

YMCA Approach to Redress - Risk Register - May 2015

Risk #	Ranking - Gross	Risk Title	Description / Context	Inherent Risk	Explanatory notes	Controls	Residual Risk
6	1	Case management	This refers to the management of each case (each redress application) from the time of initial disclosure or notification to the YMCA, through the process of assessment as to eligibility, the validation of claims and determination of response.	Extreme	This was identified as the greatest risk because the impact of failing to ensure high quality case management could have catastrophic consequences for survivors and for the YMCA.	<ul style="list-style-type: none"> (1) Strong expert oversight of redress process - internal and external parties involved (2) Professional Standard resources / officer (3) Values-based case assessment process (4) Competent and communicated policies, procedures and protocols (5) Clear process for decision-making (use of decision trees) (6) Training and support of personnel involved in case management (7) Process for assuring consistency in decision making - we need to be aware of and deal with 'unconscious bias' or desensitisation (8) Development of a process for appeal and independent review of decisions - determine escalation points (9) Expectation management from early stages of the process (10) Consistency in and correct terminology (11) Resourcing of case management (12) Review of outcomes for individuals on a periodic basis reflecting on expectations (13) Legal obligations (e.g. Privacy, mandatory reporting) are recognised and met throughout the process. 	Medium
16	2	Legal reforms	Significant reforms to civil litigation in child abuse matters are underway. Legislation has changed in Victoria and similar changes are likely in NSW and other jurisdictions. Reforms are focused on extending or removing current limitation periods in addition to other measures. The Royal Commission may also recommend further legal reforms.	Critical	This is a risk that is external to the YMCA and while we do not have control over legal reforms, effective monitoring and ensuring we are accurately informed of any developments will reduce the impact of reforms, but not the likelihood of them occurring.	<ul style="list-style-type: none"> (1) Monitoring emerging changes - seek advice, assess risks and determine strategies to adapt (2) Scenario planning (3) Flexibility in design of scheme to accommodate changes (4) Forecasting of funding levels in different legal environments (5) Determine organisational policy position with regard to reforms and advocate/lobby where appropriate (6) Engagement with statutory bodies and stakeholders 	Critical
2	3	Redress process	This refers to the overall redress process including governance, structure, evaluation and the external environment.	Critical	Similar to the 'case management' risk, failure to ensure appropriate governance and structure in the redress process could have a major impact on the YMCA and also on survivors engaging with the process.	<ul style="list-style-type: none"> (1) Survivor focus - facilitate feedback into process for continuous improvement (2) Establish clear governance framework that includes periodic review and reporting (3) Consistent and transparent methodology and template for facilitation and capturing individual expectations (4) Monitor research and emerging practice including RC findings and recommendations (5) Establish process for appeal and external review of decisions (6) Develop implementation plan for 'Approach to Redress' (7) Develop clear referral protocols (include specific requirements) with the Approach to Redress (8) Establish relationships with other agencies providing redress where appropriate to share learnings 	High

3	4	Panel composition	This refers to the Redress Panel including composition, terms of reference, KPIs, structure and review	Critical	Appropriate composition and structure of the Redress Panel is critical in ensuring a robust process and balanced outcomes for the YMCA and survivors.	<ul style="list-style-type: none"> (1) Appoint external panel members on a limited tenure basis, to mitigate likelihood of desensitisation and over-exposure (2) Establish clear Terms of Reference for the Redress Panel (3) Establish specific criteria for Panel members (skills, qualification, experience, perspective) (4) Develop business case for management and administration of Redress Panel - costs, proposal for honorarium for external members (5) Address perceived or actual issues inherent in panel composition (independent or not independent, to what degree) Communication strategy for this (6) Establish clear KPIs for Redress Panel members including performance reviews 	High
9	5	Redress Approach design	This is focused on the design of the Approach to Redress within the National Council of the YMCAs of Australia and how the Approach to Redress will function within the federation.	Critical	To be successful, the design of the Approach to Redress must take into consideration the particular challenges and opportunities of the structure and function of the federation.	<ul style="list-style-type: none"> (1) Strong engagement and consultation processes with the Movement (2) Consider licensing requirements (3) Leadership for a long-term vision, consensus and commitment to the sustainable outcomes of the Approach to Redress (4) Seek endorsement from the Movement through a resolution at the 2015 AGM (5) Effective, sustainable and achievable scheme - articulated and design against set criteria the is subject to periodic review (6) Communicate and advocate our Approach to Redress with external partners and interested parties (7) Communication and education internally (e.g. at individual association level) (8) External communications strategy about the scheme 	High
14	6	Funding	This refers to the mechanism and model to support the sustainability of the Approach to Redress within the structure of the federation.	Critical	The funding mechanism and model to support the Approach to Redress must be sustainable over the long term and also support the sustainability of all YMCAs. Failure to have a sustainable and efficient model will have a major impact on the response to survivors and on the YMCA.	<ul style="list-style-type: none"> (1) Determine the financial capacity of the Movement and Associations - assess and confirm considering varying levels between financial capacity and risk profile for each Association (2) Historical Risk Mapping - known incidents, RC data, activities, participation, growth over time - Commission actuarial assessment of this (3) Periodic actuarial assessment (future liabilities and refinement of assessment) (4) Understand parameters for realistic redress options including estimations of administrative costs over time (5) Minimum / maximum amounts and limitations set internally according to agreed matrix (communication externally tightly managed) (6) Risk versus reward articulated to Associations - mechanism clearly explained and communicated (7) Internal dispute resolution regarding emerging issues related to fund and contributions (8) Periodic consolidated reporting to Associations (9) Mapping of any current outstanding cases to each of the YMCA entities (10) Determining the ability of each entity to fund at the cap (11) Periodic review of the need for a national provision for funding 	High
1	7	Scope	This refers to the current proposed scope of the Approach to Redress in terms of limitations and opportunities.	Critical	The scope of the Approach to Redress must be tested and reviewed against current learning and changing external environment. If, as we progress, the scope of the Approach to Redress requires review, but is inflexible this will have a major impact on the capacity of the Approach to respond.	<ul style="list-style-type: none"> (1) External review of scope (2) Periodic review of scope relative to individual case management, outcomes and response to survivors (3) Evaluated against being an 'effective, sustainable and achievable scheme' - articulated and design against set criteria - periodic review by National Board (4) Establish agreed delegation of authority when amendments are required to ensure scope remains relevant and supports continuous improvement 	Medium

4	8	Case identification and assessment	This refers to the process for identification and assessment of allegations and claims, including validation processes, document storage and external reporting requirements.	Critical	Clear and consistent processes to assess and validate will be essential to ensure an appropriate response to survivors and to maintain the required level of due diligence for the YMCA. Failure to implement appropriate processes will have a major impact on survivors and on the YMCA.	(1) Establish clear validation and assessment matrix (2) Approved communication documents and transparent information on the redress process for individuals (3) Ensure continuous improvement including learnings from cases throughout the process, also from external research and practice (4) Reporting requirements identified and satisfied (internal and external stakeholders including authorities, insurers etc) (5) Agreed protocols for managing all aspects of claims lodgement (6) Centralised case database and management - secure storage of documentation (7) Legal obligations recognised (e.g. Privacy, mandatory reporting)	Medium
7	9	Third party providers / engagement	At various stages during the redress process there may be a requirement to engage third party providers for particular skills, expertise and advice.	Critical	Engaging third party providers may be a necessary part of the Approach to Redress and it will be important to ensure there is a clear process for engagement and expectations.	(1) Process for use / engagement of 3rd party providers covering identification, selection, induction and performance reviews (2) Selection criteria to incorporate culture / value alignment (3) Set-up and maintain accredited supplier list (4) Periodic working with similar organisations and share knowledge (5) Protocol for shared arrangements (on cases with / referred to other organisations) if required	Low
8	10	Policy / value alignment	This refers to the alignment between our practice and our stated policy and the reflection of our values in practice.	Critical	The values of the YMCA are the key drivers of our Approach to Redress and its success is directly related to ensuring our values are maintained and reflected throughout the process.	(1) For shared arrangements (on cases with / referred to other organisations) - use Memoranda of Understanding (2) Case reviews - process and results versus stated policy outcomes and organisations value (3) Retain sufficient autonomy and control of the redress process to safeguard policy and value alignment	Low
10	11	No national scheme	This refers to the risk of not having a national Approach to Redress and no national policies and protocols	Critical	If there is no nationally consistent redress approach within the YMCA, it will be important to ensure survivors receive an appropriate response and that the impact on the YMCA is minimised	(1) Build robust business case for the national Approach to Redress - SWOT Analysis (2) Strong engagement and consultation processes with the Movement (3) Effective, sustainable and achievable scheme - articulated and design against set criteria - periodic review (4) Clear and concise policies and protocols from claim lodgement to case settlement (efficiency, transparency and consistency) (5) Satisfying licensing requirements (6) Consolidated reporting and better outcomes from a better structured and resourced process - KPIs across the Movement (7) Communication and education and training internally (e.g. at individual association level) (8) Challenge of dealing with defunct Associations	Critical
15	12	Fund financial management	This refers to the administration of the funding arrangements and the required legal/structural arrangements for the fund.	Critical	Administration of the funding mechanism will need to be underpinned by clear governance structures that meet agreed finance policy arrangements and meet financial obligations.	(1) Mix of different funding mechanism to assure fund liquidity and balance funding / liquidity requirements with Y resource requirements (2) Fund policy and procedures overseen by Finance Committee and subject to periodic review (3) Clearly articulated and implemented authorisation levels (4) Annual external fund audit (reporting to Finance Committee) (5) Fraud risk assessment conducted within 1st year of implementation	Low

5	13	Redress options	This refers to the range of options/responses that are proposed to be included in the Approach to Redress.	High	To ensure the Approach to Redress meets the individual needs of survivors, it will be important that all redress options are explored and considered within the framework of what the YMCA can provide/facilitate.	<ul style="list-style-type: none"> (1) Conduct research into redress options and consult with third party experts, monitor RC findings and recommendations also (2) Encourage and facilitate survivor consultation (where possible) (3) Options clearly articulated - set out application, access, delivery and outcomes in agreed policies and protocols (4) Periodic review to ensure continuous improvement of options, their application and redress outcomes (5) Determine overall value of redress if mix of non-monetary/monetary options are offered in the scheme (6) Include options for referral of survivors to financial counselling and other 'follow-up' support structures - develop clear referral protocols 	Low
13	14	External communication	This refers to all external communications regarding the Approach to Redress including to the general public, survivors, media and stakeholders.	High	External communication regarding the Approach to Redress will need to be carefully considered and carefully structured.	<ul style="list-style-type: none"> (1) Key stakeholders identified and building of relationships (where necessary) (2) Clearly assigned ownership of key relationships (including media) (3) Pro-active (media) relationship management plan (4) Central coordination to ensure consistency between internal and external communications (5) Establish Critical Incident Management plan / Issues Escalation Policy (support with training and periodic testing) (6) Include front-line staff in external communication messages/updates (first phone calls are critical; decrease ambiguity of information) (7) Explore options for positive external communications in regard to the YMCA Approach to Redress 	Low
11	15	Non-compliance	This refers to the risk of non-compliance with the Approach to Redress within the federation.	Medium	The success of the Approach to Redress will be mechanisms to ensure that all YMCAs are compliant with the agreed policy and protocols.	<ul style="list-style-type: none"> (1) Strong internal engagement and consultation processes (2) Association representation in scheme governance structure - Redress Panel (3) Passing of AGM resolution (4) Embed into Licensing Agreement with Associations (5) Agreed policies and procedures administered and overseen at national level - periodic reviews (6) Compliance breach protocols, reporting and resolution build into scheme design - align with Licensing Agreement (7) Regular feedback to Associations on how the scheme is progressing, how their input is helping 	Medium