



# RISK MANAGEMENT REGISTER



TASKS



REPORTS



COMPLIANCE



DOCUMENTS



CONTRACTS



LICENSING



TRAINING



SUPPLIERS



INCIDENTS



FEEDBACK



REPAIRS



AUDIT



IMPROVEMENT

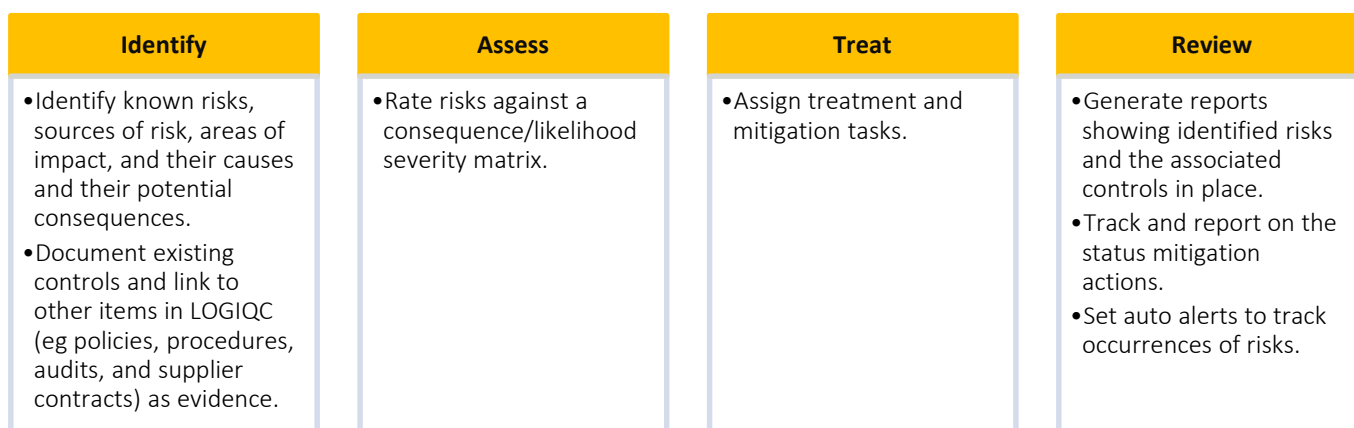


MEETINGS

## LOGIQC RISK MANAGEMENT REGISTER OVERVIEW

Risk management is a means of identifying, assessing, prioritizing and controlling risks across an organization, with a coordinated and cost-effective application of resources to minimize, monitor, and control the probability and/or impact of adverse events or to maximize the realization of opportunities (World Health Organisation, 2013).

The LOGIQC risk module allows for organisational risks to be identified, control measures to be described, and mitigation actions to be documented. The module has been designed in accordance with the ISO 31000 Risk Management standard.



### Key features

- Severity assessment matrix based on the likelihood and consequence of controlled and un-controlled risks
- Conventional risk register report in Excel
- Assign and track mitigation action tasks to staff
- Link items from other LOGIQC registers, eg policies, procedures, audits, and supplier contracts, to the risk to identify the 'active' controls are in place to manage the risk.
- Automatic 'counting' of the occurrences of risks when they are reported in the LOGIQC Incidents and Feedback registers. LOGIQC will send alerts to the risk 'owner' when the pre-set risk threshold is exceeded.
- Risk management plan report showing up-to-date reports on the status of controls and risk mitigation actions.
- Automatic reminders sent to the risk 'owner' of risks that are due for review.



**Key feature: Risk module integrated with other parts of your LOGIQC system**

## LOGIQC RISK MANAGEMENT REGISTER OVERVIEW

### Building your Risk Module


The steps required to build your LOGIQC risk module are summarised in the following pages. A LOGIQC Risk Module On-boarding manual is also available that provides detailed examples and full technical instructions.

#### Step 1: Create your risk framework in the system settings

Your risk module has three levels that need to be setup as drop down menus in the LOGIQC system settings module. The example below illustrates some of the typical risks that would be present in an organisation.

Risk dimension	Risk category (Primary risk category)	Identified risk (Secondary risk category)
Operational	Business Continuity	Disruption to essential services
	Planning	Failure to deliver projects
Safety	Clinical Practice	Client fall
Financial	Funding	Changes to funding streams
	Financial management	Fraud
Organisational	HR	Non-conformance with HR procedures

#### Step 2: Add your risk to the risk register

Go to Registers/Risk Register, select the add button  and complete the required fields.

**RISK IDENTIFICATION**

Risk dimension

Risk type

Access restrictions

Additional description if required

Physical location

Potential consequences

## LOGIQC RISK MANAGEMENT REGISTER OVERVIEW

### Step 3: Identify the controls in place to manage the risk

Complete the required fields and link items in your LOGIQC system to the risk using the 'related item' fields. These fields also act as a guide to show where gaps in controls may exist eg. no policy in place.

Existing controls

*Character count: 2000*

Related documents

Click to select related documents

Related audits

Click to select related audits

Related compliance tasks

Click to select related compliance tasks

Related contracts

Click to select related contracts

Related suppliers

Click to select related suppliers

### Step 4: Assess the risk

Select a value on the severity assessment matrix for the risk with and without controls in place.

**RISK ASSESSMENT**

Controlled risk rating   
  Uncontrolled risk rating

Controlled risk rating

		Consequence				
		Severe	Major	Moderate	Minor	Minimal
Likelihood	Almost Certain	1	1	2	3	4
	Likely	1	1	2	3	4
	Possible	1	2	2	3	4
	Unlikely	1	2	3	4	4
	Rare	1	2	3	4	4

Risk level

Medium

Management requirement

Manage by specific monitoring or auditing procedures.

LOGIQC will automatically assign a risk level and treatment policy statement (Management requirement). The language used in these fields can be configured in system settings.

## LOGIQC RISK MANAGEMENT REGISTER OVERVIEW

### Step 5: Determine treatment/mitigation actions

Create any number of tasks that may need to be done over and above the controls already in place to further mitigate the risk.

**RISK TREATMENT**

Risk mitigation actions Add

Risk treatment option	Action	Who	By when	Status
Change the likelihood	Draft guidelines for the storage of medications	Tom Stoppard (RN 2)	17/03/2016	Action Open

Related improvements Click to select related improvements

### Step 6: Link incident and feedback categories to the risk

This is a powerful feature that integrates the Incident and Feedback registers with the Risk Module. Selecting an incident category for example means that when an incident of that type is reported, it will automatically be counted against the risk.

Related issues reported in system to date

Incidents register	2
Feedback register	0
Improvement register	1
Repairs register	0

Linked incident types

Non conformance with organisation's procedures - Non conformance with organisation's procedures ✕

Medication Incident - Medication Incident ✕

Linked feedback categories

Issue with prescribed medication ✕

### Step 7: Set the review date and risk occurrence threshold

Choose a date when LOGIQC will automatically send an alert to the risk owner to review the risk. This is when the adequacy of the controls can be checked.

**RISK REVIEW**

Risk review date 31/10/2016

Risk occurrence threshold for current review period 5

The Risk Manager will be notified when the review date or the threshold has been reached. Since the last review, this risk has occurred 3 times.

The threshold level counts the occurrences of the risk as reported in the incidents, feedback, repairs and improvement registers.

## LOGIQC RISK MANAGEMENT REGISTER OVERVIEW

### Reporting

The LOGIQC Risk Module includes a number of reports to support the review and monitoring of your risks and associated mitigation actions. The following examples are the main reports that can be generated.

### Conventional risk register report

All risks or only selected risks can be exported to a report in Excel. This report also risk owner, review date and linked controls.

	A	B	C	D	E	F	G	H	I	J
<b>AJAX Organisation Risk Register</b>										
1										
2	Date of export:	5/05/2016								
3	Time of export:	9.00 am								
4	Risks exported:	10								
5										
6										
7	ID#	Identified risk	Primary risk type	Secondary risk type	Location	Potential consequences	Cause/contributing factors	Existing controls	Uncontrolled risk level	Controlled risk level
8	rsk_002	Medication errors adverse event requiring intervention	Medications Errors	Medication errors adverse event requiring intervention	NA	Medication is an integral part of Pearl Bay Day Hospital however, it has multiple associated risk	Storage of medications not logically categorised making it hard for nursing staff to recognise medications	Policies, procedures and /or protocols are in place that are consistent with legislative requirements, national, jurisdictional and professional guidelines.	High	Medium

### Risk Management Plan

This report shows the status of all linked controls (eg. related policies and audits) and assigned mitigation actions. It also displays any incidents and feedback items (eg complaints) reported that relate to the risk.

#### Risk management report

ID #: RSK\_004    Trips and falls caused by unfixed objects    DATE ADDED: 05/10/2015

**RISK MANAGEMENT ITEMS**  
SEE LAST & NEXT: 365 ▼

AUDIT					
Status	ID #	Description	Assigned Officer	Due	Closed
Overdue	aud_030	Environmental Audit	Julia Smith (RN 1)	22/03/2015	

DOCUMENTS					
Status	ID #	Description	Assigned Officer	Due	Closed
Overdue	doc_007	Environmental Safety Audit Tool	Robert Kennedy (RN 4)	31/08/2015	
Overdue	doc_008	Falls Audit Tool NSQHS Std 10	Maureen Hollowmen (CSSD Manager)	20/01/2016	

FEEDBACK					
Status	ID #	Description	Assigned Officer	Due	Closed
Overdue	fee_005	Equipment not appropriate for the scope of service	Julia Smith (RN 1)	31/10/2014	
Closed over past 365 days	fee_004	Advised that the orthopaedic service would benefit from the addition of new electric drill equipment			22/06/2015

MITIGATION ACTIONS			
Status	Description	Assigned Officer	Due
Action Complete	Eliminate the hazard by removing slip and trip hazards at the design stage	George Burgess (Administration Manager)	30/10/2015