RiskMan
Reviewer Guide

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This user guide is for managers or supervisors who are responsible for reviewing incidents and/or feedback reported by their staff in RiskMan. It is to be read in conjunction with the *RiskMan General User Guide*.

Getting help

If at any stage, you need help or more information about RiskMan not covered in this guide, please speak to your leader.

If you need technical assistance, contact the help desk at *my Service Centre* on **1300 742 212** or raise a ticket online at **https://endeavour.service-now.com/ess/**

If you need assistance with using and entering an incident, please contact the safeguarding team on **1300 730 334**.

Safety leadership

Endeavour Foundation has a duty of care to ensure all staff, volunteers, visitors, contractors, and customers are safe and free from harm.

Managers play a critical role in modelling behaviours that promote the safety, wellbeing, human and legal rights of people working and accessing our services. Managers also demonstrate how we must protect and provide a safe and secure environment free from violence, abuse, neglect and exploitation.

When staff know their managers place high importance on being safe, working safely and ensuring the safety of others, they are more likely to be motivated to follow policies, procedures and raise issues.

Good leadership promotes compliance with laws and ensures not only a safe place to work but an excellent service that keeps everyone safe from harm.

RiskMan is a system that assists managers to monitor all types of incidents and/ or feedback reported by staff.

The role of a manager and supervisor

As a manager, it is your responsibility to encourage and promote the use of RiskMan and incident reporting by your team.

You are also responsible for reviewing incidents and/or feedback reported in RiskMan by staff reporting to you. This includes ensuring all information relating to the incident/feedback is captured fully and accurately, reviewing the incident, understanding the cause of the incident and implementing corrective actions if required, and finally, complete the incident in RiskMan.

Please refer to our *Fact Finding (WI 8001.02)* resource available on the QMS which will assist you throughout the RiskMan review process. The checklist at the back of this guide will also assist you in this process.

There are three key components of the review process
1. **Incident Review**
2. **Formal Review (if required)**
3. **Complete the incident**

1. Incident Review

When an incident is entered by a staff member reporting to you, you will receive an email.

You can either:
1. Click on the link in the email to open; OR
2. In RiskMan, from the menu select *Management > Enquiry > Posted Incidents* OR, click **Review Incidents** via the **Incidents** widget on the left panel of your Dashboard.
3. From the **Entered Incidents** screen, open the incident by clicking the applicable **ID**.

Items with data in the **Link** column identify which incidents are related and linked together in RiskMan. **Each linked incident needs to be reviewed separately.**

Control Panel displays at the **top** of the Incident Review screen and highlights:

- **Version Control** indicates who last edited the incident.
- **Related Incidents IDs** shows if the incident is linked and displays the IDs so you can toggle between them.
- **Bookmark** enables quick access to an incident.

- **Archive** are closed reports once a significant period has passed
- **Alert Me!** An option if you wish to be notified anytime of a change to the report.
- **Change History** displays all amendments made to the report
- **Distribution List** enables others (who may not be alerted automatically) to be informed of the incident
- **Print** option is available if required
- **Display as** enables the format in which you would like to open the report up for printing.
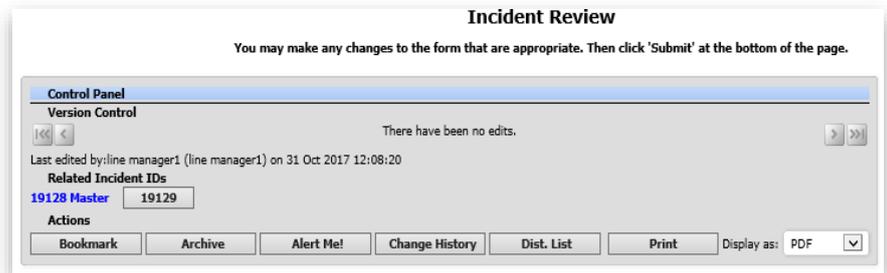
Review History is located at the bottom of the Incident Review screen and provides an audit trail of any changes made to the incident report.

Incident Review Checklist

1. Check the **Control Panel** at the top of the screen to see if there are any linked incidents, if so, **ALL** need to be reviewed
2. Check the **Review History** at the bottom of the screen to see who else is aware of the incident
3. Create a **Distribution List** if others need to be informed of the incident
4. Optional: **Bookmark** the incident if you wish to review it quickly
5. Review all Blue fields and validate Yellow mandatory fields for accuracy and amend if required
6. Check consistencies of classifications and amend if required
7. Complete all Green review fields
8. Review all **Journal entries,** and **assign actions** if required
9. Review all **Documents** that have been added
10. Confirm the **Severity** level
11. The **Review Status** of all open incidents should remain as **Open** until the reviewer is confident the review process is complete.

Review Fields

Managers are responsible for ensuring all **Green** review fields are completed.

Review Required

Are you responsible for this Review? Select **Yes/No**

Reviewed by: please select yourself as the reviewer or another user (with equal RiskMan permissions) who will be responsible for reviewing this report.

Review Required

Are you responsible for this Review? *	Yes ● No ○
Reviewed By *	Melissa Bayly (baylym) ∨ 👤

Assigning this report to another manager for review does not negate your accountability in ensuring this incident report is fully reviewed and closed.

Review/Follow up

Review Status: defaults to **pending** whilst the review is underway. Once the review is in progress this field is to be updated to **Open** and to be changed to **Completed** once the review has been finalised.

Confirmed Severity: review both the information submitted within the report and compare this to severity level outcome selected. Sometimes new information will impact on the revised severity rating. Amend if required, then confirm.

Review / Followup

Review Status *	Open ∨
Confirmed Severity *	Minor (2) ∨
Review findings / conclusion *	

Review findings/conclusion: Determine the cause of the incident. Information entered here **should not** be a repeat of the Details of Incident section. You should include what preventative measures were in place to stop the incident from happening, whether there was a non-compliance with these measures, and any issues which need to be addressed e.g. staff training.

Notifiable Event Type: select the applicable responses. Any other response than 'Not A Notifiable Event' telephone your line manager immediately. NOTE that only CST Advisors can designate a incident as NDIS reportable.

Unsure? For all **Customer** related reportable events please contact the Customer Safeguarding Team on **1300 730 334**.

If the event is **WHS** related, please contact your WHS Business Partner at whs.support@endeavour.com.au

Notifiable Event Type *

Notifiable Event ✕

- ☐ Not a notifiable event
- ☐ Child safety
- ☐ Education and training
- ☐ Infectious outbreak reportable to the Department of Health
- ☐ Reportable deaths or requests for records by the State Coroner
- ☐ Reportable to commonwealth and state government
- ☐ Reportable to police
- ☐ WHS regulator
- ☐ NDIS reportable event

OK   CANCEL

Contributing Factors
Identified Contributing Factors: identify what factors contributed to the incident. Select all that are relevant.

Consider if any action needs to be taken to prevent further similar incidents from occurring or to minimise their impact: enter what- improvements can be made to prevent a recurrence. There should be a direct relationship to the contributing factors and preventative action.

Contributing Factors

Identified Contributing Factors

Consider if any action needs to be taken to prevent further similar incidents from occurring or to minimise their impact *

Is Preventative/Corrective Action Required? Select **Yes/No**

If **Yes**, you will need to assign corrective actions via the Add **Preventative/ Corrective Actions** button. Remember while an action can been delegated you are still responsible to ensure it is completed appropriately. Enter their details and click **Save**.

1) Users assigned an action will be notified via an alert.
2) If a corrective action is not actioned by the due date, then an email reminder will be sent to you and the user.
3) Discuss the delegation to ensure capacity and capability.
4) The incident/feedback report cannot be finalised until all actions are completed.

Is Preventative / Corrective Action Required? *   Yes ◉   No ○

Add Preventative / Corrective Actions

Preventive Action

Action ID	1
Associated Contributing Factor	
Corrective Action	
Describe Action	
Person Responsible for Implementation	
Date action is to be implemented	
Date action completed	
Was action completed?	
Outcome of Action	

Note: this section is only available to Reviewers and the Customer Safeguarding team. When assigning actions to Home Site Supervisors or support staff, use the Journal section.
Preventative actions should be relative the incident, timely and practical.

Has the relevant guardian/ family been notified of the incident and communication documented? Select **Yes/No.** ensure the specific details have been recorded in the **Who was Contacted** section. If family or guardian was not contacted state why.

Outline interactions with customer and family relating to this incident: list each interaction including the date.

Explain how well the incident was managed and resolved at the time: be objective, think about what went well and what could be improved.

Are you satisfied this incident has been adequately managed and resolved? Select **Yes/No Be objective and open about the process**

Has the relevant guardian / family been notified of the incident and communication documented? * Yes ⦿ No ○

Outline interactions with customer and family relating to this incident *

Explain how well the incident was managed and resolved at the time *

Are you satisfied this incident has been adequately managed and resolved? * Yes ⦿ No ○

Formal Review Required?
The requirement of a formal review is determined by the Customer Safeguarding team.

Managers are NOT required to complete this section. If a formal review is opened, you will be notified by Customer Safeguarding.

Formal Review Required?

Is a Formal Review Required? Yes ○ No ⦿

What now?

Not all incidents require an investigation. Most incidents reported can be managed at a local level. If all corrective actions have been completed and you are satisfied the incident has been resolved select **Review Status > Completed**.

Review / Followup

Review Status   Completed

Once **Completed** has been updated, you will be prompted to confirm if all information in each section has been checked, is correct and all evidence has been uploaded.

Is all information in each section checked and correct and evidence uploaded? * Yes ○ No ○

2. Formal Review

Serious Incidents

All serious incidents that occur as part of service provision require a formal review.

Serious notifiable incidents, such as those that potentially pose a significant organisational risk, cases of violence, abuse, neglect and exploitation, as well as allegations involving direct line management, are automatically escalated by RiskMan to the **Customer Safeguarding Team.**

If deemed necessary, a formal review may be instigated, with the Customer Safeguarding Team taking control of the review. In these cases, the Customer Safeguarding Team responsibility for the review and follow up will reflect this status change.

Endeavour Foundation considers serious incidents to include, but not limited to:

- The death of a person; or
- Serious injury of a person; or
- An unexpected medical event that results in hospitalisation; or
- Abuse, neglect or exploitation of a person with disability; or
- Unlawful sexual or physical contact with or assault of, a person with disability; or
- Sexual misconduct committed against, or in the presence of, a person with disability, including grooming of the person for sexual activity; or
- Any other incident that may be deemed as critical.

NOTE: The definition of an incident that requires review captures not only incidents that are confirmed to have occurred, but also allegations of the incidents described above.

Please refer to *QF 4230 Serious Customer Incident Response Tool (SCIRT)* for information pertaining to serious incidents involving customers at Endeavour Foundation.

3. Complete the incident

- Return to the **Incident** (via Bookmark or Entered Incidents page)
- Ensure all items within the **Review/Follow** up section are completed, including all **Preventative/Corrective Actions**
- **All evidence is uploaded.**
- Complete **Review Findings/conclusion**
- Change **Review Status** to **Completed**
- **Share outcomes and actions with the customer involved and their family and guardian as required.**

Reviewing Feedback

When feedback is entered by a staff member reporting to you, you will receive an email.
You can either:

1. Click on the link in the email to open; OR
2. In RiskMan, from the menu select
   Management > Enquiry > Posted Feedback
3. From the **Entered Feedback** screen, click the applicable **ID**.
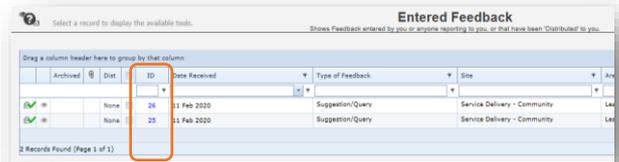
Control Panel displays at the **top** of the Feedback Review screen and highlights:

- **Version Control** indicates who last edited the feedback
- **Related Incidents IDs** shows if the feedback is linked another incident and displays the IDs so you can toggle between them
- **Bookmark** the feedback if you wish to review it quickly
- **Archive** closed reports once a significant time has passed
- **Alert Me!** if you wish to be notified anytime a change is made
- **Change History** displays any amendments made to the report
- **Distribution List** enables others (who may not be alerted automatically) to be informed of the feedback
- **Print** option is available if required
- **Display as** enables the format in which you would like to open the report up for printing.
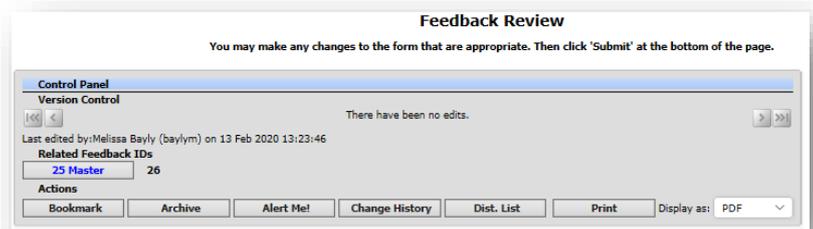
Review History is located at the bottom of Feedback Review screen and provides an audit trail of any changes made to the incident report.

Feedback Review Check list

1. Check the **Control Panel** at the top of the screen to see if there are any linked feedback reports, if so, **ALL** will require review
2. Check the **Review History** at the bottom of the screen to see who else is aware of the feedback
3. Create a **Distribution List** if others need to be informed
4. Optional: **Bookmark** the feedback if you wish to review it quickly
5. Review all **Blue** fields and validate **Yellow** mandatory fields for accuracy and amend if required
6. Check consistencies of classifications and amend if required
7. Complete all **Green** manager review fields
8. Review all **Journal entries,** and **assign actions** if required
9. Review all **Documents** that have been added
10. Confirm the **Severity** level
11. The **Review Status** of all open feedback reports should remain as **Open** until the manager is confident the review process is completed.
12. **If the feedback describes a customer incident, ensure an incident is completed and linked to the feedback.**

Review Fields

Managers are responsible for ensuring all Green review fields are completed.

Note: Home Site Supervisors can view and amend feedback submitted by staff within sites they supervise. However, they do not have access, nor accountability for the review, and completion of feedback.

Acknowledgement
How was feedback acknowledged? ensure all feedback is acknowledged prior to further investigation. **Select** the applicable option.

Date acknowledged: enter the date you responded to the initial feedback.

Review
This section will display for all feedback types *except* Compliments.

Has a Review been started: ensure you have selected **Yes?**

Review Status: change to **Open** when the feedback is under review. The status will need to be changed to **Completed** resolved.

Review Manager: select who will oversee this feedback. Feedback reviews should only ever be delegated to staff of an equivalent or higher level.

Feedback Severity Rating: select the applicable option.

Review Notes: add any relevant notes in this section.

Note: a concern is always managed at a local level e.g. the Portfolio or Site Manager. Complaints however bypass management and the review coordinated by the Customer Safeguarding Team. Only Customer Safeguarding team have authority to change the status of a complaint to completed.

Actions

Add Action: add any corrective actions required by management in order to resolve feedback.

Please ensure you add:
1) Related Feedback Item
2) Description
3) Allocated by
4) Allocated to
5) Allocated On
6) Action By Date
7) Action Response
8) Associated Site
9) Associated Location
10) Complete (only check when complete)

*Note: this section is only available to managers and the Customer Safeguarding team. When assigning actions to Home Site Supervisors or support staff, use the **Journal** section.*
Remember that you must discuss a action delegated to another workers to ensure their capability and capacity.

Outcome

Has the complainant raised this complaint with an external agency? If yes, provide the **Name of External Agency.**
(Complaint/Concern only) Outcome: select the outcome/s from the pop-up list.
Outcome Details: provide a brief explanation of the outcome achieved.
(Complaint only) Refer for closure? Select **Yes/No**.

*Note: this section is only available to managers and the Customer Safeguarding team. When assigning actions to Home Site Supervisors or support staff, use the **Journal** section.*

Recommendations
Add any recommendations in this section as an outcome of the feedback being received.
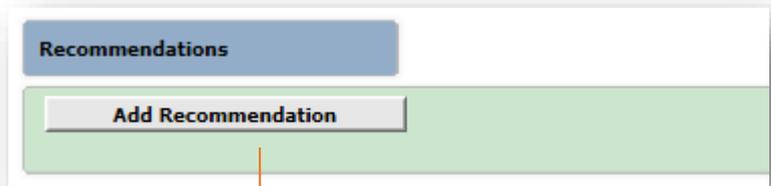
Recommendations

Add Recommendation

Recommendations	
Recommendation Number	1
Description of item	
Description of action to be taken	
Prioritised action	
Person Responsible	
Outcome Measure	
Measure Date	

File Notes
Review all Journal entries and assign actions if applicable.

Documents
Review all attached documents if applicable.

Click **Save** once you have finalised your feedback review.

File Notes

Add New Journal Entry

	DateCreated	Description	Follow Up By Date	Follow Up Allocated To

Documents

Add Document

Save

Save any changes you have made to this Feedback, and return to the Inbox.

Save
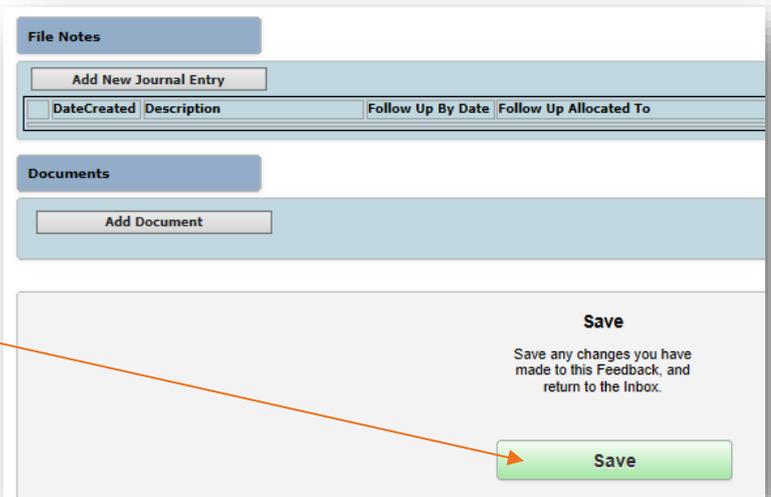
Delegation

As a manager or supervisor it is your responsibility to ensure a review occurs for any incident/feedback in RiskMan.

If you are away (e.g. annual leave, professional development) **you must** ensure you have delegated your RiskMan responsibilities to another user to ensure a review, and corrective actions are triggered. You should discuss delegation of this task with your manager.

How do I delegate responsibility?

From the menu option

1. Select **My Workspace > Assign a Delegate**
2. Select **Add Delegate**
3. Select the Filter   icon (user one of the filter conditions e.g. enter the user's surname in the User Name Filter field and press **Filter List**). A list of users that match your filter conditions will be displayed in the **Delegate list**.
4. Select a user name from the list
5. Enter the start and end date for the delegation period (end date is the day you return)
6. Press **Save**
7. Repeat the above steps if you wish to delegate to more than one user for the same or a different date period
8. The delegated users will be sent an email advising them of the delegation

How do I modify/delete delegations?

1. Click on the **Delegate's Name** in the list
2. If modifying, change as required and press **Update**
3. If deleting, press **Delete**

How does the delegate see incidents assigned to me?

1. Delegate log into RiskMan with their Username and Password
2. Select **My Workplace > My Identity** and select your username from the **Select an Identity** list. On assuming a user's identity, it will appear as if they are logged in as that user identity.

During the delegation period the delegate will be copied on all email notifications you receive from RiskMan e.g. Alerts, Journal Alerts, Distribution Lists.

While the delegate is using RiskMan under your identity, any activity that they engage in will be noted on the Review History in a separate column under Delegated **By**.


The user can re-assume their identity by Selecting their username for the **Workplace > My Identity** menu option.

Can I delegate an individual incident/feedback to another party?

To delegate an individual review
1. Select **No** to the "**Are you responsible for this Review**".

2. Then delegate the review to the relevant person from the drop-down search function displayed. The delegate is notified, by email, to complete the appropriate steps. Remember: An incident/feedback should only ever be delegated to staff member of an equivalent or higher level.
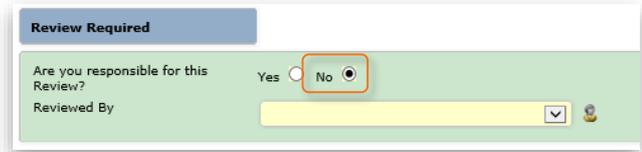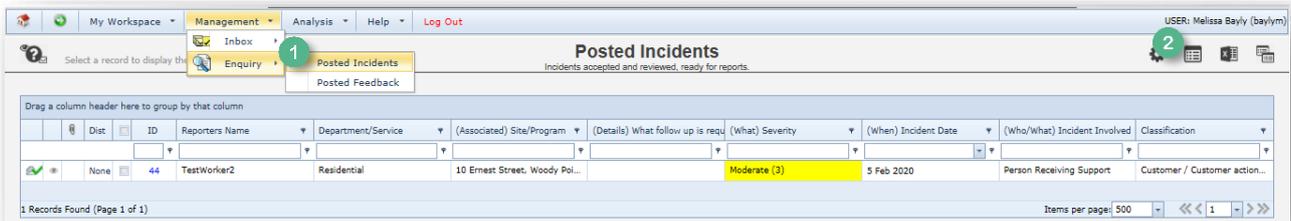
Note: Regardless of delegation, as the manager you have overall responsibility to ensure the incident/feedback is investigated.

Frequently Asked Questions

### How do I choose how columns are displayed on the Posted Incidents screen?

1. Go to *Management > Enquiry > Posted Incidents*
2. Select the **Change Columns** icon

3. **Search** and **select** the incident you want to see your Posted Incidents screen, then select **Save**.
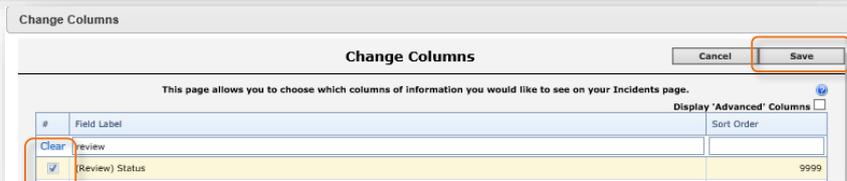

4. Once saved, you can also **drag and drop** the **column headers** to rearrange the order they are displayed. Any changes to column order will be autosaved.
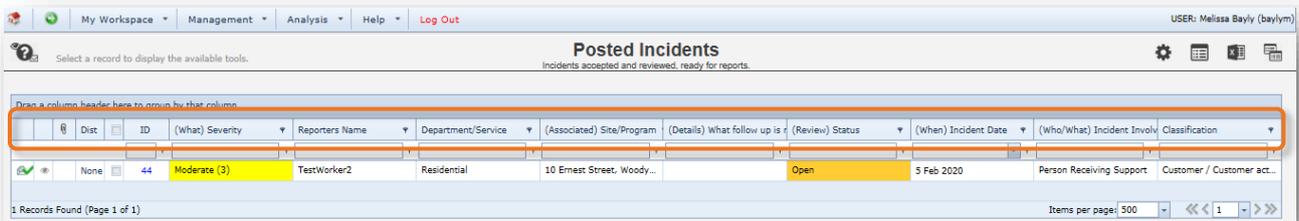
How can I let other relevant people know about the incident/feedback?

If, after reading the incident/feedback and looking at the Review History, you think people need to be notified, you can create a **Distribution List**.

1. Click **Dist.List** from the Control Panel
2. Search for users using the **Filter List** option
3. Select users and click **Assign >**
4. Repeat steps 2-3 if more users are to be notified
5. **Recommend:** Enter a comment explaining why the selected users are notified. comment will appear on the email received by the users.
6. Press **Send Email & Close**
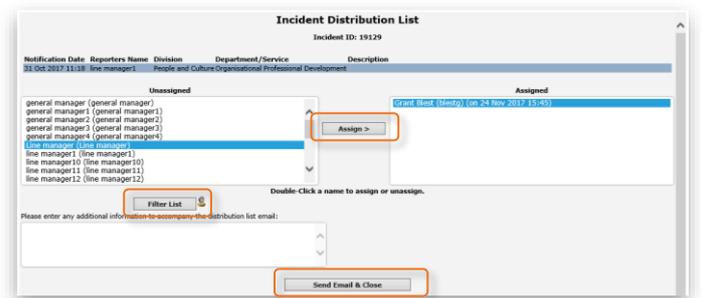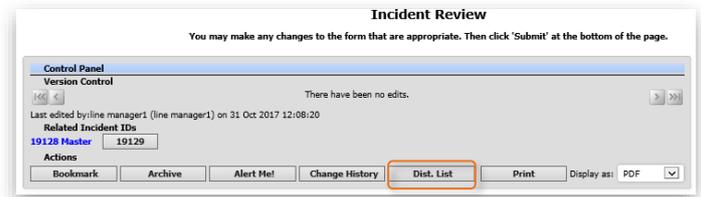
NOTE: If there are already users in the Assigned list when you are creating a Distribution list, <u>**do not delete**</u> as it may affect their permissions. Only the newly added users will receive the email.

I cannot see all services and staff that report to me in RiskMan – how can I ensure it is updated?

1. Ensure all necessary paperwork (on boarding, change of reporting line, acting duties, off boarding etc.) has been submitted to peopleexperience@endeavour.com.au.
2. Contact whs.support@endeavour.com.au who can assist with RiskMan back end reporting structures.

Can I view comments sent in a Distribution List?

The sender/receiver can view the comments included in a distribution list email via the Review History of the Incident.

To view the comments, click on the **<Email>** link in the Review History.

How do I assign a corrective action?

The Review/Follow up section of RiskMan is used to assign tasks or actions to other RiskMan users. When enacted, the assigned user will be sent an email notification with details of the task and a link to the incident.

If by the due date the task is not actioned, an email reminder will be sent to you and the assigned user. Remember that while you have delegated an action you are still responsible to ensure the task is completed.

Reviewing and Closing a RiskMan Report – Quick Steps and Helpful Tips

The intention of a person-centred approach is to maximise, as much as reasonably possible, the capacity for people with disabilities to take control of their lives. In relation to incident management, customers should be included in any review of an incident to understand their perspective and their choice regarding the development of preventative strategies.

Incidents are a permanent record and it's your job to ensure a clear picture has been provided of what occurred.

Top Tips

1. RiskMan General User Guide and RiskMan Reviewer Guide include great information and tips for using RiskMan.
2. Contact Customer Safeguarding on 1300730334 if you need any assistance or have a question.
3. Only document what you know, not what you think!
4. Customer Safeguarding will contact you if a formal review is being undertaken.

Step 1	Use a Person-Centred Approach	☐ Seek customers understanding on what happened. ☐ Was there a customer need at the time which could have been managed differently? ☐ Get customer ideas and consent for preventative action. ☐ Where an incident has been cloned or linked for another customer impacted by the same incident, these must all be reviewed and closed individually. ☐ Keep the customer informed throughout.
Step 2	Check Where, When and Who	☐ Check the time is correct and makes sense. ☐ Make sure names are spelt correctly to help with system searches. ☐ Ensure description of where the incident happened is correct and clear. ☐ Written objectively with no discriminatory or biased language.
Step 3	What Happened	☐ Add new information or clarify information into the Journal to ensure a clear record of the incident. Don't ever change what another person written. ☐ Check details in extension fields are complete and clear. ☐ Update information from medical reviews or examinations as it comes to hand. ☐ Upload evidence such as copies of discharge plans, medication sheets, witness statements or emails, etc ☐ Search on RiskMan for similar incidents and if a pattern is evident. ☐ If Police are involved, document their QPrime number and the name of the Investigating Officer in RiskMan.
Step 4	Review Follow Up	☐ Confirm severity based on all the information and amend if needed. If confirmed severity is not within your delegation, escalate to your manager for review. ☐ "Review Findings / Conclusions" should not repeat what is already documented but rather outline what you found to be the cause following your investigation. ☐ Ensure there is correlation between the cause and preventative action. ☐ Where you are concerned that staff performance has contributed to an incident you must report to your manager immediately in writing. Be clear and objective about your concerns and document in review findings. ☐ *Note that only the Customer Safety Team can allocate an incident as NDIS reportable. If you are concerned about an incident contact them immediately.*

Step 5	Communicate	☐ Ensure families or guardians have been informed and kept up to date. ☐ Contact your manager of any concerns and escalate serious matters immediately ☐ Refer customers to health professionals as required.
Step 6	When delegating	☐ Preventative Actions should be timely, practical, relevant and achievable. ☐ Use the Journal to delegate actions to other staff. ☐ Ensure anyone delegated an action is aware and has capacity and capability.
Step 7	Completion	☐ To close, ensure all the actions and all mandatory requirements are completed. ☐ Don't forget to change the review status to Completed.