

Client Risk Policy and Procedures

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Accommodation Policy and Development Directorate
Ageing, Disability and Home Care
Department of Family & Community Services NSW
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**Family &
Community Services**
Ageing, Disability & Home Care

Document approval

The document ***Client Risk Policy and Procedures*** has been endorsed and approved by:

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Part 1 is mandatory.

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Part One

1 Policy requirements and principles

1.1 Policy statement

Family and Community Services NSW, Ageing, Disability and Home Care (ADHC) is committed to supporting adult clients, children and young people with a disability to pursue an individual lifestyle that will enable full, equal and safe participation as required under the *Disability Services Act 1993* and Disability Service Standards.

Dignity of risk recognises that people with a disability have a right to make their own decisions and are entitled to take reasonable risks in their everyday life. At the same time, services are required, as far as practicable, to ensure that staff working with clients are safe, and not exposed to health and safety risks (*Occupational Health and Safety Act (NSW) 2000*).

The Client Risk Policy operates within a risk management framework that provides staff with a better understanding of the need to manage risks and a structured approach to prevent, minimise, or eliminate injuries or incidents to clients, themselves and others before they occur.

1.2 Purpose of policy

The purpose of the Client Risk Policy is to assist staff to manage risks that may arise while providing support to clients whatever the situation or location so that adverse effects on lifestyle, health, safety and wellbeing are minimised.

The policy provides guidance on:

- how to identify and assess risks to clients, staff and others;
- develop client risk management strategies and plans; and
- monitor and review Client Risk Profiles and Client Risk Management Plans.

Formal assessment and management of risk as required under this policy will enable staff to support clients in a manner that fulfils their responsibilities under duty of care.

1.3 Target group for policy

The target groups for this policy are adults, children and young people with a disability who receive services from ADHC operated services and ADHC funded non government services (NGOs). It applies to all clients. The policy also applies to management, staff, contractors and volunteers working with people with a disability, or in predictable situations where others who may come in contact with clients, such as visitors and the general public.

Staff in ADHC operated and funded NGOs will need to be made aware of and receive training in the implementation of this policy, as well as in OH&S, safe work procedures and other appropriate work practices for example, incident management.

1.4 Service type for policy

The Client Risk Policy applies to all disability services operated and funded by ADHC. This includes residential centres, group homes, respite centres, drop-in support services, day programs, or any other place where a client of these services is in transit or temporarily based (e.g. medical services, public transport, taxis).

Part One - policy requirements and principles are mandatory for **both** ADHC operated services and ADHC funded NGO services.

Part Two - operational procedures are mandatory in ADHC operated services. Part Two is not mandatory for ADHC funded NGO services in recognition that these services will have their own business and organisational systems. Funded NGO services are however required to ensure that their operational procedures comply with the policy principles and requirements.

1.5 Legislative framework

The Client Risk Policy is guided by the following legislation:

- *Children and Young Persons (Care and Protection) Act, 1998*
- *Disability Services Act, 1993 (& Disability Services Standards)*
- *Occupational Health & Safety Act, 2000*
- *Occupational Health & Safety Regulation, 2001*

1.6 Intersections with other ADHC policies

The Client Risk Policy has links with, and is supported by all the following ADHC policies.

Mandatory policies for ADHC operated and funded non-government services:

- Nutrition and Swallowing Policy and Procedures, 2003
- Epilepsy Policy and Procedures, 2007
- Health Care Policy and Procedures, 2007
- Individual Planning for Adults in Accommodation Support Services, 2005
- Individual Planning for Children and Young People Living in Out of Home Placements, 2004

Mandatory policies for ADHC operated services only:

- Aboriginal Policy Framework, 2005
- Behaviour Support Policy and Practice Manual, 2009
- Incident Management Policy, updated 2007
- Occupational Health and Safety Policy, 2004
- OH&S Risk Management Policy, 2004

Although some of the above policies are not mandatory for non-government organisations it is expected that these organisations have a similar range of supporting policies for the effective implementation of the Client Risk Policy within their services.

1.7 Policy principles

1. All clients receiving support are:
 - assessed for risks to their lifestyle, health, safety and wellbeing;
 - have a risk profile completed; and
 - where risks are identified have a risk management plan developed.
2. Service providers are required to meet their occupational health and safety obligations to provide maximum safety for clients, staff and others.
3. Occupational health and safety obligations are met in a manner that allows clients to take reasonable risks in their daily lives and without placing staff and others at risk of harm.
4. Risks are identified, assessed, controlled and monitored to minimise risks to clients and staff as part of a risk management approach.
5. Client risk assessment and management are fundamental components of the individual planning process and the health care planning process.
6. Client Risk Profiles and Client Risk Management Plans are incorporated into Individual Plans and are subject to regular review as part of the individual planning review process.

7. Risk management takes into account the specific cultural, linguistic and religious needs of Aboriginal and Torres Strait Islander clients and those from culturally and linguistically diverse (CALD) backgrounds.
8. Risks relating to vulnerable client groups, particularly children, young people and aged clients, are identified and managed.
9. Information and documentation about risk management in relation to individual clients is made available to those persons who need to know because they are involved in supporting the client, and provided in a language or format that suits their communication needs.
10. Personal client information is protected in compliance with the *Privacy and Personal Information Protection Act, 1998*, and *Health Records and Information Privacy Act, 2002*.
11. Staff of ADHC operated services and staff in ADHC funded non-government services have current risk management competencies and, if not, receive training to achieve competency.
12. Staff of ADHC operated services read and use the Client Risk Policy in conjunction with the Incident Management Policy 2007. ADHC funded non-government service providers have an effective incident management and reporting system in place to ensure that their legal and OH&S obligations are met.

Part Two

2 Procedures for ADHC operated services

2.1 The Client Risk Framework

The Client Risk Framework (the Framework) as shown in the flowchart at Figure 1, on page 7, provides a structured risk management approach that enables staff to prevent, minimise, or eliminate injuries or incidents before they occur.

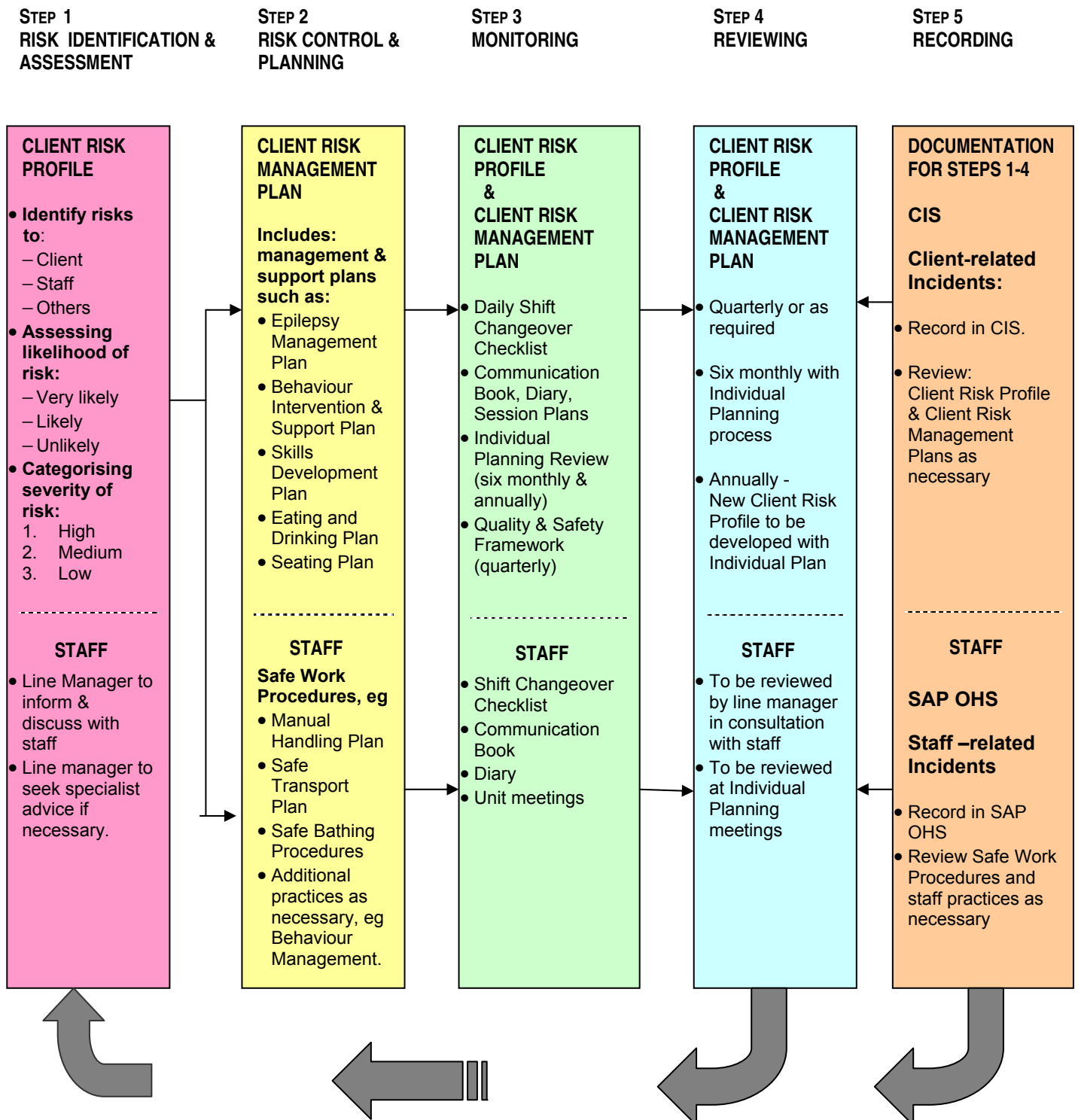
The Framework comprises five steps:

- **Step One** Risk identification and assessment
- **Step Two** Risk control and planning
- **Step Three** Monitoring
- **Step Four** Reviewing
- **Step Five** Recording

The Framework is supported by two key tools: the Client Risk Profile and the Client Risk Management Plan. These are undertaken during the individual planning process and form part of the client's Individual Plan. Once completed, other management and support plans are developed for each client according to their specific needs.

Occupational health and safety measures are key considerations within the Client Risk Framework. Staff safety is integral to the assessment and management of client risks and is formally incorporated in the Client Risk Profile, the Client Risk Management Plan, and through safe work practices.

Figure 1: Client risk framework



2.2 Step One: Risk identification and assessment

The risk assessment tool used in ADHC operated services is known as a Client Risk Profile. This is developed for every client and enables staff to specify risks that may affect the client, staff and others in the client's environment.

The Client Risk Profile has three components: Risk Assessment Tool; Checklist; and Sign-off Form as shown in the template at **Attachment 1**.

Completing a client risk profile

1. The Key Worker consults the client and people who know the client regarding possible risk factors for the client, staff or others. Wherever possible an initial Client Risk Profile should be done prior to entry to the service or home. Where this occurs, the Client Risk Profile should be reviewed within one week of placement to ensure all risks have been properly identified. The Key Worker ensures that specific risks for Aboriginal and Torres Strait Islander people, people from CALD backgrounds, children and young people, and aged clients are identified during the development of the Client Risk Profile. For Aboriginal and Torres Strait Islander clients, the significant person to consult could be an immediate family member, an extended family member, and/or a member of the community.
2. Identify risks by circling an option in the "Client Risk Profile - Checklist" in the "Risk Areas" column, e.g. "Behaviours, Assault-Physical". If a particular risk area is not listed, write under "Other".
3. Tick if the risk is to the client, staff or others, in the relevant columns.
4. Record the "Source of Information" about the risk. Sources might include: direct observation; advice from others such as parents, carers, Key Workers, or teachers; information from other agencies who know the client; and any available reports such as assessments or incident reports.
5. Assess the risk using the "Risk Indicator Chart" at the beginning of the Client Risk Profile to estimate the likelihood and severity of risk. Categorise risk as: 1. high (red), 2. medium (amber), or 3. low (green), and insert the appropriate colour dot/tabs in the Client Risk Profile. For example, a red dot/tab in the "Recurrent Medical Conditions" risk column, alerts staff to a Category 1 or high medical risk. A risk area without a coloured sticker indicates that there is no known risk in that area.
6. When considering the likelihood of risk, take into account the effectiveness of current controls and assess the remaining or residual risk. A client who has the potential to be at high risk may in fact be assessed as being at low risk because he or she has an effective Behaviour Support Plan in place. There may however be some residual risk that needs to be noted for that client, for example, when not closely supervised.
7. Seek specialist advice for assessment of clients who are regarded as at high risk in a particular area for example medical conditions, challenging behaviours, or a criminal justice background. Specific expertise is needed to identify risks to properly implement health support or behaviour management plans and to ensure that appropriate approval and consents are obtained (e.g. Restricted Practice Authorisation).

When a new client is placed with a service in an emergency situation or in a short term placement, and is not known to staff, it should be assumed the overall risk is high until a risk assessment is completed.

8. Management and support plans already developed for identified risks are noted in the "Further Information" column (e.g. Mobility Management Plan, Behaviour Support Plan, Eating Plan, etc). If the Client Risk Profile indicates that some plans are already in place or that further information is available regarding the client, staff are expected to locate and read this information at the beginning of a shift.
9. Client Risk Profiles must be signed off by the Key Worker and endorsed by the line manager when they are first created. The Key Worker and line manager must sign off every time a Client Risk Profile is reviewed. The last page of the Client Risk Profile form has a sign off section.

Risk assessment in different environments

Clients' daily activities may occur in a variety of different locations or situations. A risk assessment that has been conducted for a client's usual location or situation may not be appropriate for use by staff of other services, for example, day program areas. Risk assessments are based on a client's needs at a point in time and take into account issues such as the presenting environment, the staff to client ratio, relationships with fellow clients and other environmental factors. Line managers should consider whether new or different risks are likely to be present in other locations or situations, and ensure that risk assessments are undertaken for those identified.

Use of expert support

Where necessary additional professional advice should be sought to assist with the client risk management process. For example, a Registered Nurse or a medical practitioner may need to be consulted on the management of health risks. Consultation with behaviour support and intervention services through ADHC's Community Services Teams can provide specialist advice on managing challenging behaviour.

Staff employed in the ADHC Criminal Justice Program require a specific skill set. They need to have specialist knowledge of the client group and to understand risks related to criminal behaviour. They must have access to relevant, specialised training to manage these high risk clients, and an understanding of the Restricted Practice Authorisation procedures and applications.

2.3 Step Two: Risk control and planning

A Client Risk Management Plan as shown at **Attachment 2** is a formal document that identifies risk factors and how to prevent, manage and control them. Development and review of the Client Risk Management Plan is a fundamental component of the Individual Planning process.

Once risks have been identified and assessed, appropriate control measures must be put into place. These control measures will be developed and implemented by the Key Worker with the support of the line manager and in consultation with the client and their family, 'person responsible' (see Part Three – Definitions and Resources) in regard to medical and/or dental decisions, appointed guardian (if applicable), and relevant specialist staff.

Completing a Client Risk Management Plan

Appendix B provides a step by step guide for completion of a Client Risk Management Plan including a worked example.

1. Client Risk Management Plans should be developed for all clients to alert staff to the presence or absence of risks to the client, themselves or others.

2. For Aboriginal and Torres Strait Islander people and people from CALD backgrounds control measures must include consideration of any culturally significant matters.
3. Risks relating to vulnerable client groups particularly children, young people and aged clients should be identified to ensure appropriate management and support plans are developed.
4. Services providing placements for children and young people with a disability in out of home care should also refer to the Office for Children, the Children's Guardian *Guidelines for Designated Agencies for Developing a Behaviour Management Policy* where development of a risk management plan for a child or young person is indicated.
5. More detailed management and support plans may need to be developed as part of the Client Risk Management Plan in response to specific risks including additional risks arising from different environments and situations such as waiting in medical/dental facilities. Any additional management and support plans are to be included in the Client Risk Management Plan (**see Attachment 3 for examples**).
6. Clients who are away from their primary environment for extended periods of time e.g. day programs will need a client risk profile assessment to determine whether a Client Risk Management Plan is required for that particular location.
7. All staff will implement the Client Risk Management Plan when it has been endorsed by the line manager, the family, 'person responsible', appointed guardian, and any person who has been involved in providing advice in relation to culturally significant matters.
8. The Client Risk Profile and Client Risk Management Plan will be reviewed quarterly as a minimum, as part of the individual planning process, or more frequently if circumstances require it. If the revision results in a category change for assessed risk, the Client Risk Management Plan must be revised.
9. Copies of the Client Risk Profile, Client Risk Management Plan and associated management and support plans must be made available to all relevant staff and other services used by the client. The documents will enable staff to manage the identified risks in a consistent, coordinated way.

Risks affecting staff

Staff safety is an integral component of Client Risk Profiles and Client Risk Management Plans. It is essential that staff are consulted when risk management controls are being developed and implemented and that there is an emphasis on a team approach. Line managers must be competent to undertake risk management processes.

When a client risk is identified that may affect staff, suitable safe work procedures must be developed (see ADHC OHS Risk Management Policy, 2004). Safe work procedures are required when tasks are considered high risk and needing special instruction. For example, a red dot/tab in the "Manual Handling" risk column of the Client Risk Profile indicates a Category 1 or high risk to staff during lifting or transferring of a client.

Safe work procedures are developed by line managers and trained staff who will assist in assessing risk in consultation with the client and relevant staff. For example, a Client Manual Handling Plan describes each of the tasks to be performed, including involvement of the client, equipment to be used, how it will be used, and actions and movements of the staff. Examples of other safe work procedures are Safe Bathing Procedures, Safe Transport Plan and behaviour support in line with a client's Individual Plan.

2.4 Step Three: Monitoring

Monitoring is undertaken to ensure that the Client Risk Profile continues to be an up to date record of clients' needs and that the risks to the client, staff and others are being effectively managed. Monitoring is done through observation, documenting information, teamwork, staff communication and feedback from clients and family or appointed guardians. If necessary, changes are made to existing controls and management and support plans. Key monitoring functions include:

1. All staff are required to record (in daily reports, client notes or session plans) changes in the client's behaviour and any incidents that may have risk implications. Incidents are to be reported and managed in accordance with the Incident Management Policy, 2007.
2. Line managers should confirm with Key Workers that Client Risk Profiles and Client Risk Management Plans are current, with risk categories adjusted according to varying client needs. Any changes to either document should be recorded in the Urgent Matter Alert on the daily Shift Changeover Checklist.
3. All staff who are unfamiliar with clients must read and sign the Urgent Matter Alert in the Shift Changeover Checklist at the start of each shift. All staff should note any changes recorded in a client's Client Risk Profile and Client Risk Management Plan.
4. When safe work procedures such as a Manual Handling Plan or Behaviour Support Plan have been set up to protect clients and staff against risks, they should be monitored through unit meetings, staff supervision, induction, training and staff work plans.

At the organisational level in ADHC, the service monitoring function occurs through the Quality and Safety Framework. Under this framework, the development of Individual Plans, Client Risk Profiles and Client Risk Management Plans are viewed as key performance indicators and measured quarterly.

2.5 Step Four: Reviewing

Regular reviews of Client Risk Profiles and Client Risk Management Plans inform staff about the effectiveness of risk control measures and the currency of risk categories. Key review steps include:

1. All staff will participate in a review of the Client Risk Profile and Client Risk Management Plan every three months or more frequently if there are changes to the client's environment, or if new or changed risks emerge. The Client Risk Profile and Client Risk Management Plan must be signed by the Key Worker and line manager whenever these documents are reviewed.
2. A new Client Risk Profile is prepared every twelve months as part of the individual planning process and endorsed on the sign-off form by the line manager, the family or an appointed guardian, and any person who has been involved in providing advice in relation to culturally significant matters.
3. The Client Risk Profile Register (**Attachment 4**) records the development date of the original Client Risk Profile and subsequent revisions. The Key Worker is responsible for keeping the Client Risk Profile register up to date to ensure continuity within the individual planning review process.
4. If there is an incident involving a client, the Client Risk Profile and Client Risk Management Plan must immediately be reviewed to avoid a recurrence of the incident and to take steps to protect the client and others from future harm.

5. The client risk review process should also include regular reviews of safe work procedures by the line manager, in consultation with staff.

2.6 Step Five: Recording

Maintaining current and accurate client risk management documents ensures that there is an up to date record of client's needs and that the risks to the client, staff and others are being effectively managed and reviewed.

Client documentation

Appendices to this policy are:

Attachment 1	<i>Client Risk Profile</i>	Mandatory for ADHC operated services.
Attachment 2	<i>Client Risk Management Plan</i>	Mandatory for ADHC Operated Services.
Attachment 3	<i>Examples of types of Risk Management Plans and Support Plans</i>	For information.
Attachment 4	<i>Client Risk Profile Register</i>	Recommended for record-keeping.

Incident reporting

Even with all the correct risk management practices in place, there will still be incidents that are unforeseen or unavoidable. Staff in ADHC operated services are required to manage the incident in accordance with the **Incident Management Policy, 2007**.

Incidents involving clients must be recorded in the ADHC CIS (Client Information System). Incidents involving staff are recorded in SAP OHS (Systems Applications and Products – Occupational Health and Safety). The recording of an incident in the CIS and/or SAP OHS systems will prompt the line manager to take certain steps to deal with the incident. The line manager will review the current risk documentation for clients and staff following an incident. The Key Worker may be required to prepare a new Client Risk Profile, Client Risk Management Plan, or implement safe work procedures.

CIS and SAP OHS also assist ADHC to review data and to monitor any overall patterns or trends with individual clients, groups of clients, or particular activities or locations.

Part Three

3 Definitions and resources

3.1 Explanation of terms

Child or young person

A child in this policy refers to a person under the age of 16 years and a young person refers to a person who is aged 16 or 17 years (*Children and Young Persons Care and Protection Act*) NSW, 1998.

Client information system (CIS)

CIS is an integrated electronic system that provides ADHC with a single client database for all programs provided by ADHC operated services.

Client risk management plan

The Client Risk Management Plan (Attachment 2) summarises strategies to be implemented following risk assessment using the Client Risk Profile. The Client Risk Management Plan is a living document that is revised and updated regularly. A Client Risk Management Plan is part of the client's Individual Plan and contains management and support plans such as behaviour intervention, travel training, or skills development, linked to specific risks.

Client risk profile

The Client Risk Profile (Attachment 1) assesses and summarises risks in relation to a client, staff and others. It categorises risks into high, medium, low and provides quick reference material for individualised risk management strategies.

The Client Risk Profile integrates ADHC policies with occupational health and safety responsibilities. When implemented correctly, within the broader framework of client risk management, the Client Risk Profile provides an effective and uniform alert system that remains sensitive to the individual and changing needs of a client. Client Risk Profiles sit within the existing Individual Planning process.

Dignity of risk

Dignity of risk is the belief 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.

Duty of care

Duty of care is the obligation to take reasonable care to avoid injury to a person whom it can be reasonably foreseen might be injured by an act, or omission. It is the basis for civil (court) action. It would generally be the case that disability workers owe a duty of care to clients. If a duty of care is owed, staff will not be negligent unless the duty is breached by failing to take reasonable care. Staff are not negligent if the injury suffered is not foreseeable.

This document does not seek to define all circumstances in which a duty of care is owed as this is determined with regard to the facts of a particular case. Disability workers should seek advice from managers in individual cases.

Incident

An incident is an unexpected or unplanned action or event that injures or harms or has the potential to injure or adversely impact: clients, staff (including agency staff, contractors, volunteers and people on work experience), visitors, services, property, or the functioning or reputation of ADHC. See Incident Management Policy, updated 2007.

Individual plan

An Individual Plan describes a client's goals and the services or strategies that will be implemented to assist the client to meet those goals during a twelve-month period. The Individual Plan ensures that services are coordinated to achieve the client's goals. Individual Plans are reviewed every six months and modified according to a client's changing needs.

Key Worker

The Key Worker is an identified staff member within a service that is responsible for the development, coordination, implementation and documentation of individual and health care planning needs for clients who are unable to manage without assistance. This includes Individual Plans, Health Care Plans, Client Risk Profiles and Client Risk Management Plans.

Line manager

The line manager supervises the development, coordination, implementation and documentation of the client's Client Risk Profile, Client Risk Management Plan and Individual Plan,

In ADHC operated services and for the purposes of this policy, line manager refers to the person that a Key Worker reports to. ADHC examples are: Team Leader, Residential Unit Nursing Manager, or Day Program Manager.

Line managers may need to consult a Registered Nurse, or seek specialist medical or behaviour management expertise to assess and manage risks in relation to clients with complex planning needs.

Line managers and other managers have access to higher levels of managerial support, in keeping with the prevailing organisational and structural arrangements. ADHC examples include Regional Manager Accommodation and Respite, Nurse Manager Accommodation and Nursing Service, and Chief Executive Officer (Residences).

Management and support plans

Management Plans and Support Plans contain strategies to deal with specific aspects of a client's needs and goals, for example, Epilepsy Management Plan, Behaviour Intervention, Lifestyle and Environment Review, Eating and Drinking Plan, etc. There are many different types of management and support plans to choose from – for medical and health reasons, to protect clients and others, to enhance clients' living environments, or to improve their personal well-being (Attachment 3 refers).

Negligence

Negligence is not providing the standard of care required by a staff member's position, qualifications and experience, and resulting in harm to the person with a disability in a staff member's care. All staff employed by ADHC are obliged to follow the ADHC Code of Conduct and Ethics which sets out standards of practice and conduct. Failure to do so may result in disciplinary action by ADHC.

To establish negligence it must be shown that:

- a duty of care existed to take reasonable care;

- there has been a breach of duty, meaning the cause of harm could have been reasonably foreseen, and the person failed to take reasonable steps to prevent it;
- harm has been suffered;
- the harm was a breach of the duty of care, that is, there was a causal relationship between the breach and harm; and
- the harm suffered is not too remote a consequence of the breach of duty; that is, it was reasonably foreseeable.

Under the *Occupational Health and Safety Act, 2000*, an employer is required to provide a safe workplace for everyone including employees, clients, contractors and visitors.

Person Responsible

The person responsible has authority to consent only on behalf of a client who is incapable of providing consent, and only to **Minor and Major medical and dental treatment**.

The person responsible¹ is not necessarily the client's next of kin. There is a hierarchy of people who can be the person responsible. They are:

1. A guardian (including an enduring guardian) who has the function of consenting to medical and dental treatments.
2. If no-one as specified in Item 1, a spouse or de facto spouse or partner where there is a close, continuing relationship.
3. If no-one as specified in Item 1 and 2, a carer who provides or arranges for domestic support on a regular basis and is unpaid. (If the person is in residential care, then the carer before the person went into residential care.)
4. If no-one as specified in Item 1, 2 and 3, a close personal friend or close relative where there is both a close personal relationship, frequent personal contact and a personal interest in the client's welfare, on an unpaid basis.

The person next in the hierarchy may become the person responsible if:

- a person responsible declines in writing to exercise the function; or
- a medical practitioner or other qualified person certifies in writing that the person responsible is not capable of carrying out the function.

Quality & safety framework

ADHC's Quality & Safety Framework (QSF) is designed to support regions to monitor key areas of service delivery and management in all ADHC operated large residences, group homes, and respite centres. Comprising 26 key performance indicators, the framework monitors the development and review of client plans, levels of incident reporting, completion of health and safety inspections and levels of staff and service usage. Reporting data is collected on a quarterly basis using a range of tools and forms that are linked to ADHC policies.

SAP OHS

SAP OHS (Systems Applications and Products – Occupational Health and Safety) is an electronic information system which captures employee-related information reported in Incident Report forms. It allows managers to: (a) access reports about the work areas for which they are responsible; (b) document action plans to manage an incident; (c) complete risk assessments on-line; and (d) be reminded about escalation of matters that have not been actioned in specific timeframes.

¹ Guardianship Tribunal <http://www.gt.nsw.gov.au>

Safe work procedures

Safe work procedures are implemented in situations where staff may be at risk either from the type of physical work required for the position or due to a client's condition or behaviour. Examples of safe work procedures are Manual Handling Plans or behaviour support in line with a client's Individual Plan. Safe work procedures may also include individual practices required in a particular Client Risk Management Plan.

Shift changeover checklist

In ADHC operated services the Shift Changeover Checklist is a component of the Shift Changeover Policy and communicates essential information concerning clients to staff on different shifts. It is completed for every shift and is read and signed by each staff member. The Shift Changeover Checklist is the document where updates in the Client Risk Profile are identified in the Urgent Matter Alert section. Other service providers may use daily reports, session plans, diary, or communication book, in the same way as the ADHC Shift Changeover Checklist.

3.2 Additional resources

Policies and Legislation

- *The Community Relations Commission and the Principles of Multiculturalism Act*, 2000
- *Guardianship Act*, 1987
- *Guidelines for Designated Agencies for Developing a Behaviour Management Policy*, Office for Children, the Children's Guardian, 2004
- Guardianship Tribunal Position Statement and Procedures – "Behaviour Intervention and Support in applications relating to a person with an intellectual disability", 2004
- *Health Records and Information Privacy Act*, 2002
- *Privacy and Personal Information Protection Act*, 1998
- WorkCover NSW, The Community Services Safety Pack, 2004
- WorkCover NSW, Risk Assessment - Code of Practice, 2001
- WorkCover NSW, Risk Management at Work - Guide 2001
- WorkCover NSW Assistance Service - Telephone **131050**; www.workcover.nsw.gov.au

ADHC Policies and Procedures

Child Protection Policy and Reporting Procedures for ADHC and ADHC Funded Services, 2004

Code of Conduct and Ethics, 2004

Consent for Specific Behaviour Intervention, Exchange of Consumer Information, and for Medical or Dental Treatment, 2006

Consulting effectively with Aboriginal people and communities, 2004

Development of Safe Work Procedures, 2006

Dignity of Risk and Duty of Care Policy, updated June 2006

"Duty of Care and Client Risks", ADHC Circular No 2005/PM/0017, dated June 2005

ADHC CALD Strategy 2005 – 2008

Interagency Protocol for Responding to Abuse of Older People, 2007

Maintaining Family Relationships Policy, 1996

Manual Handling Policy, 2004

Medication Policy and Procedures, 2008

Occupational Health and Safety Consultation Policy, 2004

Operational Procedures Shift Changeover and Client Checks, 2002

Our Commitment to Residents, 2006

Participation and Integration Policy, 1996

Allocation of Places in Supported Accommodation Policy and Procedures, 2009

“Privacy - Providing Access to Personal Information (including Health Information) held by ADHC”, ADHC Circular No.2005/PM/0019, dated 24 October 2005

Procedures for Supported Accommodation, Respite and Community Access - Manual Handling Risk Assessments, 2005

Behaviour Support Policy and Practice Manual, 2009

Quality and Safety Framework

Responding to Risk of Harm to Children and Young People, 2007

Two Ways Together: NSW Aboriginal Affairs Plan, 2003

Attachment 1: Client risk profile

The Client Risk Profile assesses and summarises risks in relation to clients, staff & others.

RISK ASSESSMENT TOOL

NAME OF CLIENT:	UNIT:
DATE DEVELOPED:	COST CENTRE:

RISK INDICATOR CHART				
		LIKELIHOOD		
		Very Likely Known to regularly or very likely occur, given existing circumstances or environment	Likely Known to often or fairly likely occur given existing circumstances or environment	Unlikely Some potential to occur based on previous experience or existing circumstances or environment
<ul style="list-style-type: none"> • Category 1 - High Risk (red) • Category 2 – Medium Risk (amber) • Category 3 – Low Risk (green) 				
SEVERITY	High (red) Life threatening or cause serious injury	Category 1 (red)	Category 1 (red)	Category 2 (amber)
	Medium (amber) Could result in temporary incapacity	Category 1 (red)	Category 2 (amber)	Category 3 (green)
	Low (green) Could result in inconvenience or first aid	Category 2 (amber)	Category 3 (green)	Category 3 (green)

HOW TO COMPLETE THE CLIENT RISK PROFILE

Step	Tasks	✓
1.	The designated Key Worker consults the client and people who know the client regarding possible risk factors for the client, staff and others.	
2.	Refer to the Client Risk Profile - checklist (see next page) and identify risks by circling the relevant option in the "Risk Areas" column, e.g. 2.e. Accidental Movement - falling, bumping.	
3.	Place a ✓ in the relevant column as to whether the risk is to client, staff or others.	
4.	In the "Source of Information" column, write down who reported the risk, or how it was identified. Written information should be retained on the client's file.	
5.	Use "Risk Indicator Chart" on left hand side of this page to assess and select the risk category – High, Medium or Low. Place the relevant colour dot/tab (red, amber, or green) in the "Risk Category" column of the Client Risk Profile.	
6.	Take into account current controls and management plans to assess remaining (residual) risk.	
7.	For clients who may possibly be "high risk", consider obtaining specialist health, behaviour management, or other advice. New clients on short term or emergency placements should be assumed to be high risk until a risk assessment is completed.	
8.	Indicate the client's current or proposed management and support plans (or other measures) in the last column of the Client Risk Profile, e.g. Eating & Drinking Plan.	
9.	On completion of a new Client Risk Profile and each time it is reviewed, the Key Worker and line manager are to sign and date the last page.	

Client risk profile - checklist

NAME OF CLIENT:

This checklist is intended as a guide only and allows the identification of “other” risks

RISK TO →	→	CLIENT	STAFF	OTHERS	INFORMATION Eg. What management or support plan is in place?
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RISK AREAS	SOURCE OF INFORMATION (written if possible)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	
1. Behaviours a. Self harm/suicide risk b. Assault – physical c. Assault - verbal d. Sexual; predatory								
2. Accidental Movement a. Startle reflex b. Panic behaviour c. Grabbing, holding, leaning d. Sudden body movements e. Falling, bumping f. Tripping, running								
3. Unsafe Action a. Gambling b. Drugs, medications c. Unsafe sex d. Alcohol e. Smoking f. Criminal activity g. Wander, abscond								
4. Hazard Exposure a. Electricity b. Fire lighting c. Sharps d. Flammables, poisons e. Water hazard, bathing f. Sun exposure								

Client Risk Policy and Procedures (March 2008, amended September 2010, April 2012)

RISK AREAS	SOURCE OF INFORMATION (written if possible)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	
g. Slamming doors								
5. Recurrent Medical Conditions a. Dysphagia - choking on food b. Choking - from positioning c. Overnight feeds required d. Fractures, cuts e. Bruising, abrasions f. Seizures g. Respiratory conditions h. Allergies i. Skin conditions j. Endocrine conditions k. Diabetes l. Sleep disorders m. Incontinence n. Mental illness; hallucinations								
6. Resistance to Support during Activities of Daily Living. a. Feeding b. Toileting c. Grooming								
7. Manual Handling a. Transfers b. Mobility c. Vehicle access d. Moving in bed e. Personal care tasks								
8. Infectious Diseases a. Chronic b. Recurrent								
9. Environmental & Social a. Traffic, roads b. Travel, riding in vehicle c. Travel, public transport d. Stranger danger e. Other clients f. Family, carers g. Cultural, linguistic, religious								

Client Risk Policy and Procedures (March 2008, amended September 2010, April 2012)

RISK AREAS	SOURCE OF INFORMATION (written if possible)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	Risk ✓	Risk Category (Red, Amber, Green)	
10. Other e.g. waiting in medical/dental facilities								

Client risk profile (CRP) – sign off form

- The Key Worker designated to develop and review the Client Risk Profile must sign and date this Sign-off Form.
- The line manager is required to endorse this form.
- Note that changes to the Client Risk Profile will require review of the Client Risk Management Plan.

NAME OF CLIENT:

NEW CRP DEVELOPED	1ST REVIEW OF CRP	2ND REVIEW OF CRP	3RD REVIEW OF CRP
Name of Key Worker	Name of Key Worker	Name of Key Worker	Name of Key Worker
Signature	Signature	Signature	Signature
Date:	Date:	Date:	Date:
Endorsed & signed by line manager			
Name of line manager	Name of line manager	Name of line manager	Name of line manager
Signature	Signature	Signature	Signature
Date	Date	Date	Date
Comments	Comments	Comments	Comments

Attachment 2: Client risk management plan

- The Client Risk Management Plan describes actions required to manage risks identified in the CRP and to document management and support plans.
- The client and staff who work with the client must be consulted; others should be consulted, as appropriate. All steps must be completed.

Step	Tasks	✓
1	The designated Key Worker consults the client and others who know the client in developing the Client Risk Management Plan. A new entry is made for every identified risk for the client, staff and others.	
2	Place a colour dot/tab (red, amber, green) in the "Risk Category" column to indicate the level of risk - see Client Risk Profile - Checklist.	
3	Indicate the "Risk Area" recorded in the Client Risk Profile.	
4	Indicate the "Conditions" (Indicators/Triggers) that might result in the client's risk behaviour, as shown in the example below, with particular attention to cultural, linguistic or religious indicators.	
5	Indicate how client risk can be eliminated or minimised in the "Prevention" column.	
6	Decide on action to be taken and note in the Management and Support Plans column.	
7	Enter dates actions were or are to be implemented. Note date for future review.	

Example of a Client Risk Management Plan

NAME OF CLIENT: Jo Smith

Risk Category	Risk Area	Conditions (Indicators/Triggers)	Means of Prevention	Management/Support Plans	Dates: - Implemented - Review Req'd
Amber	<u>4.g Slamming doors</u> Jo may slam or fiddle with doors, causing others to be injured or locked in/out.	Jo may do this if he is bored or is worried about his mother being late or not visiting.	Secure doors so Joe cannot move them. Let staff know Jo may slam or lock doors. Arrange for Jo to call his Mum the day before she is due. Consider need for more interesting activities.	Behaviour Assessment to train Jo not to slam/fiddle with doors. Lifestyle & Environment Review to provide activities so Jo is less bored.	Implemented 19 April Review due: 19 July
Red	<u>2.e Falling</u> Jo may fall out of his wheelchair. Staff may be injured picking him up.	Wheelchair straps not secured correctly. Staff attempting to move Jo without assistance.	Ensure Jo's wheelchair straps are secured and positioned as per seating plan. Ask Therapist to review Jo's positioning, wheelchair straps. Instruct staff not to move Jo on their own.	Ensure Seating Plan is recorded in Jo's Individual Plan and train new staff how to secure Jo in his wheelchair. Staff to use Safe Work Procedures, eg Manual Handling Plan.	Implemented 7 May Review due: by 7 August

Client risk management plan

NAME OF CLIENT:

Risk Category	Risk Area	Conditions (Indicators/Triggers)	Means of Prevention	Management/Support Plans	Dates: - Implemented - Review Req'd

Client risk management plan – sign off form

- The Client Risk Management Plan describes the actions required to manage risks identified in the CRP and to document management/support plans
- The line manager and Key Worker are to review, sign and date this form on a quarterly basis, or as required.
- A family member, guardian or cultural adviser is to be consulted when the Client Risk Management Plan is initially developed or reviewed annually.
- The Client Risk Management Plan is to be reviewed following changes to the Client Risk Profile.

NAME OF CLIENT:

Client Risk Management Plan developed	1st review of Client Risk Management Plan	2nd review of Client Risk Management Plan	3rd review of Client Risk Management Plan
Name of Key Worker	Name of Key Worker	Name of Key Worker	Name of Key Worker
Signature & date	Signature & date	Signature & date	Signature & date
Endorsed & signed by line manager and family/guardian or cultural adviser			
Name of line manager	Name of line manager	Name of line manager	Name of line manager
Signature & date	Signature & date	Signature & date	Signature & date
Name of family member, guardian or cultural adviser	Not required quarterly	Not required quarterly	Not required quarterly
Signature & date			
Comments:	Comments:	Comments:	Comments:

Attachment 3: Client risk management plan & support plans - examples

Risk Area or Behaviour	Risk to: Client; Staff; Others	Type of Assessment Necessary to Develop Plans <i>EXAMPLES ONLY – NOT LIMITED TO THESE</i>	Type of Risk Management or Support Plans <i>EXAMPLES ONLY – NOT LIMITED TO THESE</i>
Seizures	Client	<ul style="list-style-type: none"> • Epilepsy charts • Neurology reports • Incident reports 	<ul style="list-style-type: none"> • Epilepsy Management Plan
Aggression toward others Property damage	Client, other clients, staff, others (family, community)	<ul style="list-style-type: none"> • Behaviour assessment • Communication assessment • Skills assessment • Lifestyle and Environment Review 	<ul style="list-style-type: none"> • Behaviour Support and Intervention Plan, incorporating: <ul style="list-style-type: none"> – Lifestyle and Environment Plan – Incident Prevention & Response Plan • Safe Work Procedures
Dysphagia /choking	Client	<ul style="list-style-type: none"> • Nutrition and Swallowing checklist • Seating assessment • Speech pathology assessment 	<ul style="list-style-type: none"> • Eating and Drinking Plan • Seating and Positioning Plan
Diabetes	Client	<ul style="list-style-type: none"> • Medical review; Specialist review • Nutritionist or dietician assessment 	<ul style="list-style-type: none"> • Diabetic Management Plan
Child or Young Person - eating inedible objects	Client	<ul style="list-style-type: none"> • Behaviour assessment • Assessment of physical environment 	<ul style="list-style-type: none"> • Behaviour Support and Intervention Plan • Incident Prevention and Response Plan
Drug and alcohol	Client	<ul style="list-style-type: none"> • Behaviour assessment • Communication assessment • Lifestyle and Environment Review • Skills assessment • Medical review 	<ul style="list-style-type: none"> • Behaviour Support and Intervention Plan incorporating: <ul style="list-style-type: none"> – Lifestyle and Environment Plan – Incident Prevention & Response Plan – Skills Development Plan • Safe Work Procedures • Health Care Plan
Refusal to wear seat belt when travelling in vehicles Poor road skills Absconding	Client and others	<ul style="list-style-type: none"> • Behaviour assessment • Skills assessment • Home safety or level of assistance • Incident reports 	<ul style="list-style-type: none"> • Behaviour Support and Intervention Plan incorporating: <ul style="list-style-type: none"> – Travel Training Plan – Skills Development Plan • Safe Work Procedures, e.g. Transport Management Plan • Supervision Plan
Tripping/ falling	Client, other clients, staff	<ul style="list-style-type: none"> • Occupational therapy assessment • Manual handling risk assessment • Incident reports 	<ul style="list-style-type: none"> • Mobility Management plan • Manual Handling • Safe Work Procedures
Manual handling	Client and staff	<ul style="list-style-type: none"> • Occupational therapy assessment • Manual handling risk assessment 	<ul style="list-style-type: none"> • Manual Handling plan • Safe Work Procedures
Criminal activity	Client, other clients, staff, others (family, community)	<ul style="list-style-type: none"> • Behaviour assessment • Communication assessment • Skills assessment • Lifestyle and Environment Review • Assessment of risk of offending or re-offending 	<ul style="list-style-type: none"> • Behaviour Support and Intervention Plan incorporating: <ul style="list-style-type: none"> – Lifestyle and Environment Plan – Incident Prevention and Response Plan – Skills Development Plan • Safe Work Procedures

Attachment 4: Client risk profile register

- Note client name and date of initial development of Client Risk Profiles (CRP).
- Review quarterly, along with other reviews. E.g. Epilepsy Management Plan, Health Care Plan, or more often as required (e.g. following an incident) – date & sign.
- Date and sign when new Client Risk Profiles are done annually, together with Client Risk Management Plans and Individual Plans.

NAME OF CLIENT:

Review No	Initial CRP developed &	1st Quarterly Review date & sign	2nd Quarterly Review date & sign	3rd Quarterly Review date & sign	New Client Risk Profile (Annual)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					