

## 5. Managing breaches of your risk management strategy

### What do I need to do?

Your risk management strategy must include a plan for managing any action or inaction by a person in your organisation that fails to comply with any of the policies and procedures which make up your risk management strategy.

### Why do I need a plan for managing breaches of a risk management strategy?

Having a plan allows your organisation to manage any potential breaches in a fair and supportive manner. Without a plan:

- people may not be clear on their obligations and rights and therefore may be hesitant to report breaches
- appropriate consequences for breaches may not be enforced due to confusion about what course of action to take
- similar breaches may be dealt with inconsistently which may result in repeat offences and also a lack of confidence in the risk management strategy, and
- opportunities for training and improvement will be more difficult to identify.

### How do I draft a plan for managing breaches of a risk management strategy?

Your plan should cover a number of aspects in detail, for example –

- **Definition of a breach**

A good place to start when drafting your plan for managing breaches is to define what constitutes a breach of your risk management strategy. For example –

*A breach is any action or inaction by any member of the organisation, including children and young people, that fails to comply with any part of the strategy which includes [insert details particular to your organisation]*

- **Who must comply with the plan**

You must also clearly outline who must comply with the plan. It is important to remember, as discussed in the code of conduct section above, that your risk management strategy will not just apply to your employees and volunteers. Your risk management strategy should apply to everybody who is involved with your organisation including children, parents, contractors and all other people relevant to your organisation.

You should consider involving people involved in your organisation in the development of this plan and also how the plan will be communicated.

- **Responsibilities and delegations**

You will also need to identify who is responsible for the management of each type of breach. You should make sure you nominate a person or people who have the time, authority, patience and ability to follow the processes.

- **Processes for reporting breaches**

Another aspect which you will need to cover in your plan is the processes for managing the breach, including the process for reporting breaches. It is imperative that all people should be clear on who they should contact and how they should progress a concern regarding a breach. It is then equally important that the people from your organisation who are responsible for dealing with the breach are aware of the correct process to follow.

- **Process for managing breaches**

Processes for managing breaches including suitable consequences and outcomes for breaches should also be outlined.

#### **DRAFTING TIPS**

- Pre-categorise the types of breach and corresponding consequences based on degree of seriousness. The consequences should be proportionate to the breach. For example, a breach of the code of conduct may result in disciplinary action, whereas a breach in relation to failing to update blue card contact information may result in further training being provided.
- Outcomes may include:
  - emphasising the relevant component of the child and youth risk management strategy, for example, the code of conduct
  - providing closer supervision
  - providing further education and training
  - mediating between those involved in the incident (where appropriate)
  - disciplinary procedures (if necessary)
  - reviewing current policies and procedures, and
  - developing new policies and procedures (if necessary).

- **Process for recording breaches, including outcomes**

You must also ensure that you document a process for recording breaches, including outcomes.

A template incident report form which details aspects of the incident such as names of parties involved, description of the incident, date, time, action taken etc. may assist with ensuring consistent reporting. A sample template incident report form is provided for you below.

Your organisation must be mindful that appropriate confidentiality is maintained at all times to protect the privacy of children and young people.



