# **RISK MANAGEMENT – STANDARD AND SPIEL**

## STANDARD

Risk Management Standard - extract from NDIS Practice Standards: Core Module – 2 Provider Governance and Operational Management Standard.

This is what you need to demonstrate to the auditor that you meet.

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| **Outcome:** Risks to participants, workers and the provider are identified and managed. |
| **To achieve this outcome, the following indicators should be demonstrated:**   * Risks to the organisation, including risks to participants, financial and work health and safety risks, and risks associated with provision of supports are identified, analysed, prioritised and treated * A documented system that effectively manages identified risks is in place, and is relevant and proportionate to the size and scale of the provider and the scope and complexity of supports provided * Support delivery is linked to a risk management system which includes: * Incident Management; * Complaints Management; * Work Health and Safety; * Human Resource Management; * Financial Management; * Information Management; and * Governance |

## SPIEL

Your explanation to the auditors of how you meet the above section of the Provider Governance and Operational Management Standard.

Read, adapt and then insert into your NDIS Commission On-line Application.

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| XXX has a Risk Management (RM) system to manage a wide range of risks. This includes having in place:   * A RM Policy * A RM Register which outlines identified risks and the associated management strategies * A detailed incident and complaints management system * Monitoring systems such as the Compliance Calendar, HR Register, register of interests, meetings and internal audits   In addition:   * Health and safety risks are managed by strategies such as: * Safe Practice and Environment Policy * Management of Injured Workers Policy * Training on WHS and Injury Management * A Community Safety Checklist * An In-Rooms Safety Checklist * Risks to individual participants and / or AHPs related to the delivery of services are:   + Identified & documented on the participant’s NDIS Support Plan together with management strategies   + Participants and their appointed decision makers have the opportunity to discuss the risks associated with achieving their goals and can determine if they want to proceed with the planned supports or explore alternative intervention. Refer to Rights and Responsibilities and Service Provision Standards   + The risk of the supports not achieving the expected participant outcomes is monitored by ongoing review of progress and audits   + HR strategies that minimise risks to participants such as employment checks * A Document Control Register is in place * XXX has appropriate insurances in place - maintained thru the Compliance Calendar * Financial risks are identified and managed using internal processes and external advisors with appropriate financial skills. Strategies are recorded on the RM Register and monitored through regular reporting to governing body and senior management meetings * Management of privacy is supported by XXX’s Privacy and Information Management Policy. Other mitigation strategies are outlined in the RM Register * Governance risks are managed through the utilisation of advisors with appropriate skills and understanding of XXX’s business and review of performance through meetings and planning. |

*Supporting Documents:*

* *Risk Management Policy*
* *Safe Practice & Environment policy*
* *Management of Injured Workers Policy*
* *Risk Management Register*
* *Community Safety Checklist*
* *In-Rooms Safety Checklist*
* *Insurance copies*

*Related Resource / Attachments Already Supplied:*

* *NDIS Employment Checklist*
* *Compliance Calendar*
* *Human Resources Register*

*Also refer to the following*

* *Complaints and Incident management documents in the Feedback & Complaints & Incident Management Standards*
* *Rights and Responsibilities and Service Provision Standards relating to participant risks and dignity of risk*
* *HR documents in the HR Standard*
* *Document Control Register in the Quality Management Standard*
* *Governance & Operational Management Standard documents*
* *Various Minutes relating to RM –Governing Body, Senior Management and Team and related minutes – need to have samples available*