009 for existing Service Users). The Client Risk Assessment attempts to identify all known and foreseeable risks associated with an individual Service User.

Each assessment item is divided into the following 3 categories that may be affected by the risk occurring:



The **Client Risk Assessment** also consists of a risk matrix and calculators to enable staff to analyse and evaluate the frequency and episodic severity of the risk, which ultimately enables staff to categorise the seriousness of the risk.

Section 2 Client risk Profile results in the development of a document that 'profiles' each individual Service User in the context of risk and risk control/treatment.

This document contains the following:

- ❑ Risk identification (what are the risks?)
- ❑ The category of the risk (how great is the risk?)
- ❑ Specific conditions or situations where the risk is more apparent or imminent
- ❑ Preventative strategies to control the occurrence of the risk
- ❑ Response strategies to control the impact of the risk
- ❑ Location of additional information (other more comprehensive or related documents)

The Client risk Profile summarises and reflects the content of any management or support plans that have been developed and are currently implemented to control or treat identified Client risk. In addition and as necessary, these documents also serve to provide management instructions for staff to follow whilst awaiting the development of any further management or support plans required to minimise/eliminate the identified risk. These documents need to be reviewed on a regular basis and information added as 'new' risks are discovered and strategies developed to treat the newly identified risks.

The Client risk Profile should be viewed as a quick reference guide primarily. Every identified risk must have risk management strategies developed within the timeframes listed according to the category (level) of risk. The Client Risk Assessment and Section 2

Client risk Profile documents will be located in a readily accessible part of the Service Users file with all staff being made aware of this location.

2. OPERATIONAL PROCEDURE

2.1 Introduction

The Samaritans Client risk Management system is an organisational requirement that is focussed on keeping people safe and sits adjacent to the Individual Planning system. For ALL Service Users in receipt of services from Samaritans Disability services, it is the responsibility of the designated Service Supervisor under the guidance of the Area Coordinator to ensure that a Client risk Profile is developed, implemented and reviewed within the designated timeframes articulated in this policy. To further strengthen the continuity and sustainability of the Client risk Management System the Area Coordinators will keep a register that documents the completion of the Client Risk Assessment and Client risk Profile as well as the Annual Review dates for all Service users.

In the context of Service Users currently in receipt of services from the Samaritans it will be the responsibility of the Area Coordinator to ensure that all Service Users have a completed Client Risk Assessment and a resultant Client risk Profile within the first 3 months following the release of this policy.

In the context of 'new' Service Users entering into the service the Service Supervisor, in consultation with the Service User, family, substitute decision maker (where appropriate), and significant others, will ensure that a Client Risk Assessment and Section 2 Client risk Profile are completed during the transition period leading up to the placement of the 'new' Service User. If there are obstacles/barriers/problems limiting the completion of these documents during this period a range of strategies need to be developed and implemented to overcome these issues. If this preferred option of completing the Client risk Profile during this period is still unattainable the Service Supervisor at each particular service outlet will ensure that the Client risk Profile is completed within 3 months upon a 'new' Service User entering into the service.

In addition and following any 'new' Service User's entry to the service, all staff are required to record changes in Service User behaviour and episodes of challenging behaviour. These incidents will be recorded within the current Incident Reporting protocol and will be used to inform the ongoing identification of risks. In addition all staff are to promptly alert the Service Supervisor of any further concerns or observations relating to the Service User and risk and under the guidance of the Service Supervisor integrate this information into the Client Risk Assessment documents and resultant Client risk Profile documents.

The Area Coordinators will keep a register that documents the Client Risk Assessment completion dates for all 'new' Service Users and will ensure that all 'new' Service Users have a completed CRP 2 Risk Management within the designated 3 month timeframe.

Where the Service User is provided with accommodation support in an emergency situation or is generally unknown to the service or there is a lack of information available about the Service User, it will be assumed, until information concerning risk can be sourced, that the level of risk is high. In this context it is imperative that information

relating to potential risks is sourced as soon as practicably possible. If this information is unavailable or difficult to access staff will need to be vigilant in their observations, supervision and support of the Service User and take the necessary steps as required to treat any risks effectively and keep the Service User and others safe. During this period it is the responsibility of the Service Supervisor to utilise the Incident/hazard reporting procedures and the Activity Environment Assessment in the Samaritans OHS Policy 0004 Risk Assessment to identify, analyse, evaluate and treat risks and integrate this information into the Client risk Profile as it becomes available. Ongoing efforts to gather additional information about the 'unknown' Service User will need to continue until an accurate Client risk Profile is created.

2.2 Identify the Risks

The first step in the implementation of the Samaritans Client risk Management System is to complete the Client Risk Assessment. This assessment is divided into 25 common areas and environments of risk and its impact on the following 3 categories:

Risk to Self

This part of the assessment reviews a range of actions, behaviours and/or situations that the individual engages in that ultimately places themselves at risk.

Risk to others

This part of the assessment reviews a range of actions, behaviours and/or situations that the individual engages in that ultimately places others at risk.

Risk to property

This part of the assessment reviews a range of actions, behaviours and/or situations that the individual engages in that ultimately places property at risk.

The designated Service Supervisor or Coordinator at all Samaritans service outlets is responsible for the completion of the Client Risk Assessment. This will be undertaken under the guidance of the Area Coordinator and/or Senior Practitioner and be completed within 3 months of entering the service or by February 2009 for existing Service Users.

N.B. In the context of gathering information it is imperative for the Service Supervisor to ensure that they have informed consent from the Service User themselves or substitute decision maker prior to consulting and gathering information from other people/agencies or reviewing previous documentation relating to the Service User.

The completion of **1.2.1 Consent to Receive and Share Information** within the previous 12 months provides consent for general gathering of information used to complete a Client Risk Assessment

If informed consent has been given sources for risk identification include:

- information from the service user themselves
- information from other parties such as parents, carers, staff, day services or other professionals
- information from other agencies who may have referred the Service User or agencies that have previously been involved with the Service User
- Service User files and other documentation pertaining to Client risks
- Any available previously completed Incident Reports concerning the Service User and risk.
- informal and formal assessments
- direct observation

Client risk Management Policy Manual

- Knowledge and information relating to specific conditions or disability that may influence or predispose the person or others to risk.

The effective use of the Client Risk Assessment can only be achieved by gathering relevant, accurate information from a number of appropriate sources. Individuals conducting this assessment need to ensure that all relevant sources of information are canvassed thoroughly and consistently during the course of the assessment. This will solidify the validity of the assessment and therefore enhance the quality of the information relating to risk that will underpin the development of an effective Client risk Profile.

Information concerning an individual must be gathered from a variety of sources to ensure that the most accurate and complete picture of the individual is developed. This involves careful observation of the person's interactions with the environment, as well as of the person's general health, well-being and lifestyle. The effective gathering of accurate and relevant information must include consultation with the service user as well as other key stakeholders in the person's life.

A review of the individual's history and background is also important with such information usually available from key stakeholders or previous reports or file records. This may be undertaken through a 'sampling process' typically the assessor would identify 4 week long 'sample' periods in the Service Users' life in the **last 24 months** and review all Incident Reports and Progress Notes from these periods in order to identify, analyse and evaluate any risks that may have been apparent during these periods that may have been overlooked using other information gathering sources and strategies. The following guide should be followed when conducting the assessment:

Minimum of 5 sources accessed for information

- ✓ One source being the Service User
- ✓ One source being the family, advocate, guardian
- ✓ One source relating to a review of previous Incidents Reports and Progress Notes using the sampling schedule as described above
- ✓ One source being staff who support the Service User the majority of time
- ✓ One source chosen from the following group:
 - Other staff who support the Service User including day programs
 - Direct observation
 - Friends and acquaintances
- ✓ In addition recent reports, recommendations or the Individual planning global assessment must be accessed as an information source

NB All staff completing the assessment are generally encouraged to access as many sources as possible to ensure an accurate and complete picture of Client risk is portrayed accordingly. Sources of information utilized for the completion of the Client Risk Assessment are to be indicated in the sources of information column.

If there are any obstacles/barriers/problems limiting the gathering of this information, the Service Supervisor must consult with the Area Coordinator and Senior Practitioner in regards to a range of alternative and additional strategies that may be incorporated into information gathering. If these strategies prove ineffective for one reason or another, Service Users involved in the situation need to be regarded as 'high risk' until further information through observation or assessments can be sourced. This information needs

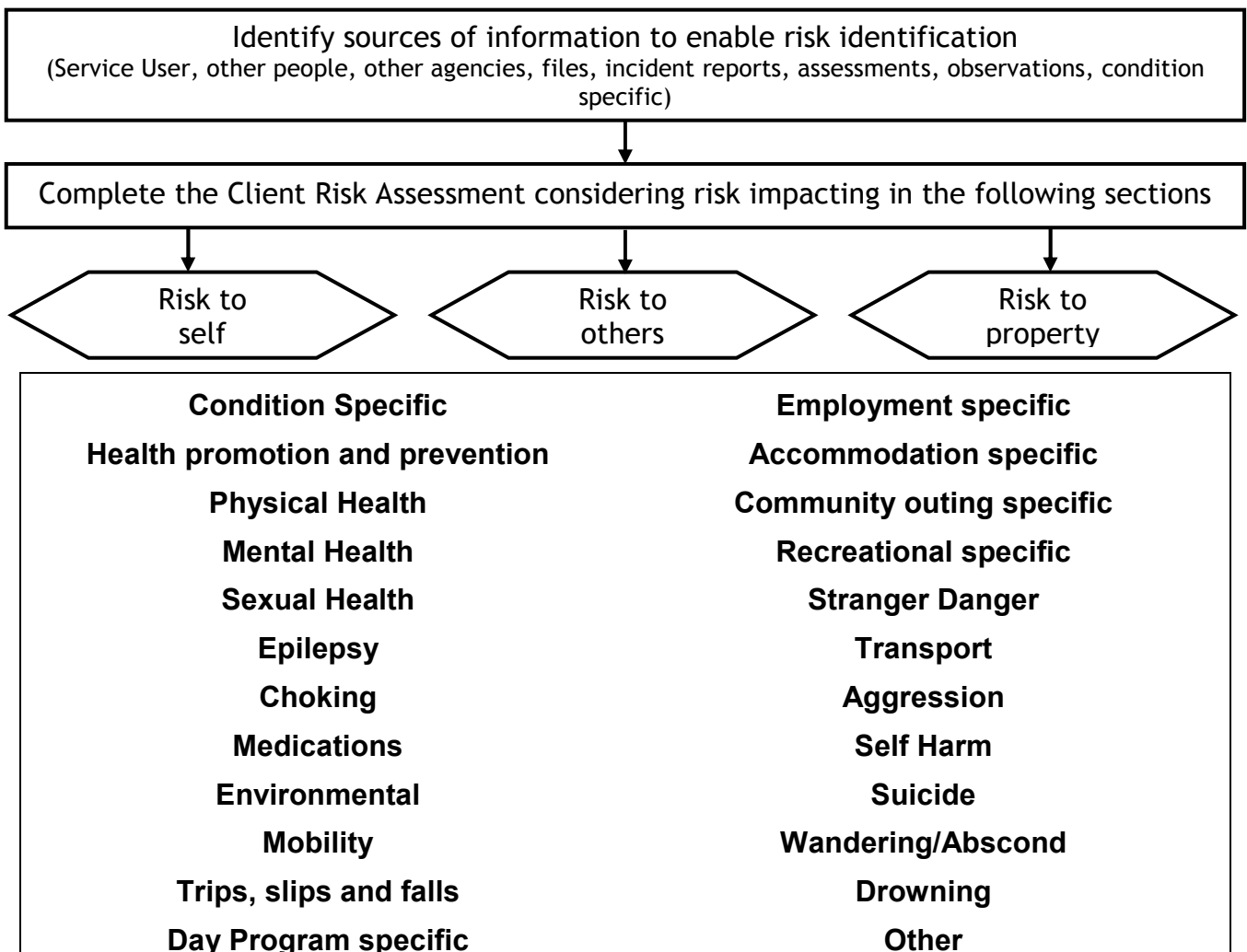
Client risk Management Policy Manual

to be documented and collated in order to determine the types of risks a Service User may experience. In this context, it is the responsibility of the Service Supervisor to complete the Environment/Activity Client Risk Assessment on a case-by-case basis and plan and implement a range of strategies to address any identified risks from this assessment. See existing Samaritans OHS Policy 0004 Risk Assessment.

In addition, the Area Coordinators will also ensure that each Client Risk Assessment is reviewed on a regular basis at Team meetings to ensure that any 'new' risks that have become apparent are **assessed promptly** and risk treatments planned, developed and implemented to reduce and where possible eliminate the risk. Service Supervisors are to ensure that Section 2 Client risk Profile documents are maintained with risk alerts adjusted according to changing Service User needs.

If there is any dispute in relation to the Client risk Profile (CRP) between the service user, family, Area Coordinator, Service Supervisor, support staff or other key stakeholders, the matter is referred to the Senior Practitioner and HR Officer in accordance with the Samaritans OHS Consultation Arrangement Procedures for resolving matters that may be a risk to health and safety.

Summary Flowchart Identify the Risks



Following ongoing consultation and review of information from a variety of sources the first task to be completed is to identify the types of risks that may be apparent for an individual Service User. Each category of risk needs to be considered separately for risk to SELF, risk to OTHERS and risk to PROPERTY. If the potential for risk is established as reasonably foreseeable a 'YES' is circled by the assessor on the "was a foreseeable risk identified" column 'YES' column. If a particular listed risk is not apparent then the assessor would circle 'NO'. (See Appendix for a completed example).

It is recommended for notes and comments to be made on the risk assessment for future reference when developing the Client Risk Profile or reviewing the assessment

2.3 Analyse and Evaluate the Risks

The Service Supervisor in consultation with the Area Coordinator and staff is responsible for analysing and evaluating the likelihood and impact of the identified risk for all Service Users. The level of risk is measured across 2 distinct risk measures and has been adopted from the agreed risk assessment classification scale utilised by the organisation.

Step 1 Establishing Likelihood

The next step in this process is to determine the likelihood of the occurrence of the risk. This is achieved by reviewing the information pertaining to Client risk that has been gained from a variety of sources and identifying the most relevant likelihood rating based on the available information.

Step 2 Establishing the Consequence or Impact

The second step is then to determine the consequence or impact of the risk. This is achieved by reviewing the information pertaining to Client risk that has been gained from a variety of sources and completing the relevant section of the Client Risk Assessment.

Step 3 Determine the risk rating and category

Circle the intersection of the likelihood rating and the severity rating. Where identified as a specific risk to either SELF, OTHERS and/or PROPERTY circle a rating in the relevant column

Whilst not having an impact on the risk rating and category consideration must also be made of the perceived benefits for the Service User in engaging in an activity that places themselves, others or property at risk. Beneficial risk taking should be supported and managed utilizing the Client Risk Profile and where relevant the Individual planning process

2.4 Determining the Risk rating and Category

Once the Service Supervisor in consultation with Area Coordinator and staff have determined the likelihood and the impact of risk the Samaritans Client risk Matrix is completed to determine the **category of risk**. The category of a risk is determined by considering the impact or severity of a risk against the likelihood of the risk occurring. Risks are generally organised into three categories with service responsibilities and timeframes for responding to risks differing across these three categories. This final step in the analysis and evaluation of risk enables the Service Supervisor to complete and finalise the Service Users risk assessment.

Client risk Management Policy Manual

As previously mentioned, it is the responsibility of the Service Supervisor under the guidance of the Area Coordinator to complete the Risk rating table integrated into the Client Risk Assessment in order to categorize the risk and determine a timeline for actions to be completed to address the risks. This part of the process is critical as it guides overall decision making in regards to the control and treatment of the risks.

As mentioned above, this enables the assessor to finalise their assessment by completing the 'risk' category section as shown in the diagram on the following page. Given the varying character of the consequence and impact of risk, this policy has been developed to capture both the physical impact of risk as well as the psychological and financial impact of risk. In determining the category of risk it is imperative that staff completing the assessment take into account both the physical, psychological and financial impacts of risk to ensure the identified risk is categorised accurately. In some instances the impact of risk may be purely physical in nature whereas in other instances the impact of risk may be psychological in nature. On other occasions the identified risk may be physical, financial and/or psychological in nature and will require careful analysis to determine an accurate category of risk. In determining the category of risk in these situations the assessor must ensure that it is the greater severity of the impact of the risk that determines the category. For example, a Service User may display certain behaviour several times a day that places other Service Users at minor physical risk but severe psychological risk. In this instance the category of risk would be assessed as being a Category 1 Risk as opposed to a Category 2 Risk as the impact of the psychological risk is greater than the impact of the physical risk.

Checkpoint: Identification, Analysis, Evaluation and Categorisation of Client risk

At this stage of the process you have now identified:

what risks are evident → the likelihood of these risks → impact of these risks → Category of Risk

Next Step Complete Client risk Profile to treat risks

.1 Treating Client risk

Once all Client risks have been identified and categorised it is the responsibility of the Service Supervisor under the guidance of the Area Coordinator and as required, the Senior Practitioner, to complete the Section 2 Client risk Profile. This information provides clear guidance and support for the management of all identified Client risk.

In this context the following details need to be included:

- ❑ Risk category and rating: what is the risk?
- ❑ Conditions: what are the indicators, triggers or situations this risk may be apparent?
- ❑ Prevention: what strategies are utilised to control the occurrence of this risk?
- ❑ Responses: what strategies are used to control the impact of this risk?

In addition, a section dubbed 'Further Information' is included in Section 2 Client risk Profile. This section identifies what detailed information/assessments/strategies are

Client risk Management Policy Manual

developed or needs to be developed to further ensure the effective and efficient management of Client risk. This need to be completed effectively so adequate risk controls and plan development may be identified. Please see the 'sample' below that is focused on managing Client risk that is associated with 'falling/tripping'.

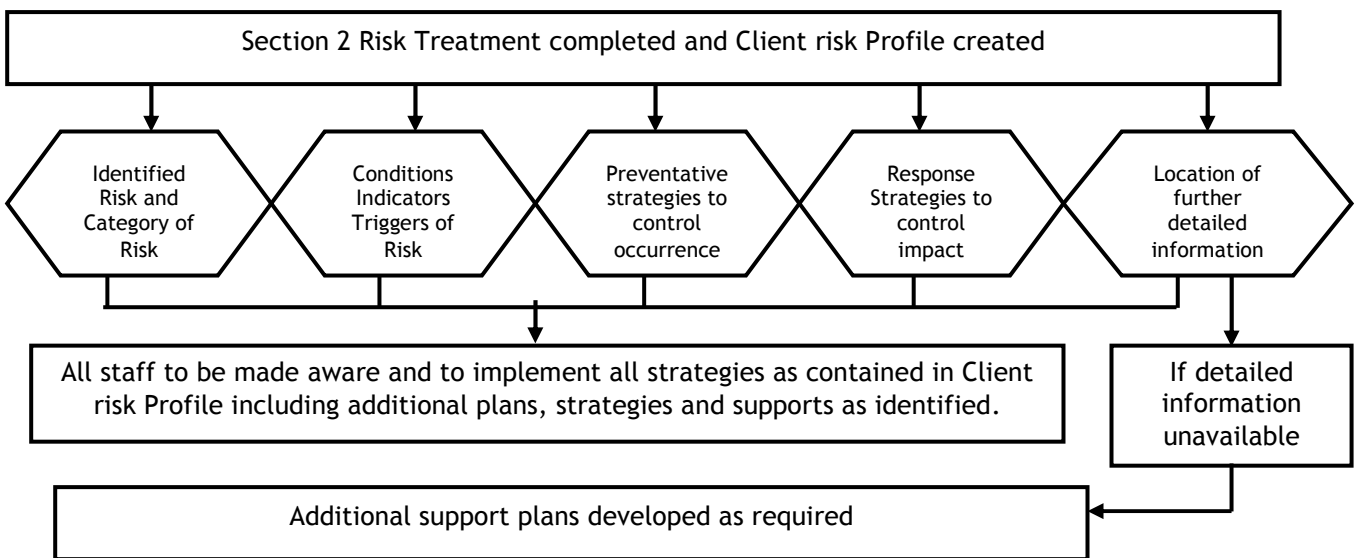
If a Service User is deemed to be at High Risk, the Senior Practitioner involved with the service must provide input into the development of the Client risk Profile and determine what data collection will be required to monitor and evaluate the high-risk category. It is the responsibility of the Senior Practitioner or delegate to analyse and evaluate the data and provide feedback to the Area Coordinator and Service Supervisor on a monthly basis in regards to the effectiveness of the treatments of the Category 1 Risk.

In addition, the Area Coordinator must maintain a register of all Category 1 Risks that identifies:

- What is the risk?
- Monthly review dates
- Summary of data collection methods

Once the Client risk Profiles have been completed they will be colour coded using a coloured left hand border or coloured paper with a coloured border and reflecting the risk rating and subsequent category. This will enable staff to quickly identify the category of risk quickly and ensure strategies listed are implemented accordingly.

Summary Flowchart Risk Treatment Completed and Client risk Profile created



4.1 Monitor and Review: Key Workers and Service Supervisors

It is the responsibility of the Service Supervisor to monitor and review the Client risk Profile for the following reasons:

- To determine the effectiveness of the strategies that is in place to treat identified risks and to refine the strategies in the Client risk Profile as directed.

Through the Samaritans Incident Reporting system, it is the responsibility of the Service Supervisor to record in Part 2 of the Incident Report whether the particular incident in question required a review of the Client risk Profile or not. If a review of the Client risk

Profile is required the Service Supervisor must generate and record a range of strategies to additionally control and treat this risk. This information will ultimately form the basis of any changes/refinements to the Client risk Profile if deemed appropriate and ratified by the relevant Area Coordinator. In addition, it is the responsibility of the each Service Users designated key worker to include in their monthly 'Key Worker Report', anecdotal information relating to the effectiveness of the strategies incorporated into the Client risk Profile to further assist the Service Supervisor with the monitoring and review process.

- To identify any 'new' risks that have become apparent during this period and develop effective controls.

The identification of 'new' risks is critical to maintain overall Service User safety and Service Supervisors must be vigilant in the early identification, analysis, evaluation and treatment of risks. As 'new' Client risks are identified through observation, Incident Reports, anecdotal reports, previously completed Environment/Activity Risk Assessments or other sources of information relating to Client risk, the Service Supervisor must adjust the Client risk Profile documents according to changing Service User needs. In addition, it is the responsibility of the key worker to include in their monthly 'Key Worker Report' information relating to any new risks that have become apparent during the review period. The timeline for the review of Client risk Profile, in this case, as well as the individuals required to have input into the review will be determined by the Category of Risk as identified.

- To identify any 'new' environments or activities that the Service Users may be undertaking in the future.

The identification of any 'new' environments or activities that the Service Users may be undertaking in the near future is also critical to maintain overall Service User safety. In this context it is the responsibility of the Key Worker, through the monthly Key Worker Report, to alert the Service Supervisor of any future potential risks associated with these environments or activities. It is then, in consultation with the Key Worker and as required the Area Coordinator and Senior Practitioner, the responsibility of the Service Supervisor to analyse and evaluate any risks associated with these activities or environments and ensure that strategies are developed to treat and control identified risks prior to the Service User engaging in the activity or entering the 'new' environment. In addition, the Service Supervisor must adjust the Client risk Profile documents accordingly and ensure all staff are alerted to any changes in the Client risk Profile.

4.2 Monitor and Review: Area Coordinators

In the context of the Client risk Management System and monitoring and review, it is the responsibility of the Area Coordinators to review all Incident Reports and ensure that any strategies that have been developed or recommended to control and treat risk are appropriate, given the situation, and have a high likelihood of success. This will be achieved by the Area Coordinator reviewing the Service Supervisor's recommendations in Part 2 of the Incident report and strengthening them, as required, with additional strategies as deemed appropriate. This information will be recorded in Part 3 of the Incident Report and form the basis of the required changes/refinements to the Client risk Profile. Once completed this information is returned to the relevant Service Supervisor to action and integrate the recommended changes/refinements into the Client risk Profile. In this context, it is the responsibility of the Area Coordinator to ensure that the Service

Client risk Management Policy Manual

Supervisor, in the designated timeframes, has completed the refinements/changes to the Client risk Profile.

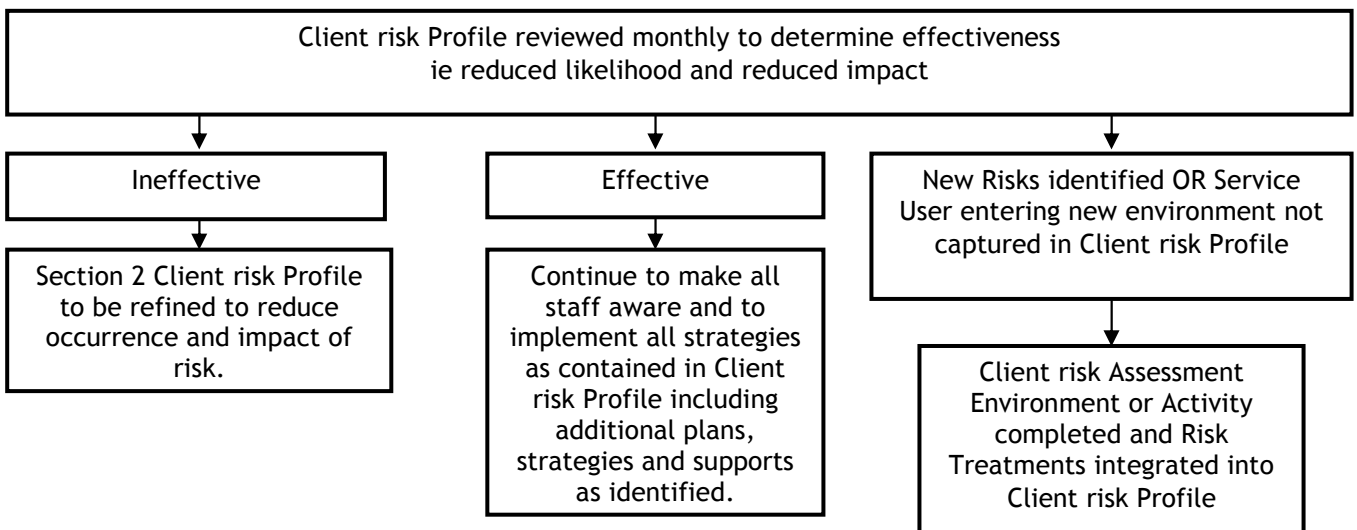
In addition, it is the responsibility of the Area Coordinator to ensure that all Service Supervisors with a relevant reporting accountability undertakes the review of Client risk within the aforementioned monitoring and review parameters listed above. This responsibility must be fulfilled during the prescribed monthly Supervision sessions where the Client risk Management System is a 'standing agenda' item and is reflected in meeting minutes.

In addition the Area Coordinator is responsible for attending the portfolio Incident Reporting meeting and through an analysis and evaluation of Incident Report data, determine the overall effectiveness or ineffectiveness of Client risk management system for all Service Users in receipt of services.

If the strategies contained in the Client risk Profile are to be deemed effective, this will be confirmed by a reduction in the number of Incident Reports relating to previously identified Client risk and/or a reduction in the impact/episodic severity of the previously identified risks.

Conversely if there has been an increase in the number of Incident Reports relating to previously identified Client risk and/or a increase in the impact/episodic severity of the previously identified risk or whereby the strategies that have been developed have had no influence on the risk whatsoever, the strategies contained in the Client risk Profile will be deemed ineffective and will need to be reviewed. The timeline for the review of Client risk Profile, as well as the individuals required to have input into the review, will be determined by the Category of Risk as previously identified.

Summary Flowchart Monitoring and Review



Additional Information

The Service Supervisor is to ensure that all staff assist in the implementation of these strategies and support plans for Service Users, which contribute to the overall reduction of Client risks consistently and accurately. It is the Service Supervisors responsibility to ensure that the ALL Client risk Profiles are updated for any newly identified risk noted on the Client Risk Assessment or the Activity Environment Client Risk Assessment. Any new risks identified, or increases in risk, must be brought to the attention of staff, writing a

Client risk Management Policy Manual

note in the communication book for staff to review the identified risk in the important notes section of the service user's individual file

If an outing or activity is planned or the Service User is entering a new environment and there has been no available time to adjust the Client risk Profile it is the responsibility of the Service Supervisor to utilise the Activity Environment Risk Assessment in the Samaritans OHS Policy 0004 Risk Assessment to identify, analyse, evaluate and treat risks prior and during the outing or activity. Following this the Service Supervisor is then also responsible for integrating this information into the Client risk Profile so it may be utilised on future occasions.

All new staff or staff who have not regularly worked in a specific service outlet must review each Service User's Client risk Profile at the commencement of each shift.

All staff regularly working in specific service outlets need to review the Client risk Profile on at least a monthly basis and implement all strategies or support plans as defined. It is the responsibility of the Service Supervisor to ensure that ALL Client risk Profiles are reviewed and staff are briefed on any changes/refinements at each team meeting

Upon review, Category 1 risks cannot be down-graded without relevant input from supervisory bodies (eg Speech Therapist for a dysphagia risk, Senior Practitioner for behavioural risk or Area Coordinator for general risks).

When considering down grading high risk categories consideration must be made for the following,

- Stability of implemented controls, are the controls resilient to change, flexible to changing conditions and easy to implement?
- What resources required to maintain controls, how much time, effort and other resources are required on an ongoing basis to maintain the controls?
- What is the likelihood of situations or conditions occurring that may return the risk to category 1 levels?
- Consideration of the hierarchy of controls, are they based on staff being required to follow guidelines?
- The effectiveness of the implemented controls, Do they reduce the risk enough to lower the likelihood or severity significantly.

Downgrading should only occur if the risk or hazard has been effectively eliminated with limited ongoing resources and an environment that is stable and does not have the conditions required for the risk re-occurring

Policy requirements specific to each category of risk must be complied with within the specified timeframe. The Client risk Profile is a quick reference guide only. Every identified risk must have a Risk Treatment plan developed within the timeframes listed according to the category (level) of risk.

See Appendix 1 for Client Risk Assessment template and Section 2 Client risk Profile documents

See Appendix 2 for a range of 'sample' Section 2 Risk Treatment documents.

See Appendix 3 for a list of risk areas or types and recognised Risk Treatment Plan formats that can constitute a prevention control or impact control mechanism or approach to address Client risk.

References

NSW Occupational Health and Safety (OHS) Act 2000 and the
NSW Occupational Health and Safety Regulation (2001) and the

Client risk Management Policy Manual

Australian Standard 4360 on Risk Management.
Samaritans OHS Policy 0004 Risk Assessment.
Samaritans Incident Reporting policy

Persons Responsible

Support Workers are responsible for:

Gathering information relating to Client risk
Contributing to the completion of the Client Risk Assessment
Contributing to the development of the Client risk Profile
Implementing strategies as prescribed in the Client risk Profile
Alerting the Service Supervisor of any new risks that have become apparent
Completing the Key Worker Report (as designated) and providing information relating to the effectiveness of the strategies contained in the Client risk Profile
Completing the Key Worker Report (as designated) and providing information relating to any new activities of environments the Service User may be undertaking in the following month.
Completing the Activity Environment Risk Assessment as required

Service Supervisors are responsible for:

Gathering information relating to Client risk
Completing the Client Risk Assessment accurately and thoroughly
Completing the Client risk Matrix to determine the category of risk
Under the guidance of the Area Coordinator and Senior Practitioner developing the Client risk Profile
Ensuring Support Workers implement the strategies contained in the Client risk Profile as prescribed
Reviewing the Client risk Profile on a monthly basis with support workers
Integrating information contained in the Key Worker Monthly report into the Client risk Profile as required.
Integrating any newly identified risks into the Client risk Profile promptly
Ensuring the Activity Environment Risk Assessment is completed as required.

Area Coordinators are responsible for:

Ensuring a goal to develop the Client risk Profile is integrated into the Transition Plan for all new Service Users seeking services.
Ensuring that the Client risk Profile is completed accurately and thoroughly
Providing guidance and support to the Service Supervisor to complete responsibilities as identified
Maintaining a register of completion and review dates of all Client risk Profiles
Maintaining a register of all Category 1 Risk and associated information as per policy.
Ensuring Client risk Profiles are reviewed on a monthly basis and adjustments made as required.
Collecting, analysing and evaluating data to identify any patterns and trends associated with Risk Management and make available upon request to Program Management
Ensuring the Client risk Management is discussed and reviewed at each team meeting

Senior Practitioners are responsible for:

Providing guidance and support to the Area Coordinators and Service Supervisors to complete responsibilities as identified
Providing input into the development of the Client risk Profile where Category 1 Risks are identified
Collecting, analysing and evaluating data on identified Category 1 Risks and providing feedback to the Area Coordinator and Service Supervisor on the effectiveness of the treatments for Category 1 Risks.
Developing solutions to overcome any barriers associated with the implementation of the Client risk management system.
Assisting Area Coordinators to collecting, analysing and evaluating data to identify any patterns and trends associated with Risk Management
Planning, developing, implementing and evaluating staff training in Samaritans Client risk Management system

Program Management is responsible for:

Managing resources effectively to address Client risk
Report to SMT as required on the effectiveness of the Risk Management System
Providing guidance and support to the Area Coordinators in the context of effective risk management
Ensuring training opportunities are provided to all staff in the context of Client risk management

Documentation

Transition Plan template
Client Risk Assessment

Client risk Management Policy Manual

Client risk Matrix
Activity Environment Risk Assessment
Client risk Profile
Shift Changeover Prompt Sheet
Training Materials

Implementation and Evaluation

This policy is effective immediately and will be reviewed on an annual basis.

The policy will be supported by awareness training and publication.

The annual file audit report and stakeholder feedback will feed into the evaluation of this policy.

Appendix 1
Forms and Templates

Client Risk Assessment*

Client Risk Profile*

Site Environment or Activity Assessment[%]

Appendix 2

Sample Assessment

Sample Plans

* Separate file documents

[%] Available in OH&S forms section on intranet via staff portal

Appendix 3

SUPPORT PLANS WHICH MEET RESPONSIBILITIES UNDER OHS ACT

The following table provides a list of risk areas or types and recognised risk management plan formats that can constitute a control mechanism.

RISK AREA/ TYPE	ASSESSMENT	MANAGEMENT PLAN/ CONTROL MECHANISM
<p>Challenging behaviour including: Aggression toward self/ self injury Aggression toward other/ assault Aggression toward property</p>	<p>Needs Assessment Lifestyle and Environment Review Standardised tool eg. SIBR, Vinelands, Skills Assessment</p>	<p>Behaviour Intervention and Support Plan incorporating: Lifestyle Plan Incident Prevention and Response Plans Skills Development Plan</p>
<p>Accidental/Unsafe actions including: Slip/ Fall/ Trip Scalding Electrocution Roads</p>	<p>Manual Handling Occupation Therapy Assessment Physiotherapy assessment</p>	<p>Mobility management plan Manual handling plan Risk Management Plan Skills Development Plan</p>
<p>Medical risks including: Infectious disease Seizures Choking Recurrent fractures</p>	<p>Medical reviews Specialist reviews. Nutrition & Swallowing checklist</p>	<p>Healthcare Support Plan Epilepsy Support Plan Nursing Care Plan Mealtime Management Plan Health Promotion Plan</p>