Risk Management Policy

For Soaring Sparrows Pty Ltd

Document Control

- **Policy Title:** Risk Management Policy
- **Date Policy Developed:** 16/09/2025
- **Review Date:** 16/09/2027
- **Version:** 1.3
- **Policy Owner:** Director

Purpose

The purpose of this policy is to provide a structured approach to identifying, assessing, and managing risks that may affect participants, employees, contractors, and Soaring Sparrows Pty Ltd as an organisation. This includes risks associated with staff working alone, service delivery in community settings, and compliance with NDIS Practice Standards.

Scope

This policy applies to:

- All employees, contractors, and volunteers of Soaring Sparrows Pty Ltd.
- All organisational operations, including participant services, administration, and community-based work.

Definitions

- **Risk:** The possibility that an event, activity, or situation may occur that could have a negative impact on participants, employees, contractors, the organisation, or service delivery.

- **Risk Management:** A structured process of identifying, assessing, controlling, and monitoring risks to minimise harm and support safe, effective service delivery.

- **Risk Assessment:** The process of evaluating the likelihood and potential impact of a risk, using a tool such as the Risk Matrix.

- **Risk Control / Mitigation:** Actions or strategies put in place to reduce the likelihood or consequences of a risk, such as safety procedures, technology tools, or staff training.

- **Risk Register:** A formal record of identified risks, their assessment, and the actions taken to control or monitor them. Soaring Sparrows Pty Ltd maintains both a **Participant Risk Register** and an **Organisational Risk Register**.

- **Participant Risk:** Any risk that could impact the health, safety, wellbeing, or service outcomes of an individual participant (e.g., behavioural, environmental, health-related risks).

- **Organisational Risk:** Any risk that could impact Soaring Sparrows Pty Ltd as a business or service provider (e.g., financial, legal, compliance, reputational, or workforce-related risks).

- **Lone Worker:** An employee, contractor, or volunteer who performs duties without direct supervision or immediate support from other staff, often in the community.

- **Life360 App:** A GPS-based safety tool used by Soaring Sparrows Pty Ltd to monitor the safety and location of staff working alone in the community.

- **Shared Calendar:** A digital calendar maintained by staff to record work schedules and locations, used as part of risk mitigation for lone working.

- **Risk Matrix:** A tool used to determine the level of risk by assessing the likelihood of an event occurring and the severity of its potential consequences.

- **Mitigation Strategy:** Specific measures or controls designed to reduce the likelihood or severity of a risk.

Policy Statement

Soaring Sparrows Pty Ltd is committed to ensuring that all risks are identified, assessed, monitored, and controlled in a systematic and proactive manner. Our approach to risk management aims to:

- Safeguard the health, safety, and wellbeing of participants, employees, and contractors.

- Ensure continuity of service delivery.

- Meet legal, regulatory, and NDIS Quality and Safeguards Commission obligations.

- Foster a culture of awareness and responsibility for risk management across the organisation.

- Mitigate risk during emergencies and disasters

Responsibilities

Director/Management:

- Oversee implementation of the Risk Management Policy.

- Ensure risk assessments are carried out regularly.

- Approve and monitor mitigation strategies (including technology such as Life360 and shared calendars).

- Ensure staff training in risk management procedures.

- Maintain and review the **Risk Registers**.

Staff/Contractors:

- Identify and report potential risks in the course of their duties.

- Follow all risk management procedures, including lone worker safety requirements.

- Use approved risk mitigation tools (Life360 app, shared calendar).

- Record identified risks in the **Risk Registers** or report them for entry.

Participants:

- Are encouraged to raise any risks or concerns they identify in their interactions with services.

Procedures (see also Appendix B)

1. Risk Identification

- Risks are identified during staff induction, planning, and service delivery.

- Staff are responsible for reporting emerging risks through Splose or directly to management.

- All identified risks must be entered into the **Risk Registers**.

2. Risk Assessment

- Risks are assessed using the Risk Matrix in Appendix A (likelihood × severity).

- High participant risks are discussed with Director and at staff meetings

- High organisational risks are escalated immediately to managment

3. Risk Control / Mitigation

- **For employees working alone**:

  - Staff must keep their **Life360 app active** on their phone during work hours.

  - Staff must maintain an updated **shared work calendar** that includes their schedule and location.

  - Check-ins with management are required at the beginning and end of shifts (or as directed).

- **For participants**:

  - Risk assessments are conducted at intake and reviewed regularly.

  - Behaviour support, health, or environmental risks are documented in the participant's file.

  - Participant related risks are entered into the Participant Risk Register so that the organisation has a snapshot of all the participant risks they are currently mitigating.

- **For organisational operations**:

  - Systems are reviewed to ensure compliance with legislative and NDIS requirements.

  - Organisational related risks are entered into the Organisation Risk Register so that the organisation has a snapshot of all the participant risks they are currently mitigating.

4. Monitoring and Review

- Risks are monitored through incident reports, complaints, and the **Risk Registers**.

- The Director reviews risk management practices at least annually, or sooner if required.

- The **Risk Registers** must be updated promptly and reviewed quarterly.

Related Legislation

- NDIS Act 2013 (Cth)

- NDIS Practice Standards

- Work Health and Safety Act 2012 (SA)

- Privacy Act 1988 (Cth)

Other Relevant Documents

- Incident Management Policy

- Human Rights and Freedom from Abuse Policy

- Restrictive Practices and Behaviour Support Policy

- Privacy and Confidentiality Policy

- Risk Registers

- Care and Support Plan

- Action Plan

- Risk Assessment

- Incident Report

- Emergency Management Plan

Review

This policy will be reviewed every two years, or earlier if:

- Legislative or regulatory changes occur.

- Feedback indicates improvements are required.

- An incident highlights a gap in risk management.

Approval

Approved By: Kathryn Soar
Position: Managing Director, Soaring Sparrows Pty Ltd
Date: 24/09/2025

Severity →

	Negligible	Minor	Moderate	Significant	Severe
Very Likely	Low Med	Medium	Med Hi	High	High
Likely	Low	Low Med	Medium	Med Hi	High
Possible	Low	Low Med	Medium	Med Hi	Med Hi
Unlikely	Low	Low Med	Low Med	Medium	Med Hi
Very Unlikely	Low	Low	Low Med	Medium	Medium

↑ **Likelihood**

- **Low / Low Med risk**: Manage through routine procedures.

- **Medium risk**: Actively manage and monitor.

- **Med High risk**: Immediate action required and monitored by management.

- **High risk**: Escalate to Director immediately; may require external reporting.

Risk Management Procedure

For Soaring Sparrows Pty Ltd

Purpose

This guide explains how risks are identified, reported, and recorded for both participants and the organisation.

Participant Risks

- Participants identify risks in their Action Plan with support from their Support Coordinator.
- Support Coordinators complete a Risk Awareness Assessment in Splose.
- The completed form is automatically emailed to the Office Manager.
- The Office Manager records the following in the Participant Risk Register (Participant Name, Risk ID, Date of Risk Assessment, Risk Category, Risk Rating, Date of Review)
- Risks are reviewed when a new NDIS plan is received or participant circumstances change.

Organisational Risks

- Staff identify and report risks using the Organisational Risk Form (Microsoft Forms).
- Completed forms are automatically emailed to the Director and Office Manager.
- Data automatically populates the Organisational Risk Register.
- The Director and/or Office Manager review risks regularly (at least quarterly).

Responsibilities

- **Participants**: Actively identify risks in their own action plans.
- **Support Coordinators**: Record participant risks in Splose forms and support the participant through the process.
- **Office Manager**: Enter participant risks into the register and review organisational risks.
- **Director**: Oversee organisational risks and mitigation actions.
- **All Staff**: Identify and report risks promptly using the correct system.

Visual Workflow

Participant Risks

Splose → Office Manager → Participant Risk Register → Review

Organisational Risks

Microsoft Forms → Director/Office Manager → Organisational Risk Register → Review