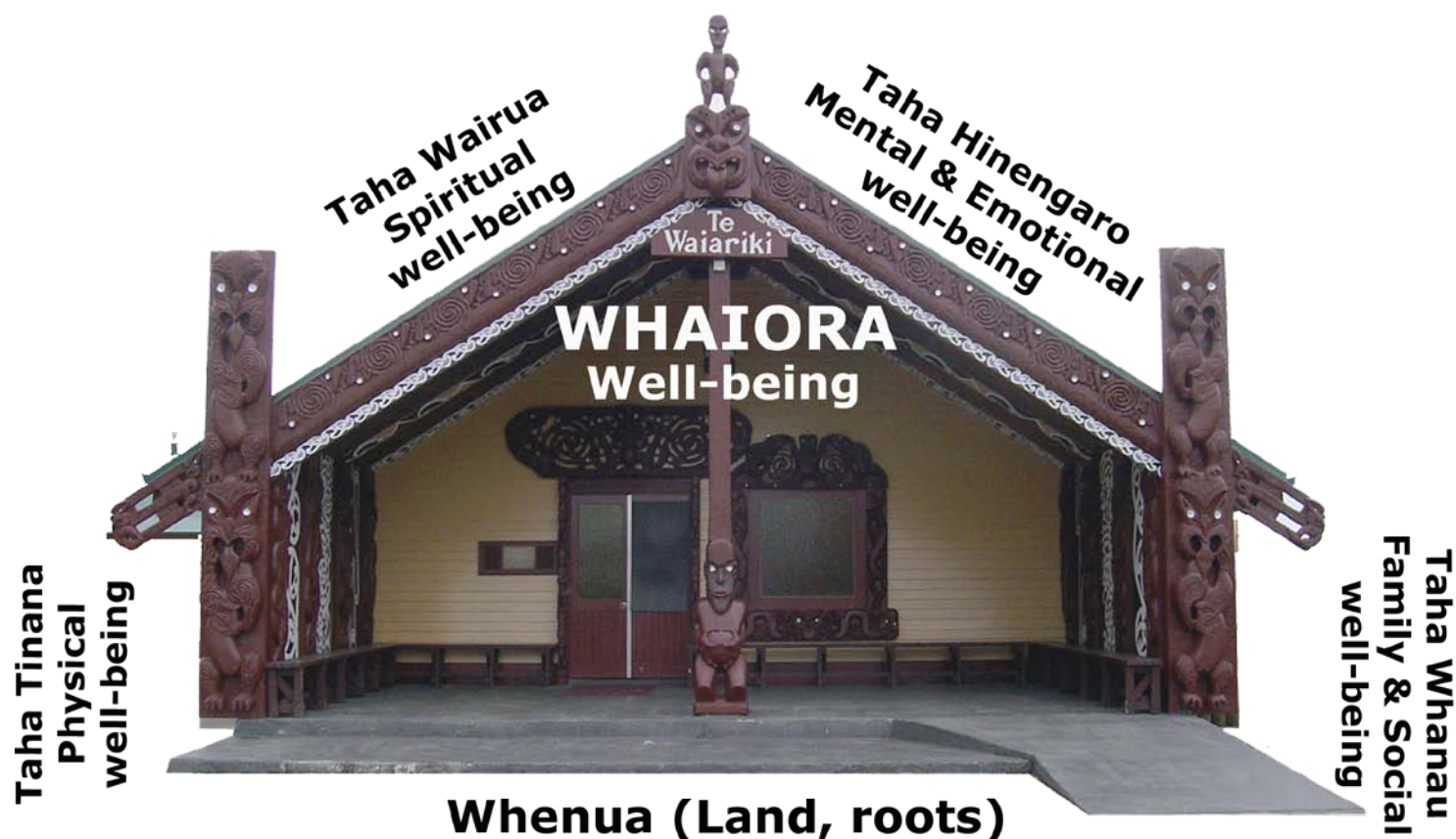


Strategic Plan

2013-2016



Whaiora Home Care Services Business Risk Management Plan

RISK MANAGEMENT OF SERVICES

RISK LOSS CONTRACT R1, R2, R3, R11, R15	RISK LOSS COMPUTER FILES R11, R15	FIRE RISK R5, R8, R9, R11	RISK THEFTS R13, R14, R15
LOSS ESSENTIAL SERVICES R2, R6, R7, R17, R18	RISK SERIOUS CLIENT COMPLAINT R2, R4, R6, R7, R11, R13 R14, R16	HEALTH & SAFETY RISKS R5, R8, R9, R10, R17	INSUFFICIENT CLIENTS R2, R8, R11, R18
LOSS MANAGER R20, R21	RISK PERSONAL GRIEVANCE R1, R4, R6, R7, R17	TRAINING R2, R9, R18, R19, R20	INSUFFICIENT STAFF R4, R6, R10, R11
TIMESHEET ERRORS R1, R3, R4, R6, R7, R11, R15	INJURY RISK/OSH INVEST R5, R8, R9	EMERGENCY PROCEDURES R2, R5, R8, R9	NATURAL DISASTER R1, R2, R5, R7, R17

CODE and RISK ACTIVITY

R1	Non-attendance by clients or support workers	R8	Support workers failing to report changing in the client's health or environment	R15	Falsification of documentation, breach of confidentiality, no client signature
R2	Requests for withdrawal by clients or support workers – Hazard Control	R9	Health & Safety Risks – Hazards not reported (e.g. vacuum frayed cord)	R16	Use of client's telephone for private use texting while at work
R3	Timesheet errors, not filled in or signed by client	R10	Clients not providing cleaning materials equipment – challenging tasks	R17	Abandonment of duty – Misconduct poor performance
R4	Support workers working outside Client Service Plan & on requests from client or family	R11	Concerns & complaints, Compliments, Praise	R18	Relatives interfering with support worker or employer instructions
R5	Incidents and Accidents – not reported	R12	Abuse – mental, physical, emotional	R19	Support workers taking on coordinator authority and decision making
R6	Support workers' not keeping to rostered times	R13	Theft – including borrowing money from client and/or taking client's possessions	R20	Other exceptions relating to staff member – Good relationships
R7	Support workers' not completing their work	R14	Fraud	R21	Other exceptions relating to the service

Whaiora Home Care Services Business Risk Management Plan

RISK MANAGEMENT MATRIX

LIKELIHOOD OF OCCURRENCE

C1 Level of Risk	ALMOST CERTAIN	LIKELY	MODERATE	UNLIKELY	RARE	ACTION TAKEN
EXTREME: R8, R9, R10			R11, R12		R10	
SIGNIFICANT: R1, R3, R5	R1	R3				
MODERATE: R2, R4, R6		R2	R4, R6			
MINIMAL: R5, R6, R7, R8		R8	R9	R5	R7	
INSIGNIFICANT:						

EXTREME: R8, R9, R10			R11, R12		R10	
SIGNIFICANT: R1, R3, R8	R1	R3	R8			
MODERATE: R2, R4, R5, R6		R2	R4, R5, R6	R7		
MINIMAL: R5, R6, R9				R9		
INSIGNIFICANT:						

C2 Level of Risk	ALMOST CERTAIN	LIKELY	MODERATE	UNLIKELY	RARE	ACTION TAKEN
EXTREME: R8, R9, R10			R10, R11		R9	
SIGNIFICANT: R1, R3	R1	R3				
MODERATE: R2, R4		R2	R4, R8			
MINIMAL: R5, R6, R7		R7	R5		R6	
INSIGNIFICANT:						
C3 Level of Risk	ALMOST CERTAIN	LIKELY	MODERATE	UNLIKELY	RARE	ACTION TAKEN

High
Critical
Moderate
Low
Negligible

1. RISK LOSS CONTRACT: R1, R2, R3, R11, R15

Loss of Funding / Contractual Requirements/Obligations

Preventative Actions

RISK: NOT MAINTAINING TERMS OF CONTRACT (HCC Standard NZS 8158:2012 – focus on the client) Aug 20/08/12

1. A contractual requirement (for DHB-funded, HCSS providers), to conform to the revised Home & Community Support Sector Standard (HCSS), 2012 – WHCS to ensure compliant to the new Standard (WIP 7/9/12)
2. Certification now mandatory - benefits as opposed to challenges, Provider impacts, resources – qualified and experienced staff
3. Quality and risk management systems are being updated to ensure adequate for the contract; (may need further development to meet requirements of the revised standard). Compliance with other legislation which is complementary to meeting the requirements of the revised standard e.g. Health & Safety, Employment and Privacy legislation
4. Effective and efficient running of facility – Keeping client's at home in a safe and healthy environment
5. A national process for Complaints Management [Reviewed: Aug 11/12]: and consumer satisfaction. New user friendly format developed on Care System (2012). Includes form to follow correct procedures.
6. Training of staff: Privacy & dignity / client rights / October 13 all staff & at induction - new Induction prompting available live on the Care System (WHCS)
7. Recommended transition process for currently certified Providers to the HCSS Standards & Certificate expires before 1 September 2013 – best option is to re-certify to the Standard

2. RISK LOSS COMPUTER FILES: R11, R15

Loss Computer Files

Preventative Actions

- Making sure that the back-up of server is done - Frequency daily, to avoid losing a whole week's work
- The server is 'housed' in a locked office and has details to refresh the Server, should there be interruptions that may slow down the networks to the current Care System etc.,
- The Server pass word is protected, and changed at frequent intervals - accessed by designated staff member/s
- Anti-virus protection is secure and kept current
- WHCS has a dedicated IT consultant [Mony Sath] - While away, he has arranged for an automatic online back-up to be done via the web browser
- The back-up files are done on a separate external hard drive and kept off the premises – usually done manually as well and occurs in four different places, so that there is no likelihood of losing DATA
- Policy & Procedures and all other client and staff files are also kept on the external, back-up hard drive!

3. FIRE RISK: R5, R8, R9, R11

Fire Risk

Preventative Actions

- Fire Wardens receive regular updates in training once annually
- An overview of Fire warden training is available to all employees at induction – next due 10 Nov 2012
- Annual trial evacuations held when fire control inspectors are on site – to record and sign off
- Regular Fire Equipment Checks by Fire watch Inspectors who call annually
- Smoke detectors in kitchen and other areas of the building i.e., hallway, boardroom
- Fire extinguishers also placed in strategic areas of the building
- Clear evacuation Maps posted and in the manual/s
- Hazard ID includes looking for faulty wiring at office
- Designated smoking area - under the tree OUTSIDE or outside the front gate
- Assembly area clearly identified at the front lawn area near the exit to the main road – emergency gathering

4. RISK THEFTS: R13, R14, R15

Risk Theft Home & Client property, belongings, and Finances (1.8) HCCS

Preventative Actions

From CLIENTS HOMES:

- Credentialing new staff – Police Checks when recruited done online for quick response vetting
- Signed consent/declaration (by client), clear policies about entering the home of clients/consumers
- Client & Employee Handbooks have policy and procedures for the protection of consumers Money and property during service delivery - NOT to accept gifts from clients
- Client keys to trusted support workers only – Key Policy (voluntary with consent by the client/family), listed on SDP

From the OFFICE:

- Lock up securely at the end of day – security alarmed with three staff members logged- in with mobile numbers
- Gates are always locked
- Only 3 key staff members - key carriers
- Good insurance – Catholic Diocese of Auckland
- Locked offices within locked building – alarmed, with Wifi/3G internet Home Monitoring Cameras (16 installed)2010/11

5. LOSS ESSENTIAL SERVICES: R2, R6, R7, R17, R18

Risk Loss of Essential Services

Preventative Actions

Linkage with Natural Disaster

Power:

- Staff training in this event [Feb 2011/12]
- Civil Defense Kit re-stocked and checked at quarterly intervals or as necessary
- Use of Notebooks, I pads (Wifi/3G), mobile phones
- Small office – able staff, can stay to man phones
- Cut lunches usually available – fridge well stocked
- Supplies of water – water filter system
- Use of Gas Heaters [& electric heaters available if gas supply interrupted]

Telephones:

- Use of mobile phones – 0800 Number listed
- Car chargers to keep batteries charged
- Ability to divert calls to a dedicated cell

6. RISK SERIOUS CLIENT COMPLAINT (1.9) HCSS R2, R4, R6, R7, R11, R13, R14, R16

Risk Serious Client Complaint – Right 10 The client's right to complain is clearly understood, respected and upheld

Preventative Actions

<p><i>An easily accessed, responsive and fair complaints process – available reporting and recorded as received</i></p> <p>The complaints process is fair and appropriate – including involvement of advocate services as required</p> <p>Immediate follow up of verbal and written complaints – The WHCS BOT member/s has the portfolio to handle and investigate, feedback etc.,</p> <p><i>Good documentation – A Complaints Outcomes analysis is available - to include all complaints, dates and actions taken</i></p>	<p><i>Complaint from Family able to be recorded on-line for immediate documentation, investigation and follow-up</i></p> <p>Family share in the Support Plan of the client</p> <p>Persons that family can use as point of contact are: Mere, Teako & Rebecca or through their support worker – BOT Member/s</p> <p><i>WHCS encourages the client/consumer to use the complaints process and they are supported in their right to make a complaint about the service or the service Provider.</i></p>
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7. HEALTH AND SAFETY RISKS: R5, R8, R9, R10, R17

Risk Client Harm or Injury

Preventative Actions

Risk Confidentiality Breach:

- Credentialing and 'matching' of staff/new staff
- Staff training at induction
- Ongoing monthly training and adequate orientation, on the job training and supervision to deliver services, safely in the home/s of client/s
- Staff sign confidentiality agreement forms
- Files locked in office
- Reported incidents followed up by Management immediately
- Records protected from the elements
- Controls over sharing of information
- Only nominated staff to access records
- Only nominated staff to share record information
- All staff trained not to divulge personal information over the phone

Risk Abuse & Neglect:

- Use of mobile phones
- car chargers to keep batteries charged
- providing procedures to deal with emergencies
- Ability to divert calls to a dedicated cell

Overview:

- Practical steps to eliminate identified hazards
- Employee rights to a safe place of work
- Back injuries and musculoskeletal disorders reported – critical incidents/accidents
- Violence and challenging behavior reported as 'serious harm' to employees

8. INSUFFICIENT CLIENTS: R2, R8, R11, R18

Insufficient Clients

Preventative Actions

Effectively promoting/ marketing the Service:

- Internet site "<http://homepages.whcs.org.nz>"
- Brochures of the service distributed to GP rooms, libraries, New World notice boards, RSA centres (in the area)
- Good liaison with DHB/MOH, - Dedicated staff for this purpose, attendance to quarterly meetings
- Good relationships with NASC assessors
- Longstanding creditability in the community (24 years – 2012).

Long standing service with good reputation/integrity:

- Surveying & meeting clients and prospective clients needs
- Promotion of the service by the longevity of the workforce – low turnover of staff
- Promotion of the service by satisfied clients
- Reliable, capable and dependable support workers

Satisfaction Surveys and responding positively to same:

- [Surveys for information not for endorsement] providing positive feedback, analysis available

High calibre of staff – good recruitment procedures – very low staff turn-over to date Aug 2012

9. LOSS MANAGER: R20, R21

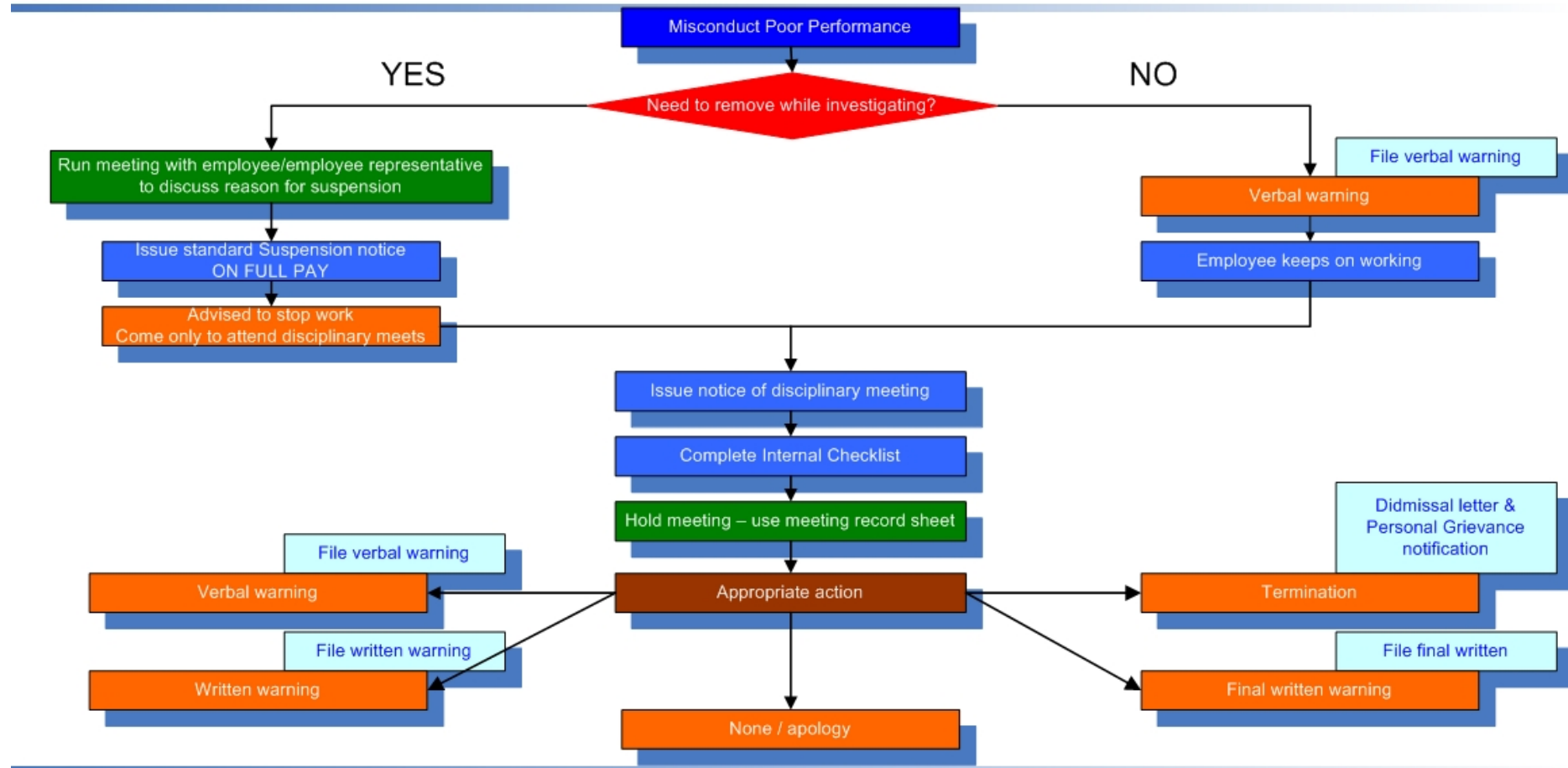
Loss of the Manager

Preventative Actions

- Continuity Planning
- Care System portable and accessible wherever, whenever, required to make decisions to act or discuss without deputizing another key person
- Key Positions have comprehensive job descriptions written by those performing the daily tasks
- *No Nominated Deputy Person/s – each individual admin staff has clear roles and responsibilities, times of starting and finishing work, opening and closing the office facility, gate, with keys, knowledge and pin number to the alarm keypad system*
- Persons able to run facility – suitably qualified and experienced staff with authority and accountability
- Mony & Shannon are capable of maintaining leadership roles in the short term – BOT informed of absence
- Monica is otherwise able to access the WHCS Care System on-line and by mobile, emails etc.,
- Payroll provided for by Mere & Shannon
- Accounts MYOB managed by S Ge – available Profit & Loss and Balance Sheet
- Outstanding Annual Statement of Accounts by RSM Prince TO **UNQUALIFIED OPINION**

10. RISK PERSONAL GRIEVANCE: R1, R4, R6, R7, R17

RISK PERSONAL GRIEVANCE



11. TRAINING: R2, R9, R18, R19, R20
Infection Prevention and Control 4.7

Risk Serious Infection / Outbreak as well as Supporting Risk Management & Emergency Planning:-

Supporting risk management involves monitoring clients' who have higher needs or are at a greater risk of adverse outcomes. These include but are not limited to:

The safe use of equipment, aids or enablers, medication management, skin integrity, nutrition and safe food management, along with managing clients' with behavioral problem symptoms

Preventative & Forward Planning Actions

Policies and procedures exist to support the current infection prevention and control practices and shall include:-

- Identification and reporting of notifiable diseases
- Management of common infectious diseases
- Appointment of an officer - Infection Control Team backed up by an outside Health Professional. Name: Sandra lee
- Knowledge of personal protection equipment
- All support worker/s trained in Standard Precautions at Induction
- Infection Reports according to Standard Definitions Infection
- Avian Flu Outbreak Planning/Swine Flu resources, training by Workplace Wellness Systems - Preparation to shut doors
- Training of key management staff

12. RISK INSUFFICIENT STAFF: R4, R6, R10, R11

Insufficient Staff

Preventative Actions

Selection strategies which can include assessment of:

- Knowledge, attitudes, beliefs and compatibility of support workers with the client/s
- New challenging behaviour reporting system, introduced (June 2012), after service review meeting
- Challenging Behaviors Training
- Good client / staff matching [Monica/Teako]

Career Pathways is available to all support worker/staff [frequent training including Keeping Safe to work] L2 and L3 with Career Force

Through illness / outbreak:

- Avian Flu planning/Pandemic Flu – notes issued to all staff/clients/Admin
- Relievers available to cover rostered shifts
- Most staff work part time [not 40 hours]
- Prioritising personal cares above house hold duties
- Having available support worker/s to do relief as required – continuity of the services

Recruiting difficulty:

- Conditions of employment – now recognised/acknowledged MOH/DHB
- No reliable transport even though there is payment for travel between client shifts (not from home and back to home base).
- Workers from same areas as clients [convenience of work close to home] increasing petrol costs

13. GOOD EMPLOYMENT PRACTICES: R1, R3, R4, R6, R7, R11, R15

TIMESHEET ERRORS

Preventative Actions

- Non-attendance by clients' or support workers – record and report immediately
- Timesheets not filled in or signed by the client
- Taking note of guidelines and not working outside agreed support plan
- Working strictly to rostered times wherever possible to avoid being late to clients'
- Complete all tasks
- No complaints or concerns – Happy and satisfied client/s
- Doing an honest day's work - Not falsifying documents or timesheets
- Leaving all your personal problems behind
- Arriving in a positive and good frame of mind – GOOD ATTITUDE PROMOTES WELLNESS!
- Being courteous and remembering CLIENT RIGHTS AT ALL TIMES!

14. INJURY RISK / OSH INVEST : R5, R8, R9

Injury / OSH Investigation

Preventative Actions

Working towards secondary status in ACC WSMP Program: 25/7/12 achieved

- GOOD Significant Hazard Register
- Hazard ID / Building Maintenance Log
 - Form to log any hazards in the office & in client homes
 - Form kept in client file to alert support staff of any dangers e.g. dogs
 - H & Safety Officers (elected 11 – 2012)

RISK OF CLIENT (FALLS):

1. Thorough risk assessments
2. Hazard ID [things that might cause harm in the Home] at time of initial assessment
3. Liaison with other services to provide hand rails & other safety promoting equipment
4. Trained and competent support workers
5. Good skills - a 'good match' to client

15. EMERGENCY PROCEDURES: R2, R5, R8, R9

ESSENTIAL & EMERGENCY SYSTEMS:

Criteria to include:

The Right to withdraw a support worker – the rights for either party, to being reciprocal and respected

Preventative Actions

Focus on:

1. Incident and or accidents, being **reported**
2. Complaints being **respected**
3. The clients' changing condition or environment being reported
4. Health & Safety Risks being reported
5. Having the ability to respond to appropriate information, (as trained), and to use equipment as necessary if required to do so i.e. fire safety and to Follow emergency procedures
6. being able to protect and support a client in the event of an emergency, safely

16. NATURAL DISASTER – R1, R2, R5, R7, R17

Risk National Disaster

Forward Planning Actions

Having a Civil Defence Box (which is current and up to date):-

- Radio transistor & spare batteries
 - Torch & batteries, candles
 - Monthly check batteries
 - Cell phone car charger
 - Water supplies for cleansing [wounds or other]
 - Adequate water to drink
 - Matches & lighters / super lighters
2. Warm blankets or sleeping bags
 3. Training for all staff – Civil Defence June 9, 2012
 4. Disaster First Aid Box [more than sticking plaster] checked monthly
 5. Good Fire Fighting equipment – regularly checked
 6. There is always sufficient food onsite for predicted needs – regularly checked