

Risk Management Plan

Description:	Guidelines for Risk Management across Unity Studios. Describes actions required to manage risks identified in a Risk Assessment.
When:	Applies to everything that we do
Who:	Applies to everyone - staff, participants, carers/parents/siblings
Related Documents	Employee Policy & Procedure Handbook 7.1-7.5 Duty of Care, 8 Dismissals & 19 Employee Obligations, Mentor Feedback Google Form, Individual Risk Assessment for Participants (appendix 2 of Service Agreement), Participant Risk Assessment, Risk Register.
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Risk Matrix

The Risk Matrix is used during Risk Assessment to define the level of risk. This assists management's decision making and forms the basis of the Unity Studios Risk Management Planning.

<i>Consequence</i>					
<i>Likelihood</i>	Insignificant	Minor	Moderate	Major	Extreme
Almost Certain	Medium	Medium	High	Critical	Critical
Likely	Low	Medium	High	High	Critical
Possible	Low	Medium	Medium	High	High
Unlikely	Low	Low	Medium	Medium	High
Rare	Low	Low	Low	Medium	High

1. **Unity Studios Risk Management Plan** relates to the day to day running of the business. Unity Studios uses the risk matrix to ascertain the level of risk in relation to participant, strategic, compliance, special events, WHS, Financial, then follows the steps of the Risk Management Process of establishing context, identifying risk, analysing risk, evaluating risk, tracking risk, monitoring risk and reviewing risk when necessary.

2. Participant Risk Management

- 2.1. Identifying, assessing, control, review control risks to participants is an important part of the service that we provide. We assess these risks on an ongoing basis by doing the following according to the consequence rating for participants:
- 2.2. Risks Assessments for new participants as part of the induction process,
- 2.3. Review Risk Assessments for current participants every 12 months,
- 2.4. Review Risk Assessment if the needs of the participants changes.

3. Consequence Ratings for Participants

The steps used as a framework to manage risks:

- Identify risks - specific to each participant
- Assess risks - how likely is this to happen
- Control risks - implement plan to lessen the likelihood of it happening
- Review control measures - ensure risks are under control and no new risks

Consequence Ratings:

Category	Insignificant	Minor	Moderate	Major	Extreme
Injury	Injury - less than first aid	First aid injury	Substantial injury resulting in medical treatment Temporary impairment	Significant injury causing permanent impairment	Avoidable death
Mental Health	Brief emotional disturbance	Emotional disturbance - more than 2 days - no treatment	Exacerbation of mental illness requiring treatment	Severe, long lasting or significant exacerbation of mental illness requiring long-term treatment	
Abuse/ Neglect			Abuse/neglect of the participant Abuse of employees	Significant faults allowing significant abuse/neglect	Systemic faults allowing widespread abuse/neglect

4. Organisational Risks

Below are the steps used as a framework to manage risks for the remainder of the following points within the risk management plan:

- Identify risks - found out what can cause harm
- Assess risks - understand the nature of the harm that could be caused by the risk, how serious the harm could be and the likelihood of it happening
- Control risks - implement the most effective control measures reasonably practicable in the circumstances
- Review control measures - ensuring control measures are working as planned and there are no new risks

5. Strategic Risk Management

- 5.1. Risk management should consider strategic risks. This includes identifying and managing risks related to the service achieving its business objectives. This may include risks to:
- 5.2. Funding - this might include donors, gifts and funding bodies. Unity Studios consider each organisation we support and align ourselves with thoroughly likewise, any funding bodies Unity Studios approach for allocation of funding are selected, researched and must align with best practice and our philosophy.
- 5.3. Mismanagement - risks to the organisation's reputation. Unity Studios works solidly to build and maintain a good reputation in the wider community. We do this by setting high standards of services, these are communicated to staff, clients, potential clients, add consistent email comm via strategically crafted canned responses, vision and mission. Vision and mission statements and consultation process, client entry questionnaires and case management address expectation. We are explicit in within our service agreements and communication, about how a client can review their plan with us and make a complaint. On the "student portal" section of our website, there is an ONLINE suggestion box. On exiting our service, we request feedback via an online questionnaire. All information gathered is reviewed to ensure we refine our processes and minimise risk to the business.
- 5.4. Founder risk - where the organisation's original benefactor lacks the required business and financial skills to run the service appropriately. Unity Studios founder conducts quarterly SWOT analysis on the business. Any "weaknesses" and "threats" related to founder risk will always result in outsourcing advice and service from carefully selected professionals. The management conducts biannual employee surveys to ascertain problem areas within the business structures.

6. Compliance Risk Management

- 6.1. The management team closely monitor - legislation relating to the day to day running of the business, especially with regard to the National Disability Insurance Scheme and Child Protection, Workplace Health and Safety, for upcoming legislative changes
- 6.2. The management team are committed to - researching changes and proactively reviewing policies, procedures and implementation whenever necessary, regular ongoing inhouse reviews, outsource law related advice and feedback when necessary, record keeping, review of relevant information, close monitoring of staff to ensure they are working within their scope (at the level)

7. Human Resources Risk Management

- 7.1. Risk management should consider risks related to human resources including:
 - Unplanned exit or retirement of key management personnel
 - Not having workers with the required knowledge and skills
 - Industrial action and disputes or absenteeism
 - lack of diversity (gender, age, race, ability)
 - Recruitment of works and their retention or dismissal
 - Strategies to manage or reduce human resources risks are contained within Human Resources Management Plan.

8. Venue & Special Events Risk Management

- 8.1. Risk management is a required part of organising or participating in an event. The main risks at events includes anything that could :
 - Cause harm to another person
 - Cause damage to equipment, infrastructure or event site, or
- 8.2. Risks assessment for events may require, where appropriate a risk assessment of :
 - the event site - including existing risks, risks caused by inclement weather, and risks from bodies of water
 - The event including all proposed activities e.g. rides, vehicles and security
 - All external risks such as an evacuation - if so, are there any guests that may have higher risks

- 8.3. When Unity Studios is approached to be involved in a Special Event, Unity Studios management will request to see the event organiser's management plans to ensure risks are appropriately managed before committing to the event.
- 8.4. In event, Unity Studios is the event organiser, appropriate management plans will be created and shared with other vested organisations (if relevant).
- 8.5. The manager on duty (the person opening and closing), is the person responsible for assessing the space to make sure there are no likely dangers. All necessary measures must be taken by this person to prevent trips, falls or spills. [Employee Policy & Procedure Handbook section: 19 Employee Obligations](#)

9. Work Health and Safety Risk Management

- 9.1. Unity Studios acknowledge persons conducting a business or undertaking-
 - Are required by law to manage WHS risks
 - Are required by law to minimise the risks of breaches of privacy
- 9.2. Key management personnel have a duty to eliminate WHS risks as far as reasonably practicable. This means risk management needs to consider work health and safety (WHS) risks. Managing WHS risks is an ongoing process which should begin when:
 - Starting a new business
 - Changing work practices procedures or work equipment
 - Purchasing new or used equipment
 - Planning to improve productivity or reduce costs
 - Responding to workplace incidents (even if they have caused no injury)
 - Responding to concerns raised by workers or others at the workplace
- 9.3. Identifying hazards involves finding things and situations that cause harm to people. This includes workers':
 - Physical work environment
 - Equipment, materials and substances used
 - Work tasks and how they are performed
 - Work design and management
- 9.4. Common hazards include:
 - Manual handling - when lifting and moving objects
 - Gravity - falling objects, falls, slips and trips of people
 - Electricity - shock, fire, burns or electrocution
 - Machinery and equipment - hit by moving vehicle or caught by moving parts of machinery
 - Hazardous chemicals - chemicals, dusts

- Extreme temperatures - heat stroke, burns, fatigue, hypothermia
- Noise- permanent hearing loss
- Radiation - microwaves, lasers
- Biological - allergies
- Psychosocial hazards - stress, bullying, violence, fatigue

9.5. Finding hazards involves:

- Workplace inspections
- Consulting workers
- Training workers to report hazards and risks
- Reviewing incident reports and complaint registers.

9.6. WHS risk assessment should be carried out:

- If there is uncertainty about how a hazard may cause an injury or illness
- The work involves a number of different hazards and it is unclear how these hazards may interact to produce new or greater risks
- Changes in the workplace that may impact control measures

9.7. Once a WHS hazard or risk is identified and assessed, managing the risk may involve:

- Elimination - where possible a WHS risk should be eliminated
- Substitution - replacement with less hazardous options
- Isolation - if elimination or substitution is not possible, isolate the hazard so workers cannot come into contact with it
- Controls - where elimination, substitution or isolation is not possible, controls such as safe work practices and/or personal protective equipment.

10. Financial Risk Management

10.1. Risk management should include managing risks to finances such as:

- Liquidity risk
- Risks from competitors
- Risks from the market or economy
- Unexpected exit from business owner in the case of death or incapacitation.

10.2. Risk management strategies include -

- Researching and having the right insurance - Workers compensation, car insurance with hire car cover, IT resource insurance
- Unity Studios management closely monitors quarterly profit and loss statements, adhere to a budget ensure debts are paid on time and in full
- outsourcing to a third party to annually review competitor pricing and to monitor the market

- Contingency plans including sharing login details with business owners immediate family and upper management
- Researching market trends

11. Key Personnel Succession Risk Management

- 11.1. Risks to the service which relate to key personnel should be considered. A succession plan in some way to minimise the impact of one or more unplanned absences of key personnel.
- 11.2. Unity Studios are committed to recording and updating day to day procedures to make it possible for staff to fill in for other staff when necessary.
- 11.3. Unity Studios has levels of responsibilities for their mentoring staff. As a long term goal, when more procedures are documented by the management team and a CRM is populated and implemented, we will move to more responsibility for administration to be placed to higher level staff

12. Responsibilities of Key Management Personnel and Risk Managers

- In the context of this policy, key management personnel includes the organisation management committee or director/owner.
- Key management personnel are ultimately responsible for setting all risk management appetite in the organisation. Their responsibilities are to:
- Set overall risk management strategy
- Understand the scope of risks faced by the organisation
- Ensure robust oversight of risk at senior management levels
- Promote a risk focused culture
- Promote open communication within the organisation
- Assign clear lines of accountability and encourage effective risk management framework.
- Key management personnel must also ensure risk management policies and procedures are implemented and followed across the organisation.

13. Responsibilities of Workers

All workers should:

-
- Follow participants Risk Management plans
- Assist participants to maintain risk management plan as safety needs change
- Inform team of any safety needs changes
- Seek support to manage a risk
- Have a basic understanding of NDIS Quality and Safeguarding framework

- Have a basic understanding of basic WHS policies

14. Duty of Care (Taken from the employment handbook)

Providing a duty of care involves ensuring adequate care is taken to avoid injury or harm.

- 14.1. A duty of care is, legal obligation to provide reasonable care while performing any acts or making any omissions that could foreseeably harm others.
- 14.2. The duty encompasses a wide range of matters, including (but not limited to) -
 - the provision of adequate supervision ensuring grounds, premises and equipment are safe for participants use (this includes toilet breaks);
 - implementing strategies to prevent bullying from occurring and;
 - providing medical assistance (if competent to do so ie, First Aid trained with current Certificate), or seeking assistance from a medically trained person to aid a participant who is injured or becomes sick while attending Unity Studios' facilities;
 - Emergency contact details are onsite (within each venue folder).
- 14.3. As a Unity Studios employee, you have a duty to take reasonable care for the safety and welfare of the participants in your charge. That duty is to take all reasonable action to protect participants from risks of harm that can be reasonably predicted. For example, risks from known hazards and from foreseeable risk situations against which preventative measures can be taken. The standard of care that is required, for example the degree of supervision, needs to be adjusted with the participants maturity and ability.
- 14.4. Duty of care to participants applies during all activities and functions conducted or arranged by Unity Studios where participants are in the care of the employer/employees. The risks associated with any activity need to be assessed and managed before the activity is undertaken. Risk assessments are available to view at each site.
- 14.5. You also have a duty to ensure your safety and that of others in your team. Considerations of safety relate to both physical and psychological well-being of all individuals. Breach of Duty of Care

15. Breach of Duty of Care

- 15.1. Unity Studios will provide appropriate standards of care at all times.
- 15.2. A breach of duty of care, is if a worker or Unity Studios as an organisation, is proven to have not provided the appropriate standard of care.
- 15.3. A breach of duty of care is any case where a worker or Unity Studios has done something they should not have done or failed to do something they should have done.



Such a breach may potentially result in harm or injury to another person and a finding of negligence.

- 15.4. All suspected incidents of breach of duty of care will be investigated.
- 15.5. Anyone found in breach of duty of care will be disciplined, including termination of employment.
- 15.6. See [Employee Policy & Procedure Handbook 7.1-7.5 Duty of Care and 8 Dismissals](#).