



Industry
Partnership

Lessons Learnt – Part 1: Prevention & Mitigation, continued

Better Practice and Improvement Opportunities in the Management of COVID-19

Delivered by Samantha McGolrick 2 March 2022

Agenda

1. Risk Assessment – Lessons learnt (Do's and Don'ts) after conducting 33 quality assurance reviews of members' COVID-19 Management Plan.
2. Ventilation / Indoor Air Quality in a COVID-19 Climate with Andrew Orfanos

COVID-19 Management Plan

DCJ Components of a COVID-19 Management Plan

Figure 2.1.1 – Components of the COVID-19 Management Plan



A service provider COVID-19 Management Plan comprises of:

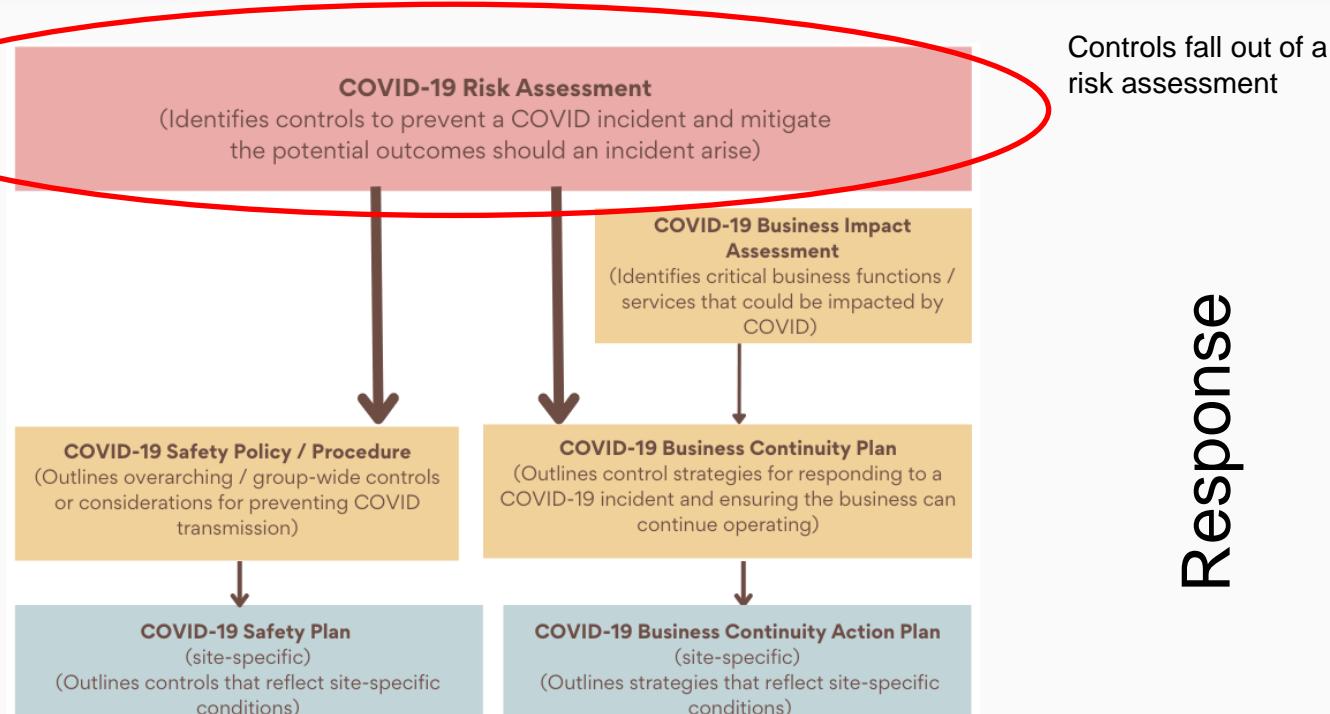
- A. a Risk Assessment (for each service setting and a plan to respond to each risk in day-to-day business)
- B. a Business Continuity Plan (how the Service Provider can continue to deliver services during a COVID-19 incident)
- C. a COVID-19 Safety Plan, if required by a Public Health Order (as outlined by the NSW Government)

COVID-19 Management FRAMEWORK

COVID-19 Management Framework

Prevention & Mitigation

Controls fall out of a risk assessment



Response

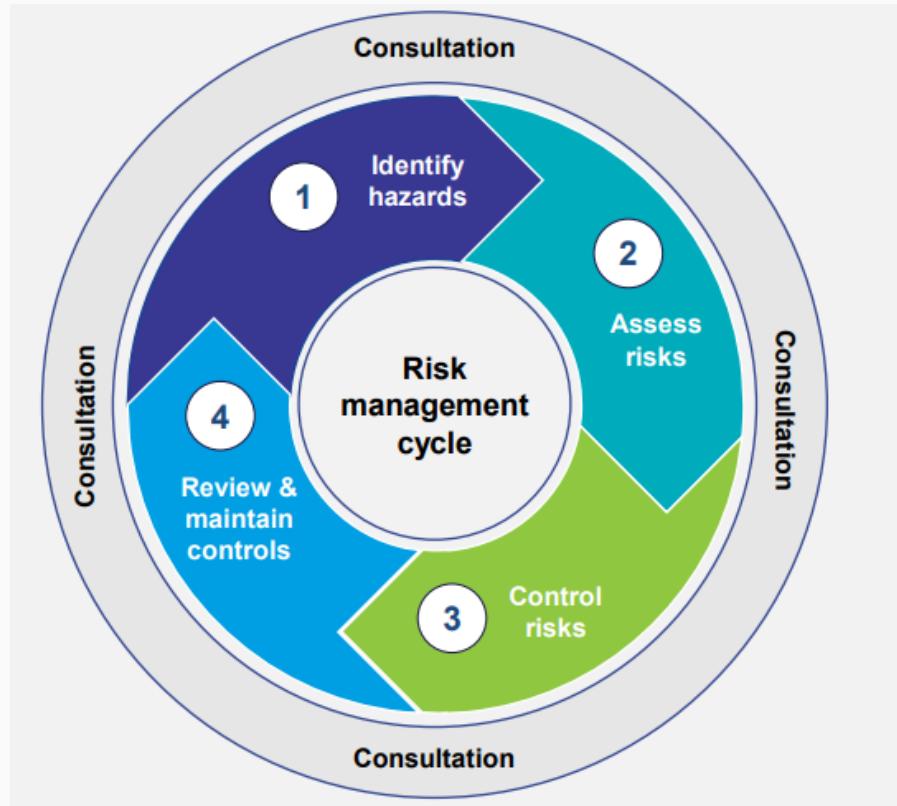
Controls fall out of a risk assessment

*Many members developed their COVID-19 Safety Plan and many of their controls for preventing and mitigating the risk of COVID-19 transmission **before** conducting a risk assessment, when it should have been the other way around – controls fall out of a risk assessment.*

Risk Management Cycle

The benefit of conducting a risk assessment is that it's a structured process that walks us through the **risk management cycle**:

- identifying hazards
- assessing risks
- identifying suitable controls and
- outlining how we will review and maintain those controls.



Source SafeWork NSW – Code of Practice: How to Manage Work Health and Safety Risks

Risk Matrix - 5 x 5 Health and Safety Risk Matrix

Likelihood and severity / consequence definitions should always be organization-specific (ie. management and board should have a level of oversight and endorsement of your definitions).

This generally happens as part of their role in reviewing and approving the organizational risk profile where a risk matrix is used to assess various organizational risks)

| | | SEVERITY | | | | |
|------------|---|---|--|--|---|--|
| | | Insignificant No first aid required or no impact on wellbeing. | Minor First Aid required or slight impact on wellbeing. | Moderate Medical treatment required, time off work or moderate impact on wellbeing. | Major Hospital admission required, significant time off work or substantial impact on wellbeing. | Extreme Fatality, life threatening injury / illness or permanent disability to one or more persons. |
| LIKELIHOOD | Almost Certain Expected to occur in most circumstances | Low | Medium | High | Critical | Critical |
| | Likely Will probably occur in most circumstances | Low | Medium | High | High | Critical |
| | Possible Might occur occasionally | Low | Medium | Medium | High | High |
| | Unlikely Could happen at some time | Low | Low | Medium | Medium | High |
| | Rare May happen only in exceptional circumstances | Low | Low | Low | Medium | High |

Source: Department of Communities & Justice

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Risk Matrix – Likelihood Definitions

| Likelihood | Description | Historical - expected event intervals | Probability |
|------------------|---|---------------------------------------|---------------|
| A Almost Certain | Expected to occur soon in normal circumstances. | Daily/Weekly | More than 95% |
| B Likely | Will occur in most circumstances, not surprised if it happens | Monthly | 51-95% |
| C Possible | Might occur in some circumstances | Every one to two years | 11-50% |
| D Unlikely | Could occur in some circumstances, surprised if it happens | Every two to 10 years | 2-10% |
| E Rare | May occur but only in exceptional circumstances | Every 10 to 100 years | 0.1-1% |

These two extra columns provide more context to the likelihood description and assists in applying a consistent approach – just be sure to not over rely on likelihood when assessing risk, focus more on consequence and the quality of your controls! Refer to the Industry Partnership Model COVID-19 Risk Assessment for a risk matrix.

Risk Matrix - 5 x 5 Health and Safety Risk Matrix

Don't introduce the DCJ risk matrix into your organization if you already have a matrix you are using – you generally don't want multiple risk matrices in use.

Multiple risk matrices makes it difficult to compare risks across the business, particularly senior management or the board when they're looking at the overarching risk profile. It also confuses those completing the risk assessment as to which risk matrix should be used.

| | | SEVERITY | | | | |
|------------|----------------|---------------|--------|----------|----------|----------|
| | | Insignificant | Minor | Moderate | Major | Extreme |
| LIKELIHOOD | Almost Certain | Low | Medium | High | Critical | Critical |
| | Likely | Low | Medium | High | High | Critical |
| | Possible | Low | Medium | Medium | High | High |
| | Unlikely | Low | Low | Medium | Medium | High |
| | Rare | Low | Low | Low | Medium | High |

Source: Department of Communities & Justice

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Risk Matrix – Consequence Definitions

| | | Consequence | | | | |
|--------------------------|--|---|---|---|--|---|
| | | 1 | 2 | 3 | 4 | 5 |
| | | Insignificant | Minor | Moderate | Major | Catastrophic |
| Operational | | None to very minor impact on XX operations - minor adjustments required; none to low reputational risk | minor impact on XX operations; minor damage to reputation | Operations hindered including due to impact of risk, time spent on dealing with issue including media, emergency meetings etc; public scrutiny and damage to reputation | Significant impact on operations of XX; intense public scrutiny and significant damage to reputation; loss of major partnerships | XX ceases to operate |
| Program & Event Delivery | | None to very minor impact on delivery of programs or events - minor adjustments required; none to low reputational risk | Minor impact on XX delivery of programs or events; minor damage to reputation | Multiple XX program or events unable to be rolled out; public scrutiny and damage to reputation, scrutiny by major partners | Core program or significant event affected; intense public scrutiny and significant damage to reputation; loss of major partnerships | Critical reputational attack on XX resulting in XX ceasing to operate |
| Safety & Health | | Causes ailments not requiring medical treatment | Causes distress or minor injury, distress/stress or mental health concern | Causes a moderate physical or psychological injury; | Causes significant physical or psychological injury, likely lasting or long-term effects | Death of a person that has had connection with XX |

This is an example of a service provider's consequence definitions as part of an “enterprise risk” matrix. We call this enterprise risk because it’s looking much broader than just health and safety.

Risk Matrix - 5 x 5 Health and Safety Risk Matrix

Include your risk matrix with your risk assessment – if you don't, it makes it more difficult for the reader to understand your ratings or to check that the ratings are correct.

| | | SEVERITY | | | | |
|------------|---|---|--|--|---|--|
| | | Insignificant No first aid required or no impact on wellbeing. | Minor First Aid required or slight impact on wellbeing. | Moderate Medical treatment required, time off work or moderate impact on wellbeing. | Major Hospital admission required, significant time off work or substantial impact on wellbeing. | Extreme Fatality, life threatening injury / illness or permanent disability to one or more persons. |
| LIKELIHOOD | Almost Certain Expected to occur in most circumstances | Low | Medium | High | Critical | Critical |
| | Likely Will probably occur in most circumstances | Low | Medium | High | High | Critical |
| | Possible Might occur occasionally | Low | Medium | Medium | High | High |
| | Unlikely Could happen at some time | Low | Low | Medium | Medium | High |
| | Rare May happen only in exceptional circumstances | Low | Low | Low | Medium | High |

Source: Department of Communities & Justice

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Risk Matrix - Risk Escalation

Ensure you include your risk definitions, otherwise the reader does not know or appreciate what each rating means.

Note: It's difficult to put "timeframes to act" in your definitions. Particularly when these actions are applied across various risks and operations. Is "Act now" and "Act today" really that different when it comes to practical implementation?

In general, timeframes can be difficult to comply with. Consult with workers if you're using timeframes to see how well or how easily they're implemented, and be aware that you don't need to have timeframes as part of your required action – see the next slide.

| Risk Level | Required Action |
|------------|---|
| Critical | Act now using the hierarchy of controls. |
| High | Act today using the hierarchy of controls. |
| Medium | Act this week using the hierarchy of controls. |
| Low | Act this month using the hierarchy of controls. |

Risk Matrix - Risk Escalation

Responsibility and escalation chart for each residual risk rating

| Residual Risk rating | Risk tolerance | Responsibility and Escalation |
|----------------------|--------------------------------|--|
| Extreme | Unacceptable | Wherever possible, do not undertake activity. If that is not possible, consider how risks will be mitigated - eg isolating, staff not attending, postponing. |
| High | Active Management | Advise not to do activity, or do it in a safer way, eg full PPE. Seek support if required from Supervisor to develop Risk Action Plan. |
| Medium | Tolerable - oversight required | Consider making the activity safer eg wearing a mask or doing activity outside. |
| Low | No action required | Manage and monitor with normal operational management practices. |

These tolerance definitions should have oversight or endorsement from your senior management and board

Here is an example of definitions for action that don't include timeframes, rather the focus is on the hierarchy of controls.

Risk Matrix - Risk Escalation

Good approach to clarify that the action required is applicable to a “residual risk” rating, not inherent risk.

Responsibility and escalation chart for each residual risk rating

| Residual Risk rating | Risk tolerance | Responsibility and Escalation |
|----------------------|--------------------------------|--|
| Extreme | Unacceptable | Wherever possible, do not undertake activity. If that is not possible, consider how risks will be mitigated - eg isolating, staff not attending, postponing. |
| High | Active Management | Advise not to do activity, or do it in a safer way, eg full PPE. Seek support if required from Supervisor to develop Risk Action Plan. |
| Medium | Tolerable - oversight required | Consider making the activity safer eg wearing a mask or doing activity outside. |
| Low | No action required | Manage and monitor with normal operational management practices. |

Risk Assessment - Layout and Readability

Layout and readability of your risk assessment:

- Always include a risk rating in your risk assessment because they are useful in helping you prioritise which risk or hazard should be addressed first. However, there is no right or wrong on whether to include inherent or residual, or both, it's a business decision.
 - We don't use risk ratings to determine if we need to do anything - if controls are available to us and they are not grossly disproportionate to the risk, then we should implement them.

Source: Department of Communities & Justice

Risk Assessment - Inherent vs Residual Risk

The importance of residual and inherent risk ratings

- A risk assessment is meant to be read from left to right. Given the meaning of inherent and residual risk, a risk before controls are implemented, a rating after controls are implemented, respectively), it makes sense that an inherent risk rating is to the left of controls, and a residual risk rating is the right of controls. In any case, name the risk rating in the column header so it's clear to the reader (i.e. "inherent risk rating").
 - It's better practice to include both an inherent and residual risk rating because:
 - it gives the reader context as to how significant the risk is if no controls were implemented.
 - it helps the reader appreciate how important the outlined controls are, particularly if those controls lower the inherent risk rating.

Source: Department of Communities & Justice

Risk Assessment - Controls

Risk Controls

- If you use this template, I suggest you rephrase the “Risk Controls” column to outline what controls are **currently in place**, then use the Risk Action Plan columns to outline controls that you need/ want to put in place.
 - Refer to the Industry Partnership Model Risk Assessment where we’ve outlined high and low order suggested controls for you to think about in your service. Some of our suggested controls might already be in place in your service, some might fall into your Risk Action Plan.

Source: Department of Communities & Justice

Risk Assessment - Controls

Risk Controls

- Refer to the Industry Partnership Model Risk Assessment where we've outlined high and low order suggested controls for you to think about in your service. Some of our suggested controls might already be in place in your service, some might fall into your Risk Action Plan.

| 2. Model COVID 19 Risk Assessment Tool for Homelessness Sector - Preventing a COVID-19 Incident | | | | | | | | | | | | | | | | | | | |
|---|--|--|--|--|--|--|---|--|--|--|---|---|--|--|--|--|--|--|--|
| Service Provider (Name): XX | | | | | | | | | | | | | | | | | | | |
| Prepared by: Samantha McGolrick, WHS Consultant | | | | | | | | | | | | | | | | | | | |
| Which workers were consulted in developing this risk assessment? TBC | | | | | | | | | | | | | | | | | | | |
| Signed by Manager: | | | | | | | | | | | | | | | | | | | |
| Description of Risk | | | | | | | | | | | | | | | | | | | |
| Risk ID | Hazard | Activity / Task Description | Workplace | Risk factors | Risk | Risk Prevention Categories | Suggested Controls | Existing Controls | Residual Risk | | | | | | | | | | |
| Risk identifier is numbered sequentially E.g. 001 | Hazard: What is the hazard? | Activities: What does your service do? | Where is your Service delivered? E.g. Office Premises, Residential Externally Located or Community Premises, Client Residence and Remote Community, Travel to and from various workplaces | Service Setting: How might this workplace increase the risk of COVID-19 incidents? Workers: How might your workers increase the risk of COVID-19 incidents? Clients / Residents / Communities: How might your clients increase the risk of COVID-19 incidents? | What is the potential harm or consequence to a person? | Prevention strategies: Which of the four COVID-19 prevention strategies are you assessing? (refer to Consequence Table and Risk Matrix and Conseq Table tab) | High Order Controls (don't rely on people) | Low Order Controls (rely on people) | Description of Controls | High Order Controls? Quality of Risk Controls | Residual Risk Rating | | | | | | | | |
| Office-001 | COVID transmission between workers or between a worker and "others" (i.e. clients or visitors - those impacted by your services) | Employees work in multiple locations (e.g. working with clients and/or other staff to provide case work or other activities) | Office premises (i.e. office building with multiple tenancies) | Service setting: Unable to prevent public from entering the premises. Workers: Workers may not be vaccinated or need COVID symptoms or warning. Clients: Clients are more concerned about how many clients are in the service setting, rather than physical distancing. They may also be more concerned about their own health and safety, rather than the health and safety of others. Clients may be unaware of COVID-19 case contact and/or they may be more likely to have an aggressive contact with COVID restrictions. Clients may not wear COVID symptoms or warnings. | Class 2 Employees, staff, volunteers and visitors who are unwilling to leave the premises | ELIMINATION: - Use outdoor settings where possible - Work virtually / from home where possible (flexible working arrangements) - Ensure all employees and visitors provide evidence of vaccination before entering the premises - Screen clients over the phone for COVID symptoms prior to entering the premises - Restrict clients from coming to the premises SUBSTITUTION: - Schedule job rotation to reduce exposure time in the office (this is also a "physical distancing" control) - Reduce the amount of time that people spend indoors together - Vaccinate workers - Screen client prior to entering the office / facility (i.e. temperature checks, self-assessment questionnaires, etc.) - Modify shifts, hours and rosters to reduce the number of workers interacting with different clients ENGINEERING: | ADMINISTRATION: - Display NSW Gov QR Code in a position that is easily seen to various parties (consider visibility, age, height). COVID Safe check-in/stops on the Service NSW app will alert people to the need to check-in on the same day at a confirmed case of COVID-19. - Monitor "check-in" activity to ensure people are checking-in - Identify position / role responsible for sending workers home should they exhibit symptoms - Develop a COVID-19 monitoring plan for monitoring COVID updates from, at the very least, NSW Health, NSW Gov and SafeWork NSW - Update client documentation to screen for vaccination and provide documentation on COVID controls as a means of consulting with clients - Establish a Business Continuity Plan (BCP) or dealing with a worker or client who tests positive to COVID, including advising close and casual worker contacts - Establish a communication plan for communicating COVID updates to workers (this includes contractors) | EXISTING CONTROLS: What controls are currently in place to reduce the risk of COVID-19 Incidents? Low Order Controls will often support High Order Controls (e.g. you may have engineering controls, as well as administration and PPE controls). | List your current controls (both high and low order controls) in each row aligned to the COVID Prevention Strategy | Are any of the controls you currently have in place high order controls? (refer to the last column in the HHS Risk Matrix & Conseq Table) | How effective are the existing controls at eliminating or reducing the potential consequence of the risk controls? (find the point where your potential consequence and effectiveness of controls intersect) | Using the HHS Risk Matrix, what is the potential consequence of the risk? | | | | | | | |
| Office-002 | COVID transmission between workers or between a worker and "others" (i.e. clients or visitors - those impacted by your services) | Employees work in multiple locations (e.g. working with clients and/or other staff to provide case work or other activities) | Office premises (i.e. office building with multiple tenancies) | Service setting: Workers: Don't have access to appropriate PPE and/or cannot maintain physical distancing requirements. Workers catch COVID-19 whilst travelling on public transport (to and from work). Clients: Don't have access to appropriate PPE and/or cannot maintain physical distancing requirements. | Class 2 Maintaining physical distancing | ELIMINATION: - Use outdoor settings when there is more space to implement physical distancing - Work virtually from home where possible (flexible working arrangements) - Reduce the amount of time that people spend indoors together - Ensure staff have access to video conferencing software to facilitate online meetings - Restrict regional travel SUBSTITUTION: - Increase the amount of time that people spend outdoors at the one time - Restrict the number of individuals in an indoor area at any one time ENGINEERING: | ADMINISTRATION: - Determine capacity limits for the premises, meetings rooms and public areas based on physical distancing capacity limits - Enact signage that communicates room and premise capacity limits upon entry - Encourage physical distancing between workstations, or in communal areas like staff rooms and kitchens - Where people queue for services, install signage that indicates safe physical distancing and deal with flows for the queue - Encourage staff to take breaks outside to reduce the number of people using the same workstation - All announcements are emailed, and deliveries are contactless | | | | Critical | | | | | | | | |
| | | | | | | | | | | Medium | | | | | | | | | |

Source: Industry Partnership Model COVID-19 Risk Assessment

Risk Assessment - Risk Action Plan

A Risk Action Plan:

- generally outlines what controls need to be put in place, by when and by who.
 - can sit next to your risk assessment as is done in the DCJ example risk assessment and the Industry Partnership Model COVID-19 Risk Assessment, or it can be a separate document - if it's a separate document, find a way to link these documents so the reader knows where to refer to if they want a more complete picture of the risk and perhaps current controls.

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Industry Partnership Model COVID-19 Risk Assessment

| 10. Risk Action / Treatment Plan | | |
|---|---|---|
| Agreed action/s | Who will undertake the actions? | Due Date |
| What actions will you take? <small>(If you listed Target Controls, outline what needs to happen next to implement that control)</small> | Who is in charge of completing the action <small>(who is responsible for actioning the target control?)</small> | When is the action due by <small>(when does the target control need to be implemented?)</small> |
| | | |

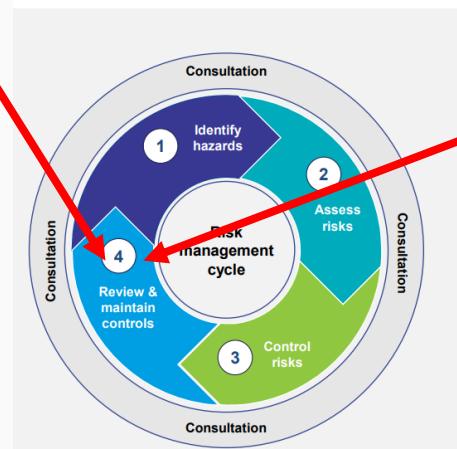
Risk Assessment - Review & Maintain Controls

Monitoring / Measuring the Effectiveness of Controls columns

- The purpose of these columns is to complete the risk management cycle – #4 Review and Maintain Controls
- Completing these columns also prompts you to think about how you're going to monitor whether the controls you've outlined are implemented AND effective – implementation is different than whether a control is effective in eliminating or mitigating a risk.

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| Measuring effectiveness of risk controls | |
|---|--|
| How effective has this risk control been? | Is there anything more you need to do to control this risk? By when? |
| | |
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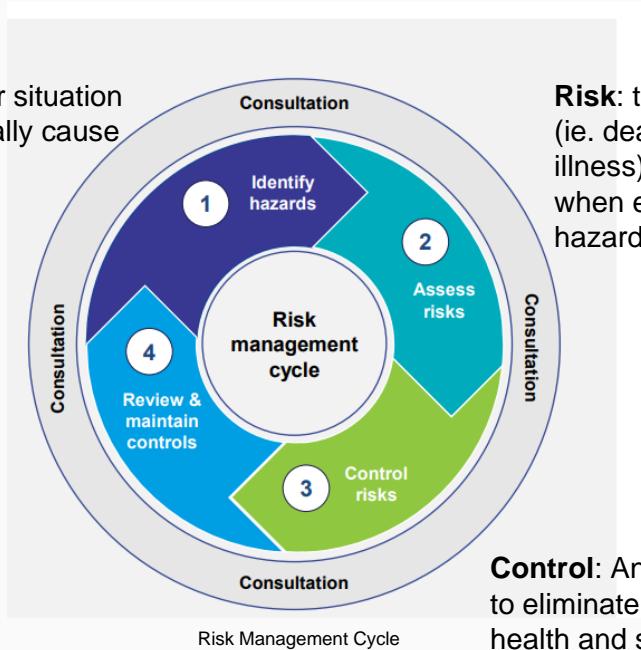
Industry Partnership Model COVID-19 Risk Assessment

| 11. Monitoring Strategy | |
|---|--|
| Monitoring Activities | Accountability |
| What ongoing monitoring activities are required to ensure this risk is implemented and effective? | Who is responsible for conducting the monitoring activities (i.e. role or department)? |
| | |

Risk Management Cycle

- A bit of confusion between hazard and risk.
- Some tasks were more controls than a hazard.

Hazard: A thing or situation that could potentially cause harm to people.



Risk: the possible harm (ie. death, injury or illness) that might occur when exposed to the hazard.

Control: An action taken to eliminate or minimise health and safety risks, so far as is reasonably practicable.

Next Steps

| What | When |
|---|-------------------|
| Complete an Industry Partnership Model Business Continuity Plan | Mid-March 2022 |
| Provide training on how to use the Model BCP in Community of Practice meeting | End of March 2022 |
| Provide Lessons Learnt – Part 2 in Community of Practice (response strategies) | April 2022 |