

QMS Implementation Guide

Prepared by Centro ASSIST

Version 1.7

July 2022

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Introduction

This guide has been prepared for Administrators to assist with the implementation and adoption of the Centro QMS within your organisation.

The guide is split into 5 sections, based on the modules available within the system. Each section contains a series of steps that can be completed sequentially as a 'checklist'. The steps are not prescriptive, so customers can take what they need from the guide to suit their own circumstances.

Throughout the guide we refer to the Centro [Support Portal](#), which contains a series of 'how-to' articles to assist with usage queries.

Before we go into each step, we first wanted to discuss change management principles in the context of implementing the system.

Change Management Principles

Like any major change, organisations who achieve the greatest value from the Centro QMS incorporate best practice change management principles and techniques into their implementation project.

Whilst there is plenty of literature on change management accessible on the internet, we thought it would be useful to highlight some principles and techniques we think are important to consider, which are shown below. These have also been incorporated into the implementation steps.

 <p>1. Assemble a project team</p> <p>Don't do it alone! Even in a small organisation, enlisting the help of 1 or 2 staff to champion implementation and adoption will spread the tasks and ensure a better outcome for your organisation.</p>	 <p>2. Plan out the project</p> <p>Once you have assembled a project team, plan out the project and allocate initial tasks. As you work through the steps, this will help you determine if the project is running to schedule.</p>	 <p>3. Generate buy-in among employees</p> <p>Communication is the "golden thread" that runs through the entire practice of change management. Regular, clear and open lines of communication to employees throughout the implementation will generate more buy-in and lead to greater adoption.</p>	 <p>4. Reinforce the change</p> <p>Similar to the previous, after the initial roll out the project team should check-in with employees to gather feedback and use it as an opportunity to reinforce the change.</p>
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Base Module – Policies, Processes and Documents

The Base Module includes the functionality to manage policies, regulations, processes, work instructions and documents. The steps required to implement the module are shown below.

Step	Description
1	Add initial users
2	Set-up and configure system
3	Review, customise and approve content
4	Set-up required reading
5	Add remaining users (onboard employees)
6	Maintain content

Step 1 – Add initial users

The first step is to add your project team as users of the system. Once a user is added, they will receive an email invitation and will be prompted to create a password and sign in.

As part of the process of adding a user to the system, a permission level must be chosen. For the initial project team, we recommend using the ‘Administration’ permission, which gives users permission to configure the system as well as edit, approve and publish content.

For assistance with adding users [click here](#).

Step 2 – Set-up and configure system

The next step is to set-up and configure the system. This includes the following:

Type	Description	Support Portal Link
Categories	Categories are assigned to each content type – processes, work instructions, policies and documents. They are essentially the ‘menu’ that the content will be assigned to. By default, the categories will be aligned to the NDIS Practice Standards, but you may wish to review and amend these.	For assistance with how to review and manage categories, please click here .
Welcome text	The system comes with default welcome text on the home screen, that you may wish to replace to suit your organisation.	For assistance with how to review and manage welcome text, please click here .
Home page image and document logo	The system comes with a default image on the home screen that can be replaced with an image of your choosing. A logo can also be added to the PDF process and policy booklets.	For assistance with how to review and manage the home page image and document logo, please click here .

Notifications	A number of email notifications can be enabled within the system, including content next review dates, new incidents, complaints and feedback, required reading, new internal audits and app feedback.	For assistance with notifications please click here .
Roles	Roles are used for process mapping, browse tabs, required reading and knowledge testing.	For assistance with adding roles please click here .

Step 3 – Review, customise and approve content

The next step is to review, customise and approve the content:

1. Review – this involves reading through the policy or process to gain a deeper understanding of the document and decide if customisation is required. It will also involve a review of any linked glossary terms.
2. Customise – at a basic level this may involve adding your organisation’s name, however some customers may wish to add in additional detail to make the policy more specific to their organisation (note: for customers that have engaged the Centro team to migrate existing documentation, customisation may have been carried out by Centro).
3. Approve – this involves taking each policy/process through a publish cycle to add the initial version control information. This will include:

Field	Description
Approved By	The person(s) within the organisation responsible for approving (note: must be set-up as an Administrator within the system)
Approved On	The date the policy/process is approved
Change Summary	A description of what was changed, to be recorded in the version history table
Next Review	The date the policy/process is due to be reviewed

This can be done by opening the policy/process and clicking the ‘Start Editing’ button. From there you can make any edits required. When you finish editing and get to the approval stage of the workflow, you will be prompted to enter the version control information.

Review linkages between content

One of the main benefits of the system is the links between processes and related policies, documents and roles. This allows employees to easily navigate through the system and see, for example, documents related to a policy.

Customers also use this step to add any additional documents into the system, in order to link them to polices/processes. For assistance on adding documents, please [click here](#).

A listing of links to review are detailed below:

Process

Relevant documents	Links a document to the process
Related policies	Links a policy to the process

Process step

Work instructions	Links a work instruction to the step
Documents used in step	Links a document to the step
Policies relevant to step	Links a policy to the step

Work instructions

Related documents	Links a document to the work instruction
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Policy

Related regulations	Links a regulation to a policy
Related documents	Links a document to a policy

Adding Documents

If you would like to add your own documents (e.g. forms, registers etc) to the system, this can be done one at a time (through the 'Add Document' feature) or in bulk via the Centro team.

To add documents one at a time, please follow [this guide](#).

To add documents in bulk please arrange to send the documents to your Account Manager, along with an excel file that maps the relevant policies to each document. The Account Manager will then coordinate adding the documents and linking to the relevant policies.

Step 4 – Set-up required reading

Required reading is an optional feature used to obtain acknowledgement from employees that they have read and understood a policy, process or document.

You can create required reading lists for a group of employees using the role feature. The initial set-up of roles is discussed in Step 2 above. The steps for set-up from there are:

1. Go to People > Roles
2. Open the applicable role and click "Start Editing"
3. In the "REQUIRED KNOWLEDGE" section, add the policies, processes and documents for required reading (see screenshot below)
4. Save, approve and publish the role for the required reading to take effect
5. Assign the applicable roles to the users (note this can be done via bulk import, discussed in Step 5)

People > Roles

People Manager Draft v2 Finish All Editing

Role Version

Add

REQUIRED KNOWLEDGE

Relevant material: Abuse, neglect and exploitation (QLD) Draft v1 Policy ✕

Add

VIEWING & SEARCH

Keywords for 'Search': this

Remove from view: Hide this item from being viewed, listed, browsed, edited and searched for

For further assistance on set-up of required reading, please [click here](#).

Users assigned to the role will be responsible for confirming they have read and understood the assigned materials.

Home > My Knowledge Search

Required Reading ↑

List of all material that you need to read and understand, for the roles you perform in your job View Change Details Open

Item name	Item type	Change summary	Reading Status
<input type="text" value="filter list to text entered here"/>	<input type="text" value="filter list to text ..."/>		All ▼
Authorise regulated restrictive practice	Process	a	! Required Reading
Assess behavioural support needs	Process	a	✓ Read & Understood

Processes > Processes Search

Assess behavioural support needs Start Editing 🔄 ↓ ↑

Step-by-step

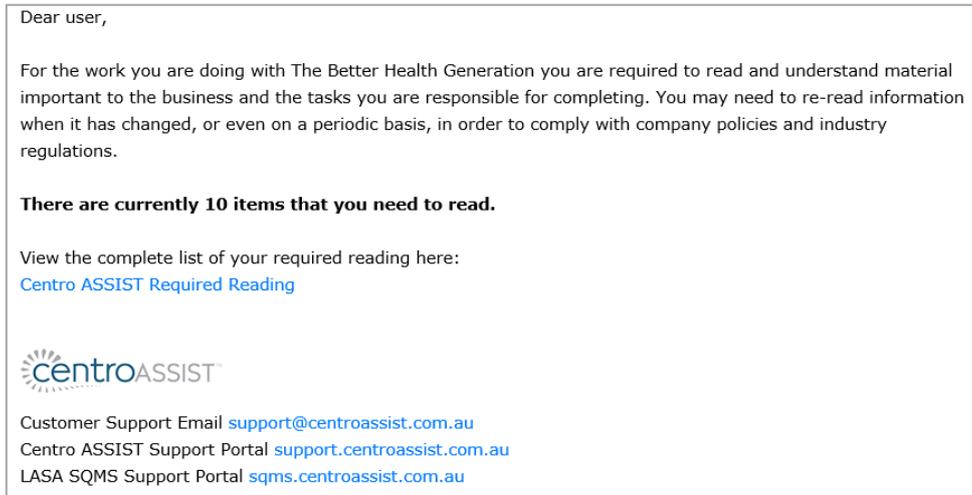
One of your work roles requires you to read and understand this Process. No version of this item has been confirmed as read and understood.

After you have read it, confirm this using the 🔄 button to the top-right. OK

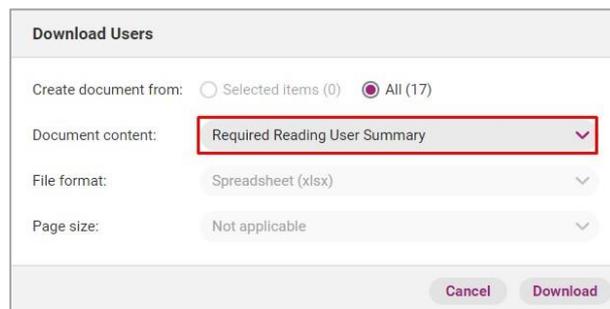
Behaviour support plans for people with disabilities:

- outline a range of evidence-based, person-centred, and proactive strategies focused on each person's specific needs

Email reminders will also be sent on the first day of every month to any users assigned to these roles advising that they still need to complete required reading.



A report is also available to Administrators to view Required Reading status of all users within the organisation or a group of users assigned to a specific role. This functionality is available under the 'People' and 'Users' sub tab. Select the 'Download' option and select 'Required Reading User Summary' for specific roles or All users.



The report is only available as an Excel spreadsheet and has multiple sheets:

- Sheet 1 – **Required Reading still to-do**: List of users that still have required reading left to do.
- Sheet 2 – **User Reading Summary**: A list of all users in the organisation and a summary of required reading status.
- Sheet 3 – **Required Reading Itemised**: Contains a list of users by each required reading item, when they last read it and if they have read the latest version.

User's email address / sign-in	First (given) name	Last (family) name	Total items	Already read	Any that still need to be read & understood?
matthewkingbp@bmsnex.com	Matt	King	5	1	Y
orgadmin@bmsnext.com	orgadmin		38	3	Y
userA@bmsnext.com	user	A	4	0	Y

Step 5 – Add remaining users (onboard employees)

Once the content and the system are finalised the next step is to onboard employees. This is a critical part of the implementation and often overlooked.

By this stage, the project team should be familiar with the content and the system and have been having discussions with management and employees in order to build ‘buy-in’.

Although the system provides the ability to invite employees (either one at a time or in bulk via the Centro team) we recommend undertaking some form of pre invitation communication, such as an email. This is discussed further below.

Pre invitation communication

We suggest that an initial email be sent out during the migration process to announce the introduction of the new system followed by another email to employees 1-2 weeks prior to their initial invitation.

The announcement email should include:

- Introductory details about the system and why it is being introduced.
- Some approximate timelines.

The pre invitation email should include:

- Details of the email invite – e.g. when it will be sent, who the sender is etc.
- A prompt to save/record their password as they will need it for future log-ins.
- Details of what is expected of them once they have logged in and any applicable deadlines – e.g. read all relevant material, undertake the knowledge tests etc.

You may also like to consider incorporating a prize or game. For example, the first 10 employees who sign in and complete the knowledge tests receive a prize.

From our experience, providing this information up-front ensures a higher percentage of employees who sign in and complete the tasks.

Email invitation to employees

As mentioned above, adding users to the system can be done one at a time (through the ‘Add User’ feature) or in bulk via the Centro team. In both instances an email invitation will be sent to the user(s) prompting them to log-in and set-up a password. Note that there is currently no way of adding users to the system without triggering an email invitation.

To add a user one at a time, please follow [this guide](#).

To undertake a bulk invitation – an excel file with the first name, last name, email address, permission and role(s) of each employee can be sent to your Account Manager, who will then coordinate a date and time for the email invitations to be sent. Please note the following:

- Email addresses are used as the unique identifier and therefore cannot be shared between employees.
- Once the excel file is sent through, the Centro team generally needs 2-3 working days to schedule in the email invitation.
- The sender of the email will be “Centro ASSIST” from the email address noreply@centroassist.com.au
- The email invitation is based off a template and cannot be altered, see template below:



Step 6 – Maintain content

One of the main benefits of the system is that a ‘next review’ date can be set for each policy and process (see Step 1). This allows Administrators to know when a particular policy or process is due for review.

While many clients will have a defined review period as part of their quality system, we recommend undertaking an annual review of the policies and processes within the system to ensure that the content is up to date with changes to legislation and best practices.

We also recommend incorporating policy and process changes into your organisation’s continuous improvement practices. This typically involves collecting information about things that are working well and not working well, deciding if an issue presents a risk and changing applicable policies and processes. These changes are then monitored and reviewed at appropriate intervals to determine if they are effective.

Centro ASSIST also publishes quarterly content updates and legislation reviews to ensure that customers have all of the information necessary to maintain their policies and processes.

Knowledge Testing Module

The Knowledge Testing Module is a great tool for onboarding employees as it gives them motivation to log-in, review the content relevant to their role and complete the applicable knowledge tests. This in turn provides your organisation with assurance that employees have understood the policies.

The steps required to implement the module are shown below.

Step	Description
1	If required, add additional knowledge tests
2	Set-up knowledge tests
3	Add remaining users (onboard employees)
4	Monitor progress
5	Deactivating and re-triggering knowledge tests

Step 1 – If required, add additional knowledge tests

Customers have the option of adding their own knowledge tests to complement the existing tests within the system.

This involves completing an excel template with the additional question/answer content required. The Centro team will then code, test and deploy the changes to your system. For further information, please [click here](#).

Step 2 – Set-up and configuration

Once any custom knowledge tests have been added, the next step is to set-up the knowledge testing for employees.

To do this, go to Admin > Knowledge Tests and open each knowledge test. For each knowledge test, review and update each section shown below:

General Details

Includes display name and description:

GENERAL DETAILS	
Display name:	Governance and Operational Management 
Description:	Knowledge test on the governance and operational management responsibilities for the NDIS provider 

Required Knowledge

Includes relevant material:

REQUIRED KNOWLEDGE

Relevant material:

Complaint management	Policy
Conflict of interest	Policy
Continuity of supports	Policy
Incident management	Policy
Maintenance, records and audit	Policy
Manage complaint	Process
Risk management	Policy
Worker screening	Policy

[Link to](#)

Who Takes This Test

Includes roles, re-testing and deactivation:

WHO TAKES THIS TEST

Roles:

[Add](#)

Requires re-testing: Roles to whom this test is relevant, will be required to re-take this test

Deactivate test: Deactivate this test and unassign it from any users for completion

By default, knowledge tests will be displayed to all users. This can be changed by assigning one or more roles to a knowledge test. Once a role has been assigned, the knowledge test will only be displayed to those users with that role.

Step 3 – Add remaining users (onboard employees)

As mentioned above, the module is a great tool for onboarding employees and can be incorporated into Base Module Step 5. We suggest adding the following to that step:

- Include details on the knowledge testing task in the pre-invitation communication.
- Set a timeframe for completing the knowledge tests e.g. 2 weeks, 4 weeks etc.
- Send reminder emails when appropriate, encouraging employees to complete the tests if they have not already done so. Currently reminder emails cannot be sent from with the system and must be sent using your organisation’s email system.

Step 4 – Monitor progress

To monitor progress of employees, you can view the number of tests that each user has passed in the ‘Users’ tab of system:

Users Roles

List of people who can use this web app

	First (given) name	Last (family) Name	Email / sign-in	Permissions	Roles	Tests passed	Status
BN	Bruce	Nixon	Bruce.Nixon@holocentric.com	Administrator		0/9	Signed-out
JB	Jack	Burney	Jack.Burney@holocentric.com	Administrator		0/9	Signed-in
JB	Jo	Bloggs	elina.taranenko@holocentric.com	Administrator		0/9	Signed-in
MR	Matt	King	matthewkingbp@gmail.com	View standard items		0/9	Signed-out
UD	User	One	user.one@centroassist.com.au	View standard items	Front-line Worker	0/9	Signed-out
UT	User	Two	User.Two@centroassist.com.au	View standard items	Office Worker	0/9	Signed-out

Users can download knowledge test scores for all users of the organisation or specific users. This functionality is available under the 'People' and 'Users' sub tab. Select the 'Download' option and select 'Knowledge Test Scores' for specific users or All users.

The spreadsheet report has multiple sheets:

Sheet 1 – Knowledge Tests Completed: List of all completed knowledge test result entries, with details of who completed it, when last taken, score, and whether or not they've passed.

Sheet 2 – Knowledge Tests To-Do: List of all incomplete/non passing knowledge test result entries, with details of who completed it, when last taken, score, and whether or not they've passed.

Sheet 3 – User Summary: List of all users with details of total complete, total assigned, whether they have tests still to-do, and average test complete score.

23/06/2021 1:57:11 PM										
	A	B	C	D	E	F	G	H	I	J
1	Knowledge Test scores - Completed									
2	Centro									
3	08 Sep 2021									
4										
5	User's email address / sign-in	First (given) name	Last (family) name	Knowledge Item	Correct Answers	Total Number of Questions	Last Score	Test Passed	Date Last Taken	
6	userA@bmsnext.com	user	A	item A	3	12	25.00%	N	#####	
7	riskeditor@bmsnext.com	riskeditor	1	item e	7	7	100.00%	Y	#####	
8	orgadmin@bmsnext.com	orgadmin	1	kt12	4	12	33.33%	N	#####	
9	orgadmin@bmsnext.com	orgadmin	1	item e	7	7	100.00%	Y	#####	
10										
Knowledge Tests Completed Knowledge Tests Still To-Do User Summary										

Step 5 – Deactivating and re-triggering knowledge tests

In certain circumstances it may be necessary to deactivate or re-trigger knowledge tests for completion.

To deactivate the test for all users:

1. Go to Admin > Knowledge Tests and open the knowledge test
2. Click edit
3. Deactivate the knowledge test checking the tick box at the bottom of the page
4. Click save

To re-trigger the knowledge test for completion:

1. Go to Admin > Knowledge Tests and open the knowledge test
2. Click edit
3. Tick the 'require re-testing' check box
4. Click save

Internal Audit Module

The Internal Audit Module gives providers the ability to “plan, do and review” an annual schedule of audits using our ready-made NDIS Practice Standard and operational audits.

The steps required to implement the module are shown below.

Step	Description
1	Set-up and configuration
2	Creating an audit schedule
3	Conducting an audit
4	Reviewing and approving an audit
5	Monitoring and continuous improvement

Step 1 – Set-up and configuration

There are 2 types of configurations required as a first step:

Type	Description	Support Portal Link
User permissions	<p>The applicable permissions to choose from are:</p> <ul style="list-style-type: none"> • Audit data entry – Can download/upload audits • Audit approval – As above plus approve audits • Administration – As above plus manage users, business units and notifications <p>At a minimum a user will need the ‘Audit data entry’ permission to access the Audit tab.</p>	For assistance with how to assign permissions to users, please click here .
Business units	<p>The module allows you to create unique audit schedules for each business unit within an organisation, which could be a facility, department or service line. Depending on the size and complexity of your organisation, it may be necessary to set-up these business units in the system.</p>	For assistance with how to set-up business units, please click here .

Step 2 – Creating an audit schedule

Once user permissions and business units (if applicable) have been set-up, the next step is to create a schedule of audits for your organisation.

As mentioned in Step 1, schedules can be set-up for each business unit. If no business units have been set-up, the schedule will apply to the whole organisation.

Organisations can choose from any of our NDIS Practice Standard or operational audits as listed below:

NDIS Practice Standards	Operational Audits
CM1 Rights and Responsibilities	OP01 Work Health and Safety
CM2 Provider Governance and Operational Management	OP02 Emergency Management
CM3 Provision of Supports	OP03 Medication
CM4 Support Provision Environment	OP21 Participant Files
SM1 High Intensity Daily Personal Activities	OP31 General Cleaning
SM2 Specialist Behaviour Support	OP32 Housekeeping
SM2A Implementing Behaviour Support Plans	OP33 Vehicle Maintenance
SM3 Early Childhood Supports	OP71 Staff Training
SM4 Specialist Support Co-ordination	OP72 Staff Records
SM5 Specialist Disability Accommodation	OP73 Infectious Diseases

The benefit of setting up the audit schedule is that it becomes the plan from which organisations will complete their audits, in line with the due dates.

It also satisfies the requirement of the NDIS Practice Standards to have a:

“documented program of internal audits relevant (proportionate) to the size and scale of the provider and the scope and complexity of supports delivered.”

Core Module > Governance and Operational Management > Quality Management

The frequency of audits should therefore be in line with the above. We suggest a 12 month cycle for small organisations providing low risk supports and a 3-6 month cycle for larger organisations providing higher risk supports. It may also be appropriate to revert to shorter frequencies if major non-compliances are found.

For assistance with how to create the audit schedule, please [click here](#).

Step 3 – Conducting an audit

Once the schedule has been created, the next step is to conduct the audits in line with their due dates. For each audit, this would involve the following steps:

- Using the “to-do” view, click on the audit
- In the “audit” tab, download the MS excel audit document
- Complete the audit as per the instructions included in the document
- Once complete, upload the audit document back into the system along with any supporting evidence (note the score will be automatically recorded)
- Click on “Overall Result and Approval”
- Add in an explanation of overall result and overall recommendations

For assistance with downloading and completing audits (including scoring system information), please [click here](#).

For assistance with uploading audits please [click here](#).

Step 4 – Reviewing and approving an audit

The next step is to review and approve the audit. Note that this step can only be performed with Audit Approval or Administrator permission.

Once the user is satisfied all information has been entered correctly, the “approve” button can be clicked. The user can revert the approval if required.

For assistance with approving an audit, please [click here](#).

Step 5 – Monitoring and continuous improvement

One of the main benefits of the module is the ability to monitor performance over time using the ‘performance timeline’ view. An example is shown below:

Audit	December 2019	March 2020	June 2020	September 2020
CM1 Rights and Responsibilities	81%	96%	To-Do	To-Do
CM2 Provider Governance and Operational Management	79%	91%	To-Do	To-Do
CM3 Provision of Supports	87%	92%	97%	To-Do
CM4 Support Provision Environment	60%	98%	To-Do	To-Do
OP01 Work Health and Safety	98%	To-Do	To-Do	To-Do
SM2 Specialist Behaviour Support	68%	To-Do	To-Do	To-Do

By using the colour coding and scoring system, organisations can monitor performance and demonstrate continuous improvement over time.

Registers Module – Risks & Controls

The Risks and Controls item types within the Registers Module allow you to conduct risk assessments, assign controls and capture both risks and controls in separate registers. These tasks form part of the overall risk management system for your organisation.

Note these registers are suitable for organisation based ‘risks’ and ‘controls’ as opposed to WHS or participant ‘risks’ and ‘controls’.

The steps required to implement the module are shown below.

Step	Description
1	Set-up and configuration
2	Add risks and controls to system
3	Conduct risk assessments
4	Monitoring and continuous improvement

Step 1 – Set-up and configuration

As a first step, the following configuration is required:

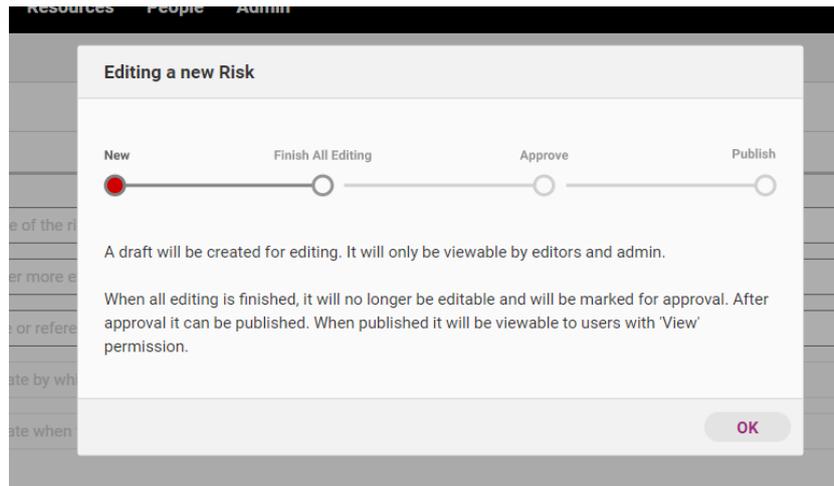
Type	Description	Support Portal Link
User permissions	The module comes with Risk Editor and Risk Viewer permission levels. By default, Administrators will be given Risk Editor permission. Depending on the size and complexity of your organisation, it may be necessary to assign users with these permissions.	For assistance with how to assign permissions to users, please click here .

Step 2 – Updating/ Adding risks and controls to system

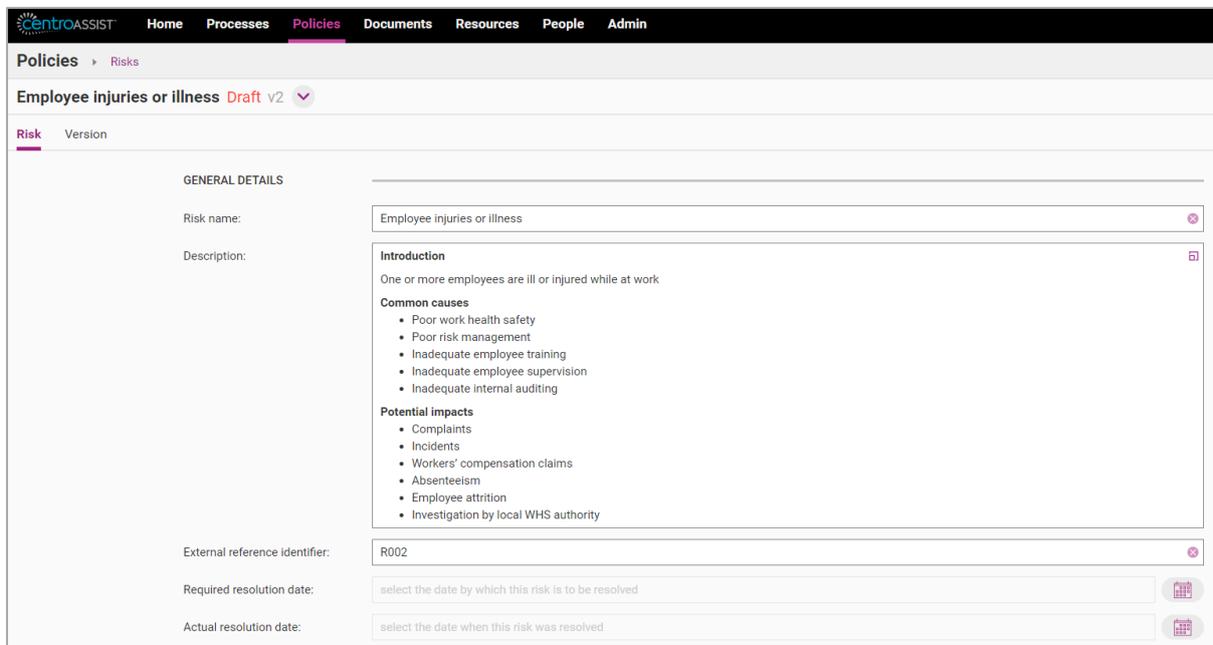
Centro Assist provides an initial template of Risks and Controls that are setup within the web portal for review. In this step you will need to review, update or delete each entry based on their relevance to your organisation. Alternately you can request that these are not loaded into the web portal and your team can migrate your current organisation’s existing risk register into the system and/or create new risks (if applicable). You will also need to migrate controls and/ or add new controls (if applicable).

Navigate to the ‘Policies’ tab, then to the ‘Risks’ tab and click ‘Add New Risk’.

Note that risks and controls are ‘release managed’ items as they are typically reviewed by management on an annual basis. In the system, this means the release management workflow will appear when you click ‘Add New Risk’ as shown below.



Enter the general details of the risk. An example is shown below.



Note you can create different sections or headings in the description field.

In conjunction with this, navigate to the 'Controls' tab. Using the 'Add New Control' button, enter the general details of the control. An example is shown below.

Policies > Controls

Employee training and development Draft v1

Control Version

GENERAL DETAILS

Control name: Employee training and development

Description: Each employee has an individual training and development plan

Position responsible: select a position that will be responsible for this control Select

Type: Manual

Nature: Preventative

Priority: Secondary

Frequency: Annual

RELATED ITEMS

Mitigates these risks:

- Employee injuries or illness Draft v2
- Mismanagement of NDIS payments
- Non-compliant medication management
- Participant dissatisfaction

Add

Importantly, to map the controls to the risks, use the ‘add’ button shown above. In the above example, the ‘employee injuries or illness’ risk is now mapped to the ‘employee training and development’ control. This is a critical step before the risk assessment is carried out.

Step 3 – Conduct risk assessments

Once the details of the risks/controls have been entered and the controls used to mitigate each risk have been mapped, the next step is to conduct the risk assessments.

The goal of a risk assessment is to establish both the likelihood and consequence of the risk occurring, resulting in an overall risk rating.

The likelihood and consequence ratings in the system are based on the risk matrix shown below:

		Consequence				
		Insignificant	Minor	Moderate	Major	Extreme
Likelihood	Almost certain More than 90% likelihood of occurring	Medium	Medium	High	High	High
	Likely Between 50% and 90% likelihood of occurring	Low	Medium	High	High	High
	Possible Between 20% and 50% likelihood of occurring	Low	Medium	Medium	High	High
	Unlikely Between 10% and 20% likelihood of occurring	Low	Low	Medium	Medium	High
	Rare Less than 10% likelihood of occurring	Low	Low	Low	Medium	High

Note the actual risk assessment process will vary from organisation to organisation, and may involve workshops, meetings, surveys etc.

Once the assessment has been carried out, enter the likelihood, consequence and overall rating both without and with the controls used to mitigate the risk:

ASSESSMENT		
Inherent risk likelihood:	Possible	Rating without controls
Inherent risk consequences:	Moderate	
Inherent risk rating:	High	
Likelihood with Control:	Unlikely	Rating with controls
Consequences with Control:	Minor	
Risk rating with Control:	Low	

Importantly, if the rating with controls is still unacceptably high for your organisation, improvements will be required to bring the risk rating down to an acceptable level. Refer to the [Improvements](#) section for assistance with implementation.

Prior to publishing the risk, ensure a Next Review Date is entered at the approval stage of the release management workflow:

Approve this Risk

Start Editing Finish All Editing **Approve** Publish

Approve that "Employee injuries or illness" is ready to publish.

Approved by:
 Select

Approved on:
 Calendar

Next review:
 Calendar

Summary of what was changed:

Cancel Approve

The end result of Step 3 is an up-to-date risk register:

Risk name	Inherent rating	Rating with Control	Next review	Status
filter list to text entered here	filter list to t...	filter list to text ...		Published
Employee injuries or illness	High	Low	31 Dec 2021	Published v1
Flood damage to company assets	Medium	Low	31 Dec 2021	Published v1
Mismanagement of NDIS payments	High	Low	31 Dec 2021	Published v1
Non-compliant medication management	High	Medium	31 Dec 2021	Published v1
Participant dissatisfaction	Medium	Low	31 Dec 2021	Published v1

Step 4 – Monitoring and Continuous Improvement

The completed risk register from Step 3 should be reviewed in accordance with your organisation’s risk management policy. Most organisations will conduct a complete re-assessment of risks every 6 months to 12 months. The purpose of the re-assessment is to determine if the risk rating has changed or if the controls used to mitigate the risks are still adequate.

In the system, this will mean creating a new draft of the risk, updating the risk rating, updating/adding controls and updating the next review date.

For monitoring, reporting and analysis purposes, the risk register can also be exported in excel format using the ‘Download’ button shown below.

The screenshot shows the 'Policies' section of the CentroASSIST system. The 'Risks' sub-section is active, displaying a table of risks. Above the table, there are buttons for 'Delete', 'Download' (highlighted with a red box), 'Open', and 'Add New Risk'. The table contains the same five risk entries as shown in the previous image.

Registers Module – Incidents, Feedback, Complaints & Improvements

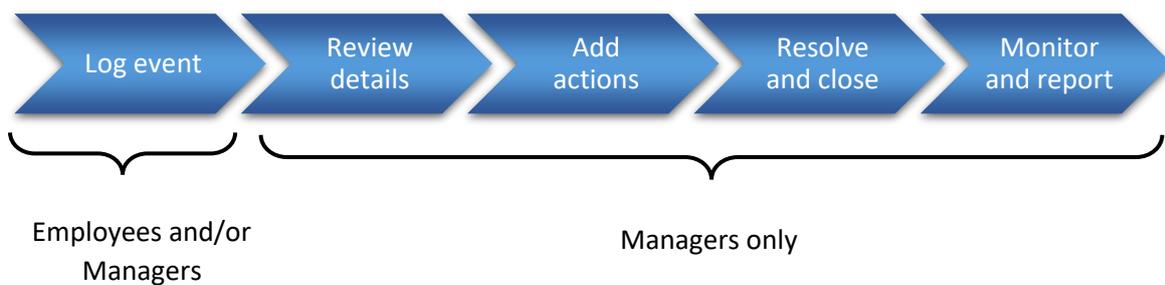
Incidents, feedback & complaints

These item types can be used to record, manage and report on one or more of the following (referred to as ‘events’ throughout the guide):

- Incidents
- Feedback
- Complaints

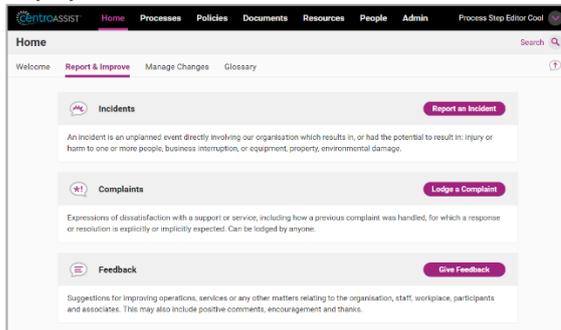
If certain registers are not applicable to your organisation, we can hide these from view. For example, if you did not want to have the incident register visible, we can hide the incident register but keep the feedback and complaints registers visible.

The workflow built into each register is shown below:

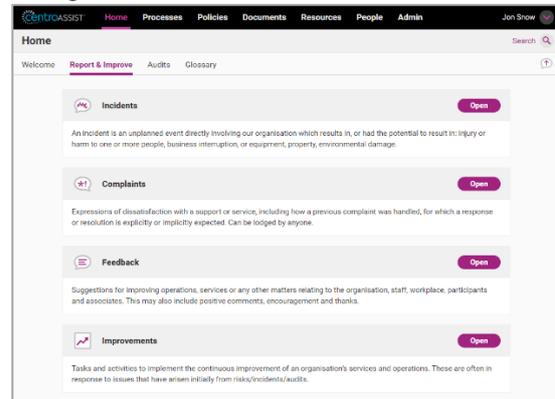


- 1. Log event** – Employees and/or Managers log the initial details of the event using standard report forms accessed through the ‘Report and Improve’ tab:

Employee View

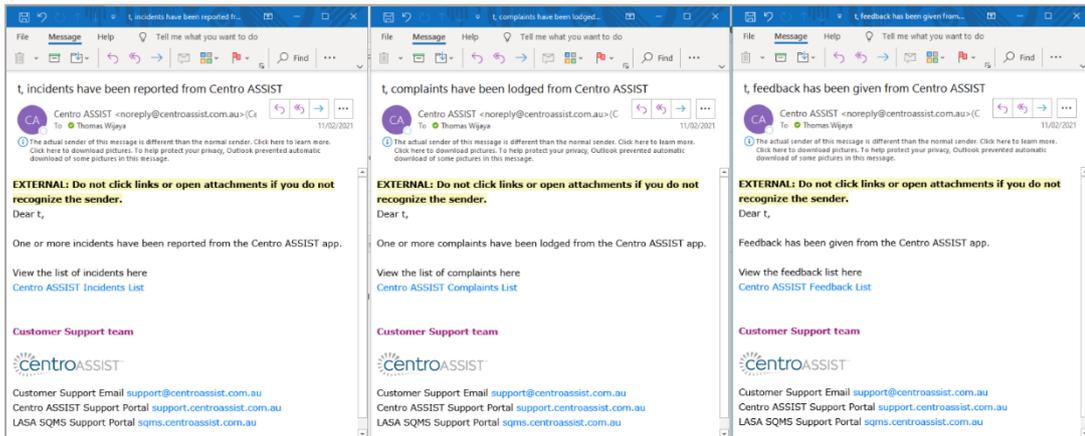


Manager View



Organisations can choose whether they want employees to be able to log events or have managers only log events. This is discussed further in Step 1 below.

As soon as the details of the event are saved, a notification email will be sent to Managers. An example of each type of email notification is shown below:

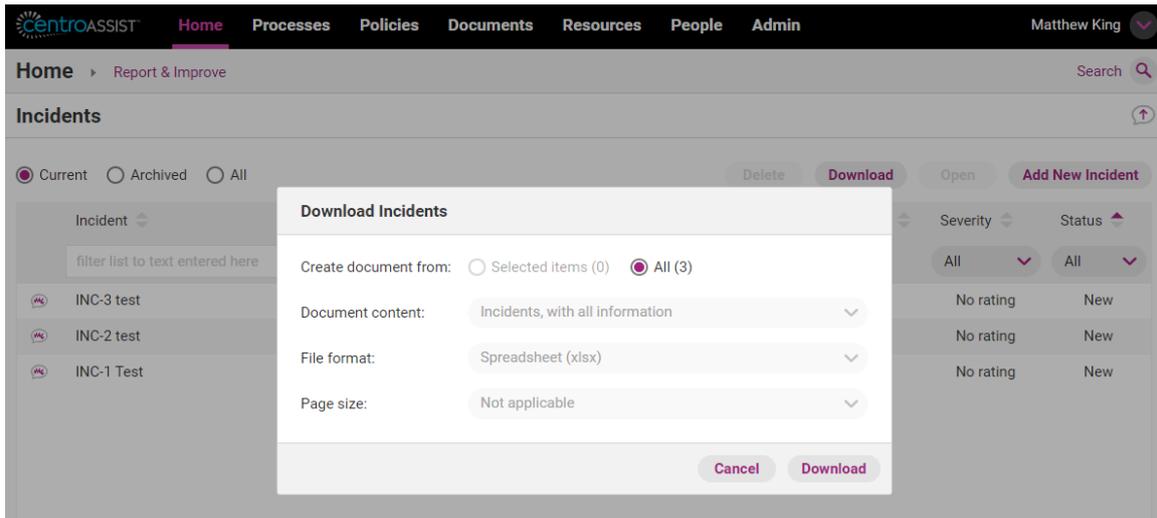


2. **Review/update details** – Once the notification email is received, Managers then sign in to review and update the details of the event. The details are accessed via the register. During this step managers should confirm that all details are correct and conform to any organisation-based requirements.
3. **Add actions** – Once the details of the event have been reviewed, Managers then add initial actions, which are located at the bottom of the event form. Actions also include adding any related events and improvements.
4. **Resolve/close event** – Once any external reporting obligations have been met and improvements have been actioned, the event is then closed. This is done by changing the status to completed, as shown below.

ACTIONS	
Status:	Completed (archive)
Position responsible:	New
Report/notify:	Actioning
Comments:	Evaluating
	✓ Completed (archive)
	Cancelled (archive)
Resolve by:	<input checked="" type="radio"/> Not applicable <input type="radio"/> Date & Time: <input type="text" value="Insert date & t"/>
Related to:	<input type="text" value="add any related items here"/>
	<input type="button" value="Add"/>

Note that the event then moves into the ‘archived’ view of the register.

5. **Monitor and report** – The event register is used as a tool for monitoring the status and actions of the event. One or more events can also be exported to MS Excel for further analysis and reporting, as shown below:



Improvements

Improvements arising from events, risks or audits can be entered into an improvements register.

The workflow built into this register is shown below:



1. **Identify need** – identify the need for an improvement, which may originate from various different sources including risk assessments, audits, incidents, complaints etc.
2. **Enter details and actions** – enter the details and actions as applicable for your organisation, including the source of the improvement as shown in the screenshot below.
3. **Resolve and close** – once the improvement has been actioned, it can be closed. This is done by changing the status to completed.
4. **Monitor and report** - The improvements register is used as a tool for monitoring the status and actions. One or more improvements can also be exported to MS Excel for further analysis and reporting.

centroASSIST Home Processes Policies Documents Resources People Admin Matt

Home > Report & Improve > Improvements

Add a new Improvement

DETAILS

Improvement name: Cancel

Description: Save

Originating from: Add

Category: Select

Business Unit: Select

ATTACHMENTS

Helpful material: Download Upload

ACTIONS

Status: New ▼

Priority: No priority ▼

Position responsible: Select

Start On: Not applicable Date & Time: 📅

Complete by: Not applicable Date & Time: 📅

Comments: Open Add

The steps required to implement the registers module are shown below.

Step	Description
1	Set-up and configuration
2	Review categories, severity levels and ratings
3	Train employees and managers
4	Go live

Step 1 – Set-up and configuration

There are 5 types of configurations required as a first step:

Type	Description	Support Portal Link
Employee event logging	By default, employees will be able to log initial details of events. If you wanted this feature to be enabled for Managers only, please get in touch us and we'll disable that feature of the workflow for employees.	N/A
User permissions	If applicable, assign the 'Incident and Improvement Manager' permission to users. Note that by default, Administrators will be given this permission.	For assistance with how to assign permissions to users, please click here .
Business units	If applicable, add business units, which will allow you to assign events to a business unit, which could be a facility, department or service line.	For assistance with how to set-up business units, please click here
Positions	The module allows you to assign a 'position responsible' to each event within the Actions section of the form.	For assistance with how to add positions, please click here
Email notifications	Nominated users can be notified via email once an incident, feedback or complaint item is submitted.	For assistance with how to set-up email notifications, please click here .

Step 2 – Review Categories, Severity Ratings and Priority Levels

Incidents, feedback and complaints will be reported by a wide variety of people within your organisation. Therefore, it is important to clearly define the meaning of different categories, severity ratings and priority levels to your Employees and Managers.

To assist with this, we have included each below:

Incidents

Field	Options	Definition
Category	Employee injury Illegal activity Medication error Misuse of restrictive practice Near miss Participant death Participant harm Property damage	To be completed by the organisation
Severity Rating	Insignificant Minor Moderate Major Catastrophic	To be completed by the organisation

Feedback

Field	Options	Definition
Category	Administration Billing and Pricing Employee conduct Physical premise Privacy and confidentiality Provider communication Provider decision making Service delivery	To be completed by the organisation

Complaints

Field	Options	Definition
Category	Administration Billing and Pricing Employee conduct Physical premise Privacy and confidentiality Provider communication Provider decision making Service delivery	To be completed by the organisation
Priority	Low Normal High Urgent	To be completed by the organisation

Improvements

Field	Options	Definition
Category	Communication/consultation Repair/maintenance Service/product review Staff training/development System/process review	To be completed by the organisation
Priority	Low Normal High Urgent	To be completed by the organisation

Step 3 – Train Employees and Managers

Once Steps 1 and 2 have been completed you will be ready to start training Employees (if applicable) and Managers.

If Employees have not yet been invited to the system, please refer to Step 5 of the Base Module for [Onboarding Employees](#).

We recommend taking Employees (if applicable) and Managers through the following:

- How to access the system
- How to log an initial event
- How to categorise and prioritise events
- How to add actions, resolve and close events
- How to download event registers for further analysis and reporting
- Any organisation specific requirements

Step 4 – Go Live

Once the training has been completed, you'll be ready to go-live. We recommend commencing with a subgroup of Employees and Managers before rolling out to all staff.