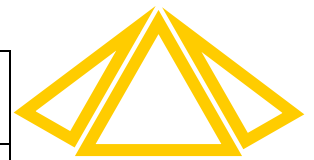


Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Document Control

Policy Title	Quality, Safety & Risk Management Framework Policy and Procedure
Policy Number	023
Owner	Quality, Compliance & Training Manager
Contributors	Quality, Compliance & Training Department
Version	1.0
Date of Production	01 September 2014
Review date	01 September 2016
Post holder responsible for review	Quality, Compliance & Training Manager
Primary Circulation List	Shared Directory
Web address	N/a
Restrictions	None

Version Control

Version Number	Owner	Description	Circulation
1.0	Quality, Compliance & Training Manager	Review	SMT

Policy No. 023	Revision: 1.0
Page 1 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



[Context]

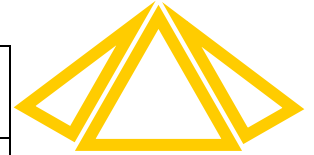
Organisations that offer support to people with disabilities are responding to a changing landscape that focuses largely on meeting peoples expectations for Quality driven, custom focused support services. Services need to be in a position to respond to demand for increased individualisation and flexibility, and greater societal expectations for governance and compliance.

The ability to identify and report to risk enhances the capacity of organisations, to deliver quality person centered and person directed supports. Achieving high quality, person driven safe services, demands cooperation and vigilance from all organisational stakeholders

This document provides a framework and policy directive to guide Sunbeam House Stakeholders in the continued provision of Quality person directed safe services.

Policy No. 023	Revision: 1.0
Page 2 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Contents

- (1) Quality & Safety Risk Management Framework**
- (2) Adult Safeguarding Framework**
- (3) Risk Responsibilities**
- (4) Risk Management & Policy**
- (5) Risk Register Guide**
- (6) Protection and Safeguarding Committee- Membership and Terms of Reference**
- (7) Risk register Flowchart**
- (8) Risk Assessment Form**

Policy No. 023	Revision: 1.0
Page 3 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



SHS Quality & Safety Risk Management Framework

Risk Identified

Risk Assessment



Risk Management Plan



Risk Escalation If appropriate



Corporate Risk Register



Risk Review

Proactive Strategies

Individual Safety Plans
Location Safety Statements
Internal Audit Function
Independent H&S Audit
Independent Finance Audit
Protection & Safeguarding Committee
SHS Policy Manual

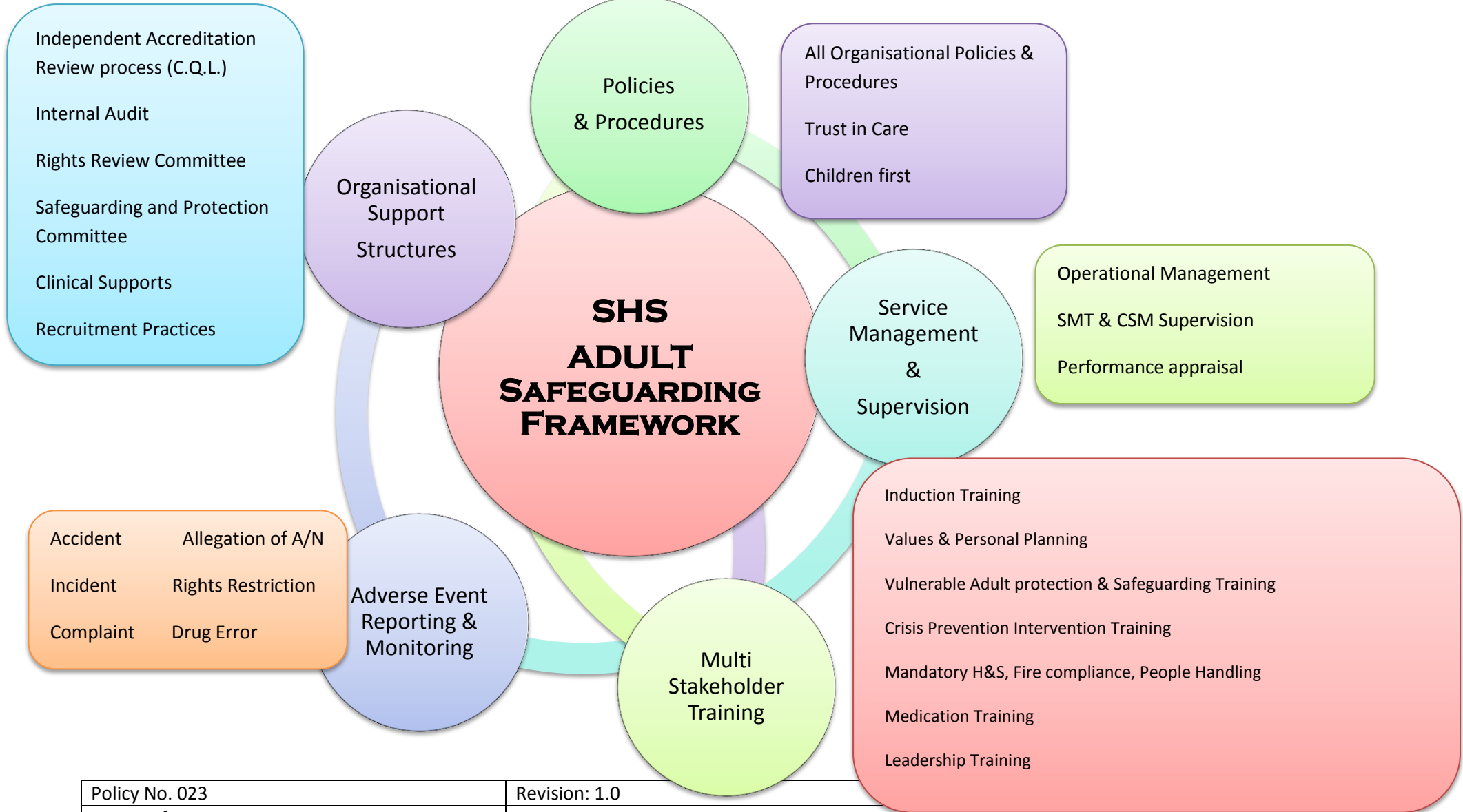
Protection & Safeguarding Framework
Internal & External Training
C.Q.L. Independent Accreditation
Strategic Plan
Service Level Arrangement
Robust Recruitment Practices
Rights Review Committee

Reactive Processes

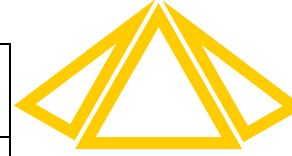
Adverse Events Monitoring
Internal Investigations & Complaints
Insurance Review
H.S.A Investigation and Inspection
H.I.Q.A Inspection
Fire Officer Inspections
Staff sickness/absence and
Turnover reviews

N.E.R.A. Inspections

Policy No. 023	Revision: 1.0
Page 3 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

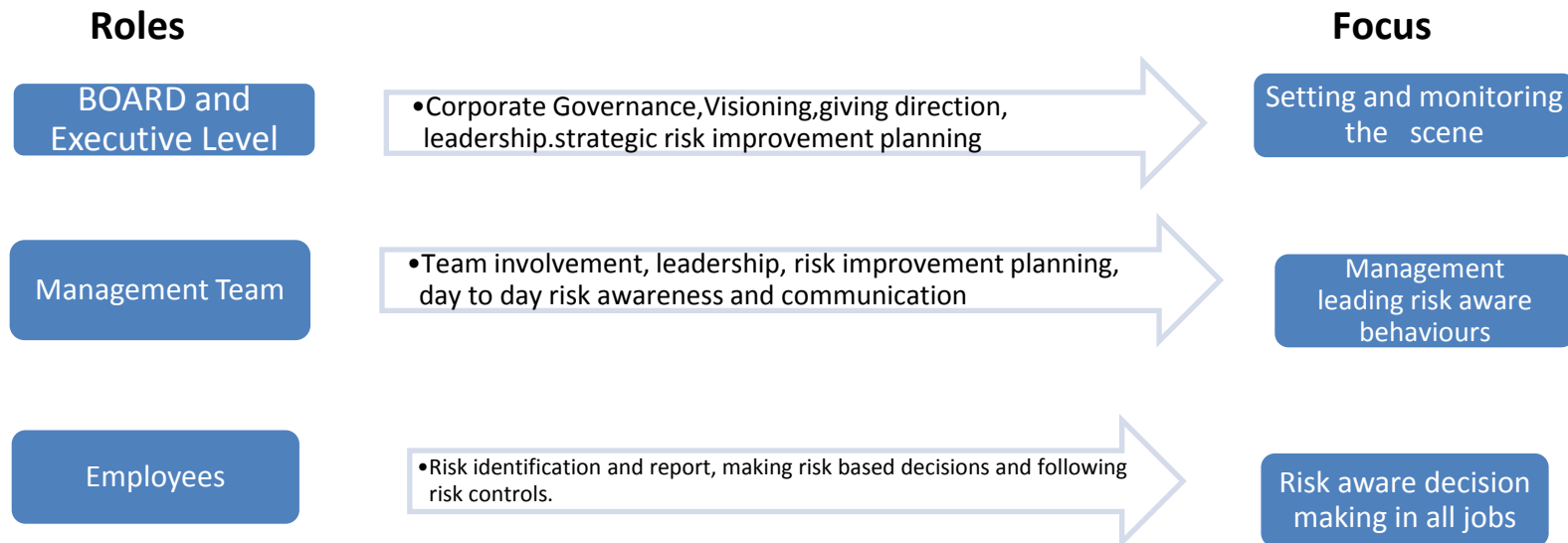


Policy No. 023	Revision: 1.0
Page 4 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



Risk Responsibilities

To make risk management work in your organisation, everybody must be involved. However, each level of the Organisation has specific roles to play, which may be depicted below.



Policy No. 023	Revision: 1.0
Page 5 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



1.0 POLICY:

Purpose

The purpose of this policy is to set out the Sunbeam House Services (SHS) policy on the management of risk within Sunbeam House Services.

Key messages

1. The management of risk is the concern of everyone
2. Management of risk is part of the normal day to day business, and
3. The process of managing risk is logical and systematic and should be implemented on a routine basis and integrated with the business planning cycle.

Sunbeam House Services will ensure that risk management:

- Is an integral and on-going part of its management process
- Is as simple and straightforward as possible
- Structures and responsibilities are clearly defined.

In addition Sunbeam House Services will:

- Repeat the process of risk identification at least every 2 years
- Assess identified risks at least once a year
- Determine an appropriate method for addressing identified risks
- Provide for monitoring and reporting at various levels of management.

2.0 SCOPE:

Applies to all SHS Services, visitors, staff, contractors, others and shall be read in conjunction with other SHS policies.

Definitions

Risk: The effect of uncertainty on objectives

- An effect is a deviation from the expected – positive or negative
- Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organisation wide, project, location, product, and process).

Policy No. 023	Revision: 1.0
Page 6 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



- Risk is often characterised by reference to potential events and consequences or a combination of these
- Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.

Risk Management: coordinated activities to direct and control an organisation with regard to risk.

Integrated risk management: A continuous, proactive, and systematic process to understand, manage, and communicate risk from an organisation wide perspective. It is about contributing to strategic decision making in the achievement of an organisation's overall corporate objectives.

Risk Management Process: the systematic application of management policies, procedures and practices to the activities of communicating, consulting, establishing the context, and identifying, analysing, evaluating, treating, monitoring and reviewing risk.

Risk Assessment: the overall process of risk identification, risk analysis and risk evaluation.

Risk Register: a risk register is a database of risks that face an organisation at any one time. Always changing to reflect the dynamic nature of risks and organisation's management of them, its purpose is to help managers prioritise available resources to minimise risk and target improvements to best effect.

Hazard: Anything that can cause harm.

Monitor: continual checking, supervising, critically observing, or determining the status in order to identify change from the performance level required or expected.

Safety: the state of being safe, the condition of being protected against physical, social, financial, political, emotional, occupational, psychological, or other types or consequences of failure, damage, error, accidents, harm, or any other event which could be considered not desirable.

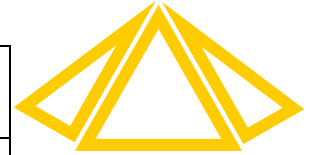
Quality: Doing the right thing consistently to ensure the best outcomes for Clients, satisfaction for all customers, retention of staff and good financial performance.

Risk Categories:

- **Strategic risk** – these concern the long term strategic objectives of Sunbeam House Services and may be internal or external to the organisation.

Policy No. 023	Revision: 1.0
Page 7 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



- **Operational risks** – these relate to the procedures, technologies, systems and other factors relating to the short to medium term objectives of Sunbeam House Services.

- **Risk Areas to be addressed**

In order to manage risk on an integrated basis i.e. inclusive of all risk whether to do with the management or service delivery processes, the following have been identified as risk areas to be addressed.

Finance – Finance Manager

Strategy and Planning – Organisational Development Team (ODT) Manager

Leadership and Governance – Managing Director

Quality, Compliance and Improvement – Q.C.T. Manager

Workforce – Human Resources (HR) Manager

Clinical/ Health – Senior Services Manager (SSM)., K8.H

Client Service /Support Delivery –SSM, K8.H, M.F, AF.K

Built Environment – Housing Maintenance & Transport (HMT) Manager

Transport – HMT Manager

**Data Protection / Information, Communication & Technology – Information
Communication & Technology (ICT) Manager**

Health & Safety – Q.C.T. Manager

Sunbeam House Services will pursue an organisational philosophy that ensures risk management is an integral part of corporate objectives, plans, and management systems. Compliance with legislative requirements is only a minimum standard. The core function of risk management is to assist Sunbeam House Services to meet its objectives.

The use of risk management methods to provide a consistent approach to these issues will be introduced across the organisation.

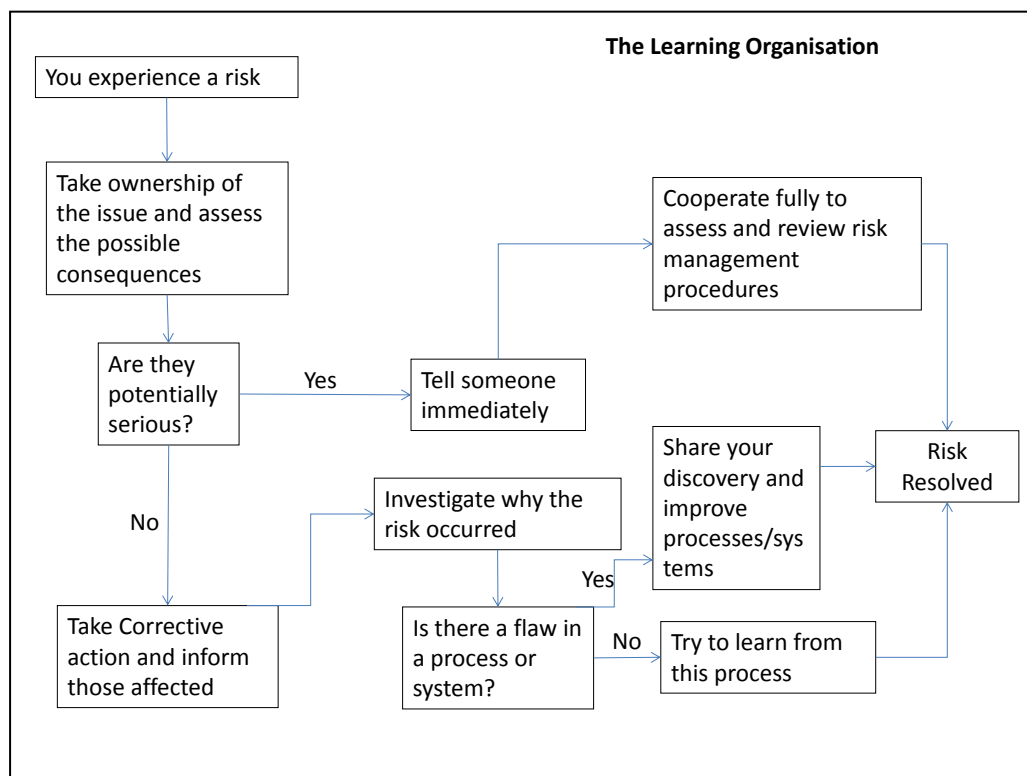
Policy No. 023	Revision: 1.0
Page 8 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



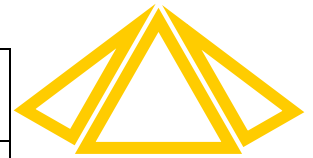
The following ten key factors are considered essential for the successful implementation of an integrated risk management strategy:

- Board and management commitment to risk management;
- Management of risk in an integrated way incorporating operational and financial risk;
- Employees and management partnership in risk management process;
- Formal mechanisms in place to measure the effectiveness of risk management strategies, plans and processes against industry standards;
- Preventive maintenance risk management processes area applied to strategies and operational risks and the management of facilities, amenities and equipment;
- All incidents are immediately reported, categorised by their consequence and investigated to determine systems failures using a learning organisation approach (see diagram below);
- Systems of work are designed to reduce the likelihood of harm occurring;
- Risk management processes are applied to contract management especially when acquiring, expanding or outsourcing services to ensure that only reasonable risks are accepted and that those risks are transferred to an appropriate third party;
- Safe systems of work are in place to ensure safety of clients, staff and the public; and
- Emergency preparedness, emergency response, and contingency plans established and implemented.



Policy No. 023	Revision: 1.0
Page 9 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Sunbeam House Services is committed to the protection and well-being of its staff, clients and the population which it services, as well as demonstrating openness and transparency in all matters relating to management and legislative compliance.

To this end Sunbeam House Services is committed to promoting a culture of Risk Management based on a practical application of best practice. Sunbeam House Services will establish the necessary structures, processes, training, information systems and communication mechanisms to ensure that this is achieved, along with, where necessary, financial and other resources.

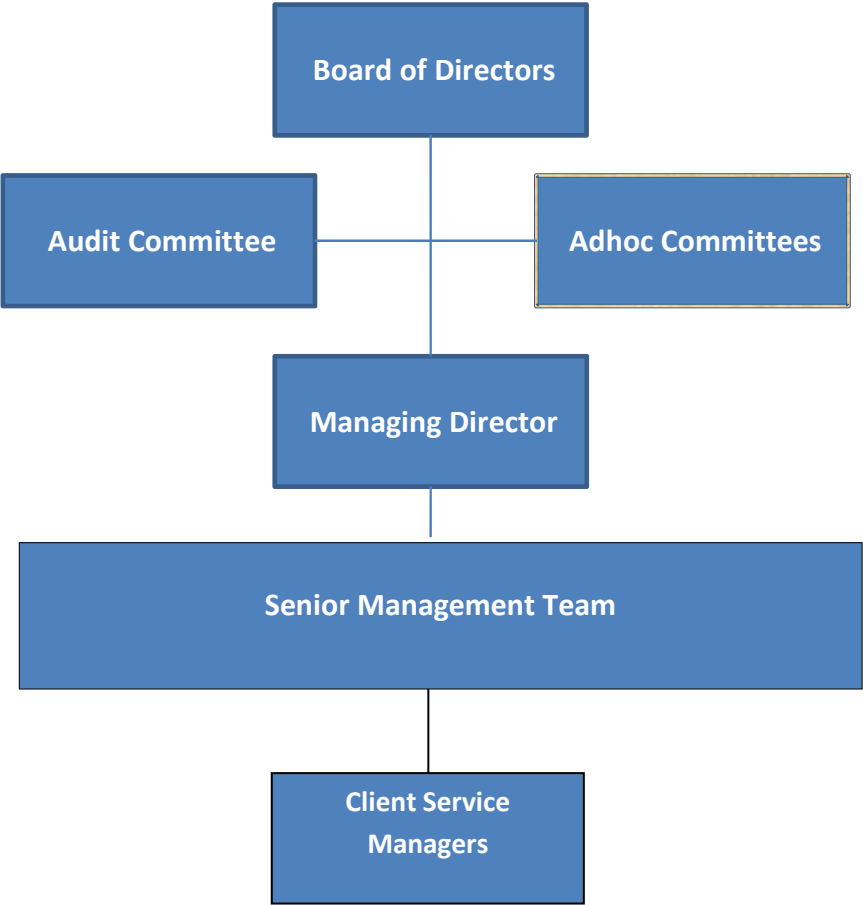
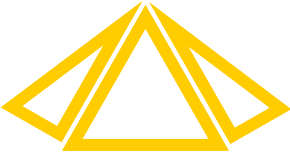
Sunbeam House Services seeks the commitment of all staff in supporting this initiative. To this end Sunbeam House Services will promote an environment within which individuals/groups are encouraged to identify hazards and risks, and report adverse events promptly within the framework of a positive and supportive culture which seeks to learn through risk evaluation and analysis.

Where does risk management fit in?

The following organogram sets out where the Risk Management Function of Sunbeam House Services sits in the context of the overall Sunbeam House Services organisation:

Policy No. 023	Revision: 1.0
Page 10 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Policy No. 023	Revision: 1.0
Page 11 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Board monitoring and management of the risk environment

The Board expects that an operational risk management approach will be in line with that adopted for use in Sunbeam House Services. A detailed description of the Sunbeam House Services operational approach is available in the different policies within this policy manual. The use of a consistent approach to risk management as is described in these documents is essential to successfully embed risk management at all levels and areas within Sunbeam House Services.

Audit Committee

The Board has responsibility to ensure that appropriate risk management policies are put in place and implemented by management. The Board will be assisted in the discharge of this responsibility by its Audit Committee and other adhoc committees, as is necessary.

The Audit Committee focuses principally on the following matters:

- Financial reporting process;
- Processes relating to Sunbeam House Services financial risks, corruption and waste and system of internal control;
- Internal and external audit processes;
- Promotion of auditing Value for Money Management throughout Sunbeam House Services;
- Processes relating to the identification, measurement, assessment and management of risk in Sunbeam House Services; and
- Promotion of a risk management culture throughout Sunbeam House Services.

The committee's terms of reference have been drafted accordingly and mechanisms established to ensure that Sunbeam House Services' over all approach to risk management is comprehensive and coordinated. The committee will report regularly to the Board.

The terms of reference for the Audit Committee are available as part of the Policy Manual.

Internal Control and Risk Management

The Board will ensure that systems of internal control and risk management operate effectively and through the Audit Committee:

- Ensure that executive management maintains and promotes a control culture that enables compliance with best practice in corporate governance;
- Periodically review and if necessary propose changes to the Sunbeam House Services Policy Manual;

Policy No. 023	Revision: 1.0
Page 12 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



- Review reports at least annually produced by management on the effectiveness of the systems for internal control, financial reporting and risk management;
- Review reports at least annually produced by management on the effectiveness of Value for Money management;
- Review the statement in the annual financial statements on the internal controls and risk management framework;
- Assess the scope and effectiveness of the systems established by management to identify, assess, manage and monitor financial and non-financial risk;
- Receive as required, reports from risk experts on the appropriateness and adequacy of our risk management systems.

Managing Director and the Senior Management Team

In relation to its remit the Audit Committee can direct, as appropriate, the Managing Director to examine any aspect of risk management or monitoring and report on same.

The implementation of appropriate risk management policies is the responsibility of the Managing Director and the Senior Management Team (SMT). The Managing Director has delegated operational risk management to the relevant Senior Managers. The Quality, Compliance and Training Manager has been delegated the primary responsibility for reporting on:

- The effectiveness of processes and systems;
- The promotion of an integrated approach to risk management;
- The outcomes of risk monitoring and risk management to the Board/committees

Risk Management at an operational level is a line management function.

The Quality, Compliance, and Training Manager will attend or nominate a delegate to attend meetings of the Board's Audit Committee as required by the Audit Committee. The Quality, Compliance and Training Manager will provide reports and make recommendations to the Managing Director and the Senior Management Team on reported risk management issues. The Managing Director and the Senior Management Team will identify the priority risk management issues and ensure that the corporate and service planning processes have regard to the priority risk management issues identified

The Managing Director and Senior Management Team will commit to and promote a risk management culture which enables the safe delivery of services and supports.

Each Senior Manager has a responsibility for Risk within their functional Arc.) and will draw up Key Performance Indicators (KPI)'s for their respective area

Policy No. 023	Revision: 1.0
Page 13 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



Quality, Compliance and Training Manager

The Quality, Compliance and Training Manager should:

- Develop a Quality Safety & Risk Framework that incorporates a robust internal Audit Function.
- Be made aware of significant risks by SMT that is within the remit of the Audit Committee. Any such risks will be notified to the Audit Committee by the Quality, Compliance and Training Manager.
- Report systematically and promptly to the Senior Management Team and Managing Director about risk management issues – ensure employees understand their accountability for risks;

Responsibilities of the Quality, Compliance, and Training Team include:

- Support the implementation of these quality and risk management systems throughout Sunbeam House Services including the implementation of standards and key performance indicators;
- Work with Senior Management Team and Client Service Managers responsible for quality and risk management in each area of service;
- Monitor and evaluate the efficiency and effectiveness of the Quality Safety & Risk System ;
- The Protection and Safeguarding Committee will give a monthly report to SMT on Adverse Events and Basic Assurances.
- Engage with relevant statutory and non-statutory regulatory and support agencies (e.g. Health Information Quality Authority (HIQA), Council on Quality and Leadership (CQL), Health and Safety Authority (HSA), etc.)

The Quality, Compliance and Training Team has responsibility for developing the existing quality and risk programmes into a single consistent Framework (acknowledging the role of the service delivery system) and to provide assurance to the Board/Committees and the Managing Director that high quality safe services are delivered.

The Quality Compliance and Training Team will attend meetings of the Audit Committee and provide any support deemed necessary by the Committee in the discharge of its functions.

Risk Management Processes

The risk management process outlines a standardised approach to the identification, analysis, evaluation, treatment, communication and monitoring of risk. This is essential to ensure that SHS constantly strives to comply with regulatory standards and best practice

Policy No. 023	Revision: 1.0
Page 14 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Quality Safety Risk Management Policy and Procedure
	Effective Date: 01 September 2014



requirements. All locations will use this standardised approach and record outcomes in a series of Risk Registers. These Risk Registers will be collated at key organisational levels allowing for risks to be managed at the most appropriate level in the organisation i.e. risks that fall outside the control of a line manager may be escalated to the appropriate level of management. See Figure 1 for an example of the Risk Register approach in the residential services. Individual Risk Registers must be signed off at the relevant organisational level by the line manager.

It is essential that action plans for the risks contained in the Risk register are identified and an action person assigned. These Risk Registers must be under active consideration and be the subject of regular review, monthly at operational level, quarterly at management level.

The effectiveness of and adherence to the risk management process will be monitored in a number of ways i.e. by compliance with the Quality and Risk Management framework and through reporting against key performance indicators.

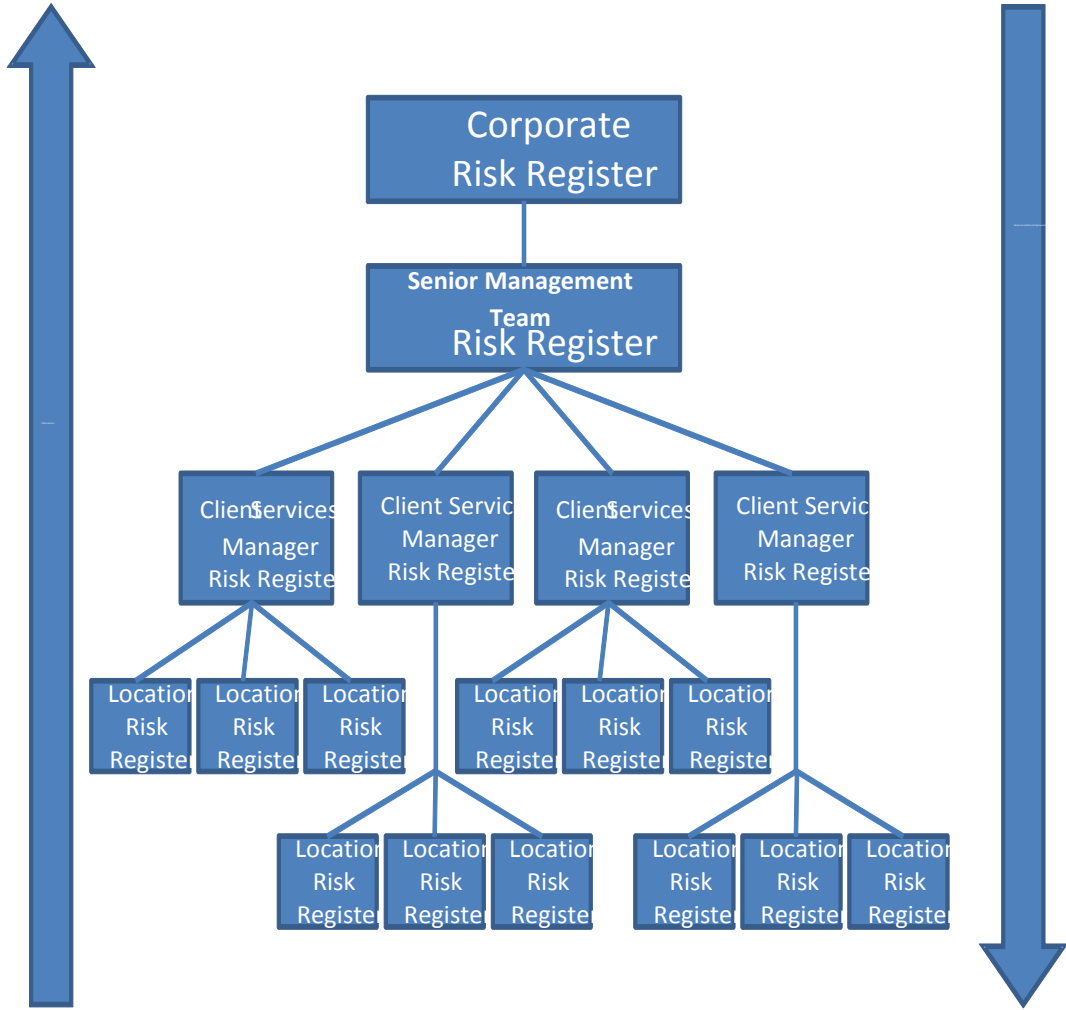
The Quality, Compliance, and Training Team will play a critical role in facilitating and monitoring quality performance at organisational level. The care and support of residents in residential centres for persons with disabilities (2013) require SHS to have redress in place to control the following specific risks;

- (1) The unexpected absence of any resident
- (2) Accident or injury to residents, visitors, or staff
- (3) Aggression and violence
- (4) Self Harm

Where a risk presents in any of these 4 areas then the SHS Risk Assessment Process applies and should be read in accordance with the following SHS policy documents.

- 1. Location Specific Safety Statements
- 2. [Missing Persons Policy](#)
- 3. [Adverse events Policy](#)
- 4. [Positive Interventions Policy](#)
- 5. [Protection & Safeguarding Policy](#)

Policy No. 023	Revision: 1.0
Page 15 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	





1.0 Background

Risk is constant with regard to the delivery of health and social care services. Effective risk management and quality systems significantly reduce the risk of adverse events occurring.

Risk Management is an essential component of organisational and corporate governance. The effective maintenance of a risk register is an integral aspect of effective risk management. It is required as part of Sunbeam House's service level agreement with the Health Service Executive (HSE). It is also an essential requirement of National Standards under HIQA.

SHS is committed to the appropriate management of risks in accordance with best practice and statutory requirements.

This guide sets out the approach to establishing, populating, and maintaining a risk register. Where risks identified have significant potential to impact on the objectives of the service or on the quality of service provision these will be populated onto the risk register.

2.0 The Risk Register

The risk register is a tool that enables us to accurately record and categorise the high level risks within SHS. In maintaining a risk register, Management are able to identify and prioritise the major risks within SHS. The information collated through the risk register informs decision making on the management and monitoring of high level risks. It also enables the Audit Committee of the Board to provide the necessary oversight on risk from a corporate governance perspective.

The risk register is a valuable tool in enabling the service to: -

- Assess its key risks and determine its priorities.
- Anticipate likely areas of impact and mitigate, where possible, up to and including transferring resources from lesser priorities.
- Track the management and organisational response to managing risk.
- Inform service and strategic planning.
- Implement effective governance in relation to risk management.
- Inform the quality and audit function within the Service.
- Communicate core risks to the funding body and other relevant stakeholders and identify additional resource requirements where necessary.



3.0 What should be included in the Service Risk Register?

The Senior Management Team will determine which risks are included in the Service Risk Register (with the exception of urgent, emergency risks, in which case the SSM have the authority to do so). The risk register is not a list of all risks. Nor is it a list of all incidents.

The criteria for including a risk on the Service Risk Register: -

- The risk represents an organisation wide risk that threatens the achievement of one or more of the Service's objectives.
- The risk has significant potential to impact on the operational or financial ability of the Service in delivering services or it may adversely effect the Service's reputation or public standing.
- The risk cannot be addressed at local management level or by a single division.
- The control / mitigation measures require a shared management response.
- The management of the risk is likely to require considerable input of resources (staff, financial, etc.)
- The risk poses a significant risk to safety.

4.0 Core Principles and Responsibilities

There are a number of core principles and responsibilities that apply with regard to risk management in the Service. It will be necessary to accept a certain level of risk as not every risk can be eliminated. A risk that cannot be completely eliminated must be recorded with a list of controls to reduce it to an acceptable level. For those risks that are deemed acceptable, a process needs to be in place to monitor and review these risks. Where a risk is assessed, the assessment should involve relevant stakeholders.

- 4.1 Where a risk is identified the staff / manager / team that identify the risk must put a plan in place to manage that risk.
- 4.2 All risk assessment forms rated above 12 must be forwarded to the Senior Management Team. "The Senior Service Managers".
- 4.3 The Senior Management Team is responsible for reporting back to the Audit Committee on a regular basis (every 6 months).
- 4.4 Client Service Managers (CSM) must ensure that a proactive approach is taken to the assessment and management of risk, in keeping with best practice and national standards. Maintain a local risk assessment file at each location.
- 4.5 Each CSM must also maintain a Location Risk Register file containing copies of all risk assessments completed for their area. They must review their Location Risk Register on a monthly basis and they must maintain a written record of this review.
- 4.6 Senior Service Managers must support CSM's in relation to the management of risk. This support should include an oversight role and guidance / mentoring role in the effective management of risk and consistency.



- 4.7 The SMT must accurately review the risk forms submitted; determine which risks are to be included in the register; and where necessary, will send the forms back to the SSM or CSM for further clarity or action.
- 4.8 The SMT must ensure that the Risk Register is maintained and updated (including removing risks where they no longer fit the criteria for the register). They must also audit the effectiveness of the Risk Management /Register Processes.
- 4.9 The SMT must formally review / monitor the Risk Register on a 3 monthly basis to inform the operational governance of the Service and decision making. This will include a review of trends in the register (the movement up or down of key risks since the last meeting) and a view of the top 5 risks facing the Service at this time. The Management Team must also ensure resources are allocated for training of staff / managers in risk assessment and management, and trend analysis.
- 4.10 The SMT must keep the Audit Committee informed with regard to the Risk Register on a regular basis. This will include providing the Sub-Committee with an up to date copy of the register prior to Sub-Committee meetings. It will also include a summary of trends in the register (the movement up or down of key risks since the last meeting) and a view of the top 5 risks facing the Service at this time.
- 4.11 The Audit Committee must exercise oversight of the Service Risk Register, in accordance with their responsibilities and their terms of reference.

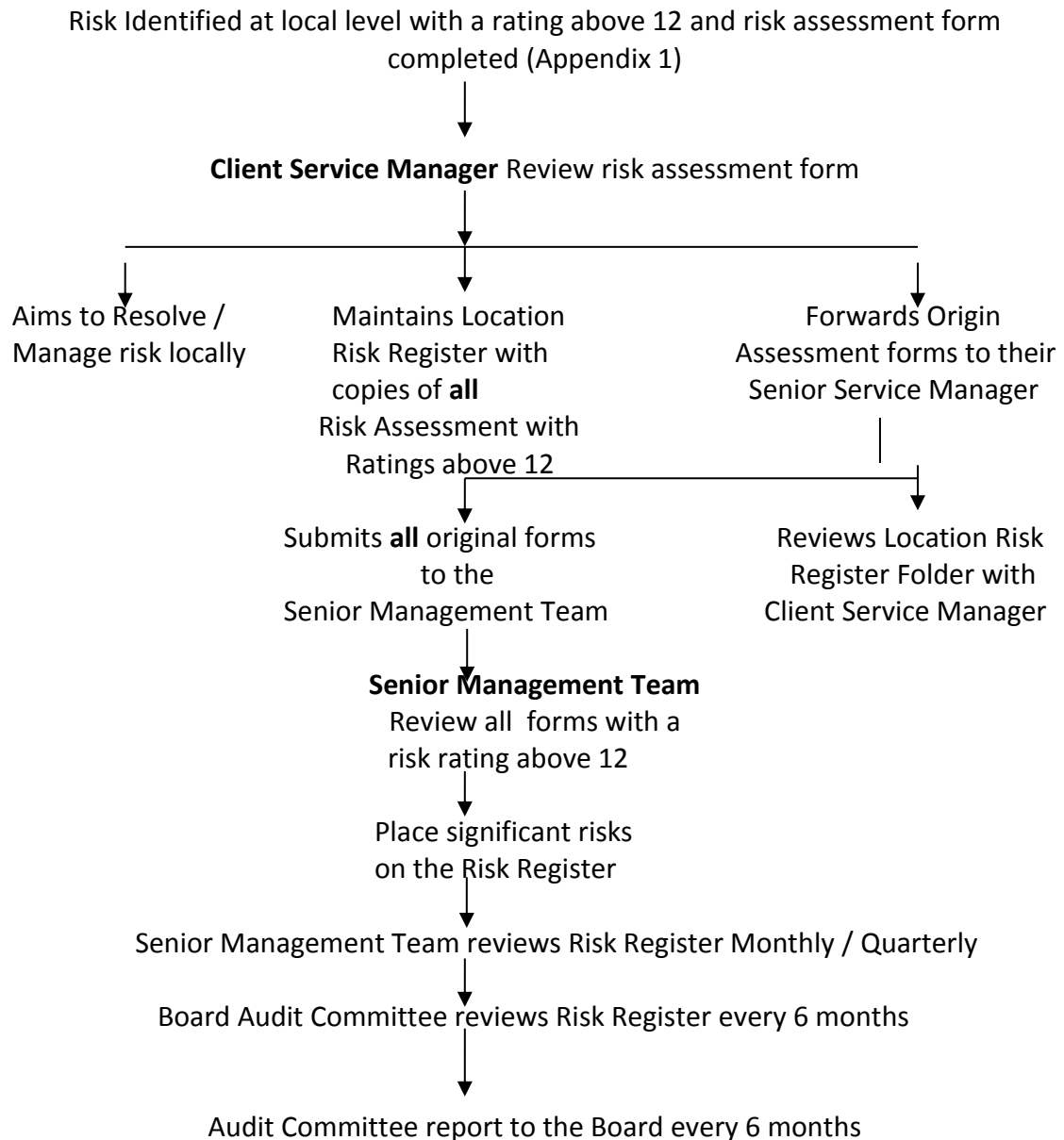
5.0 The Process for Managing Risk and Populating the Risk Register

The general process is set out in flowchart 1 below. The process for placing urgent / emergency risks on the Risk Register is set out in flowchart 2



Flowchart 1

General Risk Management and Risk Register Process¹



6.0 Categorisation of Risks

The SMT is responsible for maintaining the structure and content of the Risk Register. This responsibility includes the categorisation of risks on the Register. It is envisaged that categorisation and sub-categorisation will evolve over time. In the first instance the following categories have been agreed.

Policy No. 023	Revision: 1.0
Page 20 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	

Sunbeam House Services Policy Document	Title: Risk Register Template & Guide
	Effective Date: 01 September 2014



- 6.1 Client Service Delivery
- 6.2 Workforce
- 6.3 Quality, Compliance and Improvement
- 6.4 Financial Risk
- 6.5 Clinical Health Risks
- 6.6 Leadership and Governance
- 6.7 Transport Risks
- 6.8 Built Environment
- 6.9 Data Protection and Information, Communication & Technology
- 6.10 Health & Safety
- 6.11 Strategy and Planning

Policy No. 023	Revision: 1.0
Page 21 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



Terms of Reference; Protection and Safeguarding Committee 2014

Committee Membership;

Quality Coordinator
Staff Training Coordinator
Social Worker
Safety & HIQA Rep
Medication Trainer
External Rep. (x2 if possible)
Family Rep

Responsibilities:

- Highlight deficits in policies and practice arising from the analysis of all adverse events in the area of safety and protection of service users.
- Advise and provide recommendations in relation to SHS staff training in the area of enhancing safety, protection, and quality of life of service users.
- Conduct a monthly trend analysis for all adverse events and prepare a report for the Senior Management Team and the Audit Committee.
- Liaise with internal leaders and/or committees with responsibility for each of the Basic Assurance, to promote Quality enhancement and Basic assurances;

FACTOR:

1. Rights Protection & Promotion; RRC
2. Dignity & Respect; SSMs x2 and Clients Forum
3. Natural Support Networks; SSMs x2 and Family Forum
4. Protection from Abuse, Neglect, Mistreatment and Exploitation; Social Work Dept.
5. Best Possible Health; Medication Trainer
6. Safe Environments; Health and Safety Officer
7. Staff Resources and Supports; HR Manager and Training Coordinator
8. Positive Services & Supports; Personal Outcomes Coordinator
9. Continuity & Security; General Manager & Senior Management Team
10. Basic Assurances Systems; ICT Manager

Policy No. 023	Revision: 1.0
Page 23 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



Appendix 1 Service Risk Assessment Form

Risk Assessment Form

Sunbeam House Services

Service Area

Name and title of Person completing this form:

Date of Assessment:

Corrective action identified: Yes No By Who (Specify Name)

Source of Risk:

Risk Owner (Person with line management responsibility for service area):

Risk Description (Define the risk, and specify who or what it relates to)	Existing Control / Mitigation Measures	Likelihood of risk or harm occurring (1-5)	Consequence or impact of risk / harm occurring (1-5)	Risk Rating (Multiply likelihood score by consequenc e score)	Additional Control / Mitigation Measures required	Person Responsible for Action	Due date for Actions	Limitations to Control / Mitigation Measures	Status / Progress

Date sent by Client Service Manager to Senior Services Manager..... Signature of Senior Services Manager

Date sent by Senior Services Manager to Management Team.....Signature of Managing Director.....

Appendix 2 Risk Rating Calculator

Policy No. 023	Revision: 1.0
Page 24 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



Consequence → Likelihood ↓	Negligible (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Almost Certain (5) ≥99% Probability	5	10	15	20	25
Likely (4) ≥75% Probability	4	8	12	16	20
Possible (3) ≥50% Probability	3	6	9	12	15
Unlikely (2) ≥10% Probability	2	4	6	8	10
Rare/Remote (1) ≥1% Probability	1	2	3	4	5

Sunbeam House Services

Risk Register

Policy No. 023	Revision: 1.0
Page 25 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	



Risk Category	Risk Number	Date Added	Risk Description	Likelihood of risk or harm occurring	Consequence or impact of risk / harm occurring	Risk Rating	Existing Control / Mitigation Measures	New Control / Mitigation Measures	Due date for implementation of new Control / Mitigation Measures	Person Responsible / Owner	Limitations to Control / Mitigation Measures	Status / Progress	Revised Risk Rating
Quality, Compliance & Improvement Risk													
Workforce Risk													
Clinical Health risks													
Leadership & Governance													
Risk Category	Risk Number	Date Added	Risk Description	Likelihood of risk or harm occurring	Consequence or impact of risk / harm occurring	Risk Rating	Existing Control Measures	New Control Measures	Due date for implementation of new Mitigation Measures	Person Responsible / Owner	Limitations to Mitigation Measures	Status / Progress	Revised Risk Rating



Finance													
Client Service Delivery													
Transport Risks													
Built Environment Risks													
Data & ICT Risks													
Strategic Planning Risk													
Health & Safety Risks													

Document Number:
Date Completed: TBC

Version Number: 1
Date Approved by Board: TBC

Draft Number: 1
Date of Next Review: TBC

Policy No. 023	Revision: 1.0
Page 27 of 27	Department: 012
Full Policy ID Number : 012.023.1.0	