Risk Management Process Chart

Establish the context The internal context The external context

The risk management context

Develop criteria

Define the structure

Identify risks What can happen? When and where? How and why?

Analyse risks

Identify existing controls

Determine consequences and likelihood

Monitor and review

Communicate and consult

Determine the level of risk

Evaluate risks Compare against criteria Set priorities

Treat risks?

Treat risks Identify options Assess options

Prepare and implement treatment plans

Analyse and evaluate residual risk

11 Standards Australia, *AS/NZ 4360 – Risk Management* Standards Australia, Sydney, 2004

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| Function/  Activity: | Youth Services – Staff Roster | Compiled by: | John Doe – Mental Health Program Coordinator | Date: | 7 March 2013 |
| Date of risk  review: | 7 March 2013 | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: | 7 March 2013 |
| Format of Records: | Paper Manila File bound | Date Range : | January 2000 – March 2013 | Location of Records: | Filing cabinets – locked  10 Down Street MyTown |
| Records Managed by: | Youth Services Administrator | Legislative Control: | Health & Well Being Act 2008 | Other Comments | Case notes complement this series of client records within the Ess |
| Other Comments Cont.. within the corporate client management system Xpedite. The data is backed up nightly by the IT team and data recovery is tested through the disaster recovery testing which is run annually. Staff are instructed via written policy and procedures that client files must not be left on desks when not in use and are to be locked away immediately after use. An Index of client files is maintained electronically in the Xpedite system which is able to run index reports. There is no location/movement control of files for tracking purposes. File use is assumed to only be applied when appointments with clients are made and auctioned. Client files are not removed from the building. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure | L | H | Locked cabinet  signed  confidentiality agreement  Data backed up | H | L | L | L | Digitise paper client records,staff training and awareness |  |
| Unauthorised  Destruction | L | H | Locked cabinet  Data backed up  Procedures for client file use and disposal | H | L | L | L | Digitise paper client records,staff training and awareness |  |
| Unauthorised  Modification | L | H | Locked cabinet  Data backed up  Version control  Procedures for client file use | H | L | L | L | Digitise paper client records,staff training and awareness |  |
| Accidental  Loss | L | H | Locked cabinet  Data backed up  Version control  Procedures for client file use | H | L | L | L | Digitise paper client records,staff training and awareness |  |
| Environmental  Damage | L | H | Secure cabinet and shop front but they are the only copy if taken in a break in or fire | H | L | M | H | Digitise paper client records,staff training and awareness |  |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Hardware  Failure | L | L | Network is backed up | L | L | L | L | Maintain backups. Move to electronic control. |  |
| Malicious  Damage | L | H | Secure cabinet and shop front. There is security patrols and alarms. | M | L | L | L | Maintain backups. Move to electronic control. |  |
| Theft | L | H | Secure cabinet and shop front. There is security patrols and alarms. | H | L | L | L | Maintain backups. Move to electronic control. |  |

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| Function/  Activity: | Youth Services – Policies | Compiled by: | John Doe – Mental Health Program Coordinator | Date: | 7 March 2013 |
| Date of risk  review: | 7 March 2013 | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: | 7 March 2013 |
| Format of Records: | Electronic Word and PDF | Date Range : | 1999 - 2013 | Location of Records: | EDRMS system, published on intranet |
| Records Managed by: | Information Management | Legislative Control: | Health & Well Being Act 2008, Public Records Act 1973, Information Privacy Act 2001, FOI Act 1987 | Other Comments | Policies are updated every 2 years |
| Other Comments Cont.. Youth Services record keeping and information management is corporately controlled through policies managed by Information Management. Policy on management of client services and their information comes under the Health & Wellbeing Act 2008 and a corporate policy is maintained by the Manager – Client Services.  Policies are version controlled through a controlled document process managed by the Information Management Coordinator. This has been in place since 2010. Policies prior to 2010 are contained within the EDRMS which is version controlled and backed up nightly. These are maintained as permanent records of the organization. Policies prior to 1999 are maintained in hard copy subject files. All historical subject files were subject to review and disposal in 2012. All temporary records that had reached expiry date were destroyed according to the GRA for Local Government. Remaining files have had the mandated DO NOT DESTROY applied to them in accordance with PROV instructions of November 2011. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure | NA |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Procedures | Compiled by: | John Doe – Mental Health Program Coordinator | Date: | 7th March 2013 |
| Date of risk  review: | 7th March 2013 | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: | 7th March 2013 |
| Format of Records: | Electronic WORD | Date Range : | 2005 - 2013 | Location of Records: | Network Drive and EDRMS |
| Records Managed by: | Youth Services Mental Health Coordinator | Legislative Control: | Mental Health & Well Being Act. | Other Comments |  |
| Other Comments Cont..Procedures inform staff of their responsibilities and appropriate conduct in managing client service provider relations, recording of events, discussions and interactions, when to report to a higher authority in accordance with the Mental Health & Well Being Act. | | | | | |

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| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Personnel Files | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Contracted Out Services | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Client Records | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
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| Function/  Activity: | Youth Services – Financial Records | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Program Records | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Staff Roster Records | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |

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| Function/  Activity: | Youth Services – Volunteers Records | Compiled by: | John Doe – Mental Health Program Coordinator | Date: |  |
| Date of risk  review: |  | Reviewed  by: | Jane Doe – Information Management Coordinator | Date: |  |
| Format of Records: |  | Date Range : |  | Location of Records: |  |
| Records Managed by: |  | Legislative Control: |  | Other Comments |  |
| Other Comments Cont.. | | | | | |

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| *Risk Category* | *Risk (L M H)* | *Consequence* | *Current*  *Control* | *Consequence rating (L M H)* | *Likelihood rating (L M H)* | *Level of risk (L M H)* | *Risk priority*  *(L M H )* | *Treatment*  *Option* | *Treatment* |
| Unauthorised  Disclosure |  |  |  |  |  |  |  |  |  |
| Unauthorised  Destruction |  |  |  |  |  |  |  |  |  |
| Unauthorised  Modification |  |  |  |  |  |  |  |  |  |
| Accidental  Loss |  |  |  |  |  |  |  |  |  |
| Environmental  Damage |  |  |  |  |  |  |  |  |  |

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| Hardware  Failure |  |  |  |  |  |  |  |  |  |
| Malicious  Damage |  |  |  |  |  |  |  |  |  |
| Theft |  |  |  |  |  |  |  |  |  |