

Shiv Martin Consulting



Risk Management Policy



SHIV MARTIN CONSULTING

RESOLVE CONFLICT. BUILD TRUST. STRENGTHEN TEAMS.

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RISK MANAGEMENT POLICY

Purpose and objective

The purpose of this Risk Management Policy is to establish a consistent and proactive approach to identifying, assessing and managing potential risks that may impact the operations, reputation or financial stability of Shiv Martin Consulting.

As a small consultancy working with independent contractors across home-based settings and within external client and event environments, our focus is on maintaining service continuity, protecting client and business information, and ensuring safe, ethical and professional working conditions.

This policy aims to:

- Ensure a systematic and consistent process for risk identification, analysis and mitigation
- Minimise the likelihood and impact of harm to clients, staff, contractors and the public
- Comply with relevant legislation, professional standards and contractual obligations
- Support informed decision-making, strategic planning and continuous improvement
- Promote a positive risk-aware culture based on transparency, accountability and ethical responsibility

Through this framework, we seek to embed risk management into all aspects of service delivery, ensuring long-term organisational resilience and high-quality outcomes for our clients and stakeholders.

Scope

This policy applies to all Shiv Martin Consulting staff, independent contractors, consultants, and partners involved in delivering or supporting mediation, dispute resolution, training or advisory services.

Related forms

In addition to this Risk Management Policy, Shiv Martin Consulting provides the following related policies and forms:

- Quality Assurance Policy
- Code of Conduct
- WHS Policy
- WHS Checklist – Working from Home and External Venues
- Environment Sustainability Policy
- Social Procurement Policy
- Modern Slavery Policy
- Privacy & Confidentiality Policy
- Hazard Report Form
- Incident Report Form

RISK MANAGEMENT APPROACH

Shiv Martin Consulting adopts a balanced approach to risk management which combines both formal systems and informal, everyday risk awareness. This dual method ensures that risks are managed through structured planning and also recognised and addressed in real-time through professional judgement and proactive practice.

We apply the following principles to ensure a practical and responsive risk culture across all areas of our operations:

- 1. Proactive identification**

Risks are identified early through project planning, client engagement and staff consultation. We encourage all personnel - whether permanent staff or independent contractors - to remain alert to potential issues in their day-to-day work, including operational, safety, ethical, reputational and compliance-related risks.

- 2. Practical assessment**

Risks are assessed using a consistent method that considers both likelihood and impact, allowing us to prioritise responses based on severity. In practice, this means evaluating risks as they arise (informally) and recording higher-level risks in a central register (formally) for ongoing monitoring.

- 3. Integrated decision making**

Risk management is embedded in service delivery, program design and strategic decisions. Decisions are informed by professional judgement, lived experience, client feedback and continuous review of what works in practice.

- 4. Proportionate Responses**

We apply fit-for-purpose treatments depending on the nature and urgency of each risk. For lower-level risks, this may involve immediate on-the-ground adjustments. For more significant risks, we apply documented controls, assign responsibilities and review outcomes over time.

- 5. Shared Responsibility**

While ultimate accountability rests with senior leadership, risk management is a shared responsibility across all roles and levels. Contractors and team members are empowered to raise concerns, implement controls and escalate issues where needed.

Risk management process

Shiv Martin Consulting applies a streamlined risk management process which balances formal review with day-to-day awareness. This ensures we remain responsive, compliant and prepared for risks relevant to our operations.

Formal activities

We conduct regular reviews of:

- Operational procedures
- Client agreements
- Data security practices

- Insurance coverage

These ensure we meet legal and professional obligations and maintain service continuity.

Informal awareness

Risk awareness is part of everyday practice. We remain alert to:

- Contractor and client-related issues
- High-conflict situations
- Emerging risks in service environments
- Concerns are raised early and addressed promptly.

Risk management steps

In alignment with ISO 31000:2018 Risk Management Guidelines, we apply the following steps:

1. Identify – Spot risks in projects, client work, and delivery settings
2. Assess – Rate risks by likelihood and impact using a simple matrix
3. Treat – Apply practical controls (e.g. checklists, clear protocols, alternative approaches)
4. Monitor – Track effectiveness and note incidents or near misses
5. Review – Update practices based on regular reflection and what's working on the ground

Monitoring and review

Our Risk Management Policy will be reviewed annually, or earlier if there is a significant incident, legislative change or operational shift.

Risk management is embedded in project planning, staff and contractor induction, evaluation, and ongoing training to ensure it remains a practical and active part of our day-to-day operations.

We actively use feedback, incident reports and lessons learned to strengthen our systems and update our risk controls. This ensures our approach remains current, effective and aligned with best practice.

RISK CATEGORIES

This risk management policy encompasses risks related to operations across all service delivery contexts. The below table outlines the key risk categories relevant to our work, provides examples of potential issues, and details the practical mitigation strategies we use to manage them proactively.

Table 1: Shiv Martin Consulting Risk Categories

Risk Category	Risk Description	Risk Mitigation
Operational risk	<ul style="list-style-type: none">• Miscommunication or escalation during mediation• Disruptive or unsafe client behaviour• Unavailability of key personnel• Poor service quality affecting client trust.	<ul style="list-style-type: none">• Clear scopes of work,• Quality assurance policy• Contractor agreements• Contingency planning for key roles.
Operational continuity risk	Disruptions due to: <ul style="list-style-type: none">• Illness• Tech failure• Event access issues.	<ul style="list-style-type: none">• Flexible systems• Reliable equipment• Backup plans• Time buffers for delivery.
Legal and compliance risk	<ul style="list-style-type: none">• Breach of privacy or confidentiality• Failure to comply with WHS, Fair Work, or anti-discrimination laws• Breach of professional regulations or contractual obligations.	<ul style="list-style-type: none">• Use of privacy policy• Legal templates• Regular updates on legislation• Legal advice when required.
Reputational risk	<ul style="list-style-type: none">• Negative feedback• Public complaints• Association with unethical providers.	<ul style="list-style-type: none">• Maintaining high service standards• Ethical sourcing• Regular client feedback• Transparent communication.
Psychosocial and safety risk	<ul style="list-style-type: none">• Vicarious trauma• Burnout	<ul style="list-style-type: none">• Use of WHS policy• Support systems

	<ul style="list-style-type: none"> • Threats to staff • Unsafe client environments. 	<ul style="list-style-type: none"> • Debriefs • Clear protocols for high-conflict settings • Incident reporting.
Financial risk	<ul style="list-style-type: none"> • Budget overruns • Delayed payments • Uninsured liabilities. 	<ul style="list-style-type: none"> • Clear contracts • Regular invoicing • Financial oversight • Maintaining appropriate insurance coverage.
Strategic and environmental risk	<ul style="list-style-type: none"> • Changes in government policy • Natural disasters • Data loss. 	<ul style="list-style-type: none"> • Adaptable planning • Cloud-based systems • Cybersecurity measures • Scenario planning.
Client engagement risk	<ul style="list-style-type: none"> • Unclear scopes • Unmet expectations • Disputes 	<ul style="list-style-type: none"> • Use of contracts • Documented communication • Regular check-ins • Clear deliverables.
Data security risk	<ul style="list-style-type: none"> • Unauthorised access • Loss or mishandling of sensitive data. 	<ul style="list-style-type: none"> • Secure digital tools • Confidentiality agreements • Strong data protection practices.
Contractor risk	<ul style="list-style-type: none"> • Inconsistent work quality • Injury • Lack of role clarity. 	<ul style="list-style-type: none"> • Contractor vetting • Defined scopes • WHS compliance • Formalised expectations for conduct.