

Risk Assessment – Clients

Purpose *To outline a process for systematic identification, analysis and evaluation of risk with clients in an effort to mitigate risk for safe and effective service delivery.*

Policy Statement *A formal documented risk assessment process will be completed with clients:*

- *Upon referral, and prior to acceptance into services*
- *When a serious unanticipated situation or behavior of concern occurs that indicates the client may pose a risk to self, staff, others, property, or the organization*
- *For any situation where potential risk could result in more than minor consequences*

Formal documented risk assessments may also be completed with clients:

- *When there is a change in service support structure*
- *When the client’s environment has changed, relocation to a new home, new roommate, etc.*
- *When a client undergoes a change in physical health, mental health or behavioral status*

Formal documented risk assessments Levels A& B must include:

- *A planned process with participation/information gathered by persons best able to provide information in relation to risks: this may include but not be limited to the individual served, family, staff, teachers, employers, other professional supports*
- *Identification of potential risks to self, staff, others, property, or the organization*
- *Identification of the likelihood, and when indicated, the frequency of the risk occurring (Level B only)*
- *Identification of the consequences or severity and risk rating*
- *Identification of possible, realistic and implementable safety planning*
- *Follow up actions*

Binder(s)	Adult Services, Family Support Services						Page:	1 of 2
Section(s):	Health & Safety	A	95-05-17	R/R	98-04-27	R/R	01-08-29	
Program Area(s):	Adult Disability, Family Support Disability	R	May 29/14	R/R	Oct 29/15	R/R	Oct 26/17	

ASC will have designated authorized persons to complete client risk assessments.

Upon completion of a risk assessment, and with the assumption that the identified potential realistic and implementable controls would be implemented, decisions will be made based on the following scale:

- If the risk rating is Green (unlikely), and the identified consequence level can be reduced to Green (low), the services/employee work requirement/event/activity may continue*
- If the risk rating is Yellow (probable), and the identified consequence level can be reduced to Yellow (moderate), review of the service provision/employee work requirement/event/activity will occur and may continue with the ability to fully implement the identified controls/safety planning*
- If the risk rating is Red (certain) and the identified consequence level remains as Red (critical), services will be refused, employee work requirements will be discontinued, and the event or activity will not continue*

Binder(s)	Adult Services, Family Support Services	Page: 2 of 2					
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Risk Assessment – Clients

Service Application

1. The application process will require that any potential applicant/guardian provides full disclosure of all information relating to physical/mental health and behavioral concerns that may: create risk, impact service delivery, or impact the health or safety of the applicant, staff or others.
2. Level A Risk Assessment will be completed with all applicants.
3. Level B Risk Assessment may be completed if recommended on the Level A Risk Assessment.
4. The results of Level A and/or Level B Risk Assessments must be included in the placement committee meeting process (see Placement Committee policy and procedure).
5. The documented Risk Assessment(s) will be retained on client files.
6. If services are denied on the basis of the Risk Assessment(s), this information will be shared in writing with the applicant and funding source where appropriate.

Service Provision

1. Any Risk Assessment process that results in a potential need to look at discontinuation of service must be brought to the placement committee for review and final decision.
2. If service provision is to be discontinued this information will be put in writing to the client/guardian and applicable funding source.

Binder(s):	Adult Services, Family Support Services						Page:	1 of 3
Section(s):	Health & Safety	A	95-05-17	R/R	98-04-27	R/R	Nov 5/15	
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Consequence Scale

Level	Consequence	Description
Red	Critical	<p>The consequences would likely be extensive and irreversible – including death or permanent extensive disability to the individual or support worker. For ASC, this equates to a lawsuit that threatens the organization’s viability both financially and politically.</p> <p>The consequences are likely to threaten continued effective provision of services and require top-level intervention. For the individual this could include serious but not permanent injury/disability; loss of home; imprisonment. For support staff this could include extended lost-time injuries and/or wholesale staff resignation. This could also include significant impact to staff’s professional reputation. For ASC this could include lawsuits and property and/or monetary loss.</p>
Yellow	Moderate	<p>The consequences may threaten continued effective provision of services and may require top-level intervention including additional funding for staff and/or training.</p> <p>Some consequences may not threaten the provision of services, but would mean significant management review and intervention. For the individual this could include major soft tissue injury or minor fractures; arrest or conflict with the law; loss of employment or other valued activity; social isolation from family and friends. For support staff this could include lost-time injury and increased staff turnover. For ASC this could include extensive repairs or replacement of property; some monetary loss; damage.</p>
Green	Low	<p>The consequences may threaten the efficiency or effectiveness of some services, but would be dealt with at the front line. For the individual this could include nuisance injuries, inconvenience or delay of desired activities; negative attention and/or disrepute; straining of relationships with family and friendships; running out of funds. For the support staff this could include stress from additional support demands and unmet needs of others.</p> <p>The consequences are dealt with by routine operations. Consequences can be largely ignored or are self-resolving without additional programming or costs.</p>

Likelihood Scale

Level	Likelihood	Description
Red	Certain	Event is expected to occur (e.g. has occurred regularly in the past or behaviours are increasing). The majority of the review team believes there is a greater than (>) 90% chance that the risk is likely to manifest.
Yellow	Probable	Event might possibly occur at some time (e.g. the event has occurred). The majority of the review team believes there is between a 20 – 90% chance that that the risk is likely to manifest.
Green	Unlikely	Event could occur at some time but is unlikely (e.g. the event has not yet occurred). The majority of the review team believes there is less than (<) a 20% chance that the risk is likely to manifest.

Risk Rating Table

Likelihood	Consequences		
	Green Low	Yellow Moderate	Red Critical
Red Certain	Yellow	Yellow	Red
Yellow Probable	Green	Yellow	Red
Green Unlikely	Green	Yellow	Red

Red	Unable to safely and effectively provide services
Yellow	Requires written plan
Green	Manage by routine process