

### **Approach/Best Practices**

- Focus on risks to key organizational objectives
- Focus on material/significant risks only; risks requiring attention of senior leadership and board
- Aggregate risks wherever possible
- A risk may fit in more than one category; assign to one/best fit category if possible
- Recognize that risks are interrelated and that clear delineation between risks is not always possible

**CARE CATEGORY** (Example of a strategic objective related to care: Deliver High Quality, Compassionate, Respectful and Safe Care)

**Adverse events (AE)** – general category for all adverse events which some organizations may wish to use instead of selecting specific types of adverse events

#### **Abduction**

- AE– related to infant/child abduction

#### **Airway**

- AE– obstruction (choking/maintenance)

#### **Birth trauma**

- AE– birth trauma (includes unexpected birth outcome)

#### **Communication/coordination**

- AE– inadequate communication/hand-offs/consultation/coordination/case management

#### **Diagnostic errors**

- AE– related to failure/delay/wrong/misdiagnosis

#### **Discharge/transitions**

- AE– inadequate discharge planning/transitions/coordination

#### **Elopement/unauthorized absence**

- AE– unauthorized leave of absence (e.g. harm to self, harm to others, public security risk) / failure to return from granted pass or leave

#### **Falls**

- AE– falls

#### **Infection control**

- AE– healthcare acquired infections; inadequate sterility/reprocessing

#### **Laboratory/radiology**

- AE– related to missed/failure to communicate / improper performance

#### **Medication**

- AE– medications

#### **Monitoring**

- AE – inadequate triage/assessment/monitoring

#### **Multi-incidents**

- AE– related to multi-patient events (e.g. infection outbreaks, diagnostic errors)

#### **Not seen not found**

- AE– not at home / no response to scheduled visit/phonecall /texts/ emails

#### **Pressure ulcers**

- AE– healthcare acquired pressure ulcers

#### **Restraints/entanglement/entrapment**

- AE– mismanagement of restraints/entanglement/entrapment

#### **Retained foreign objects**

- AE– retention of foreign objects/bodies

#### **Security/assault**



- AE– safety/security/assault/neglect (by staff or other patients/client/family/caregivers)
- Suicide/self-harm**
  - AE– suicide/elopement/self-harm
- Wrong patient/site**
  - AE– wrong patient/site/procedure
- Access**
  - Access to care issues/long wait times/poor patient flow
- Acuity**
  - High patient acuity/complexity
- Care/consent conflicts**
  - Conflicts with patient/client/substitute decision maker and/or family related to care (e.g. declining treatment, end of life, consent and capacity, discharge)
- Complaints management**
  - Poor management of patient complaints, extremely challenging complaint
- Contracted services monitoring**
  - Inadequate monitoring of contracted services
- Experience/relations**
  - Poor patient/client/resident experience/satisfaction/involvement/communication
- Funds management**
  - Mismanagement of patient/resident funds
- Length of stay**
  - Excessive/high/long lengths of stay
- Pain management**
  - Inadequate pain management
- Patient victimization**
  - Verbal, psychological, physical, sexual, financial abuse of patients by others (e.g. less vulnerable patient takes advantage of more vulnerable patient)
- Readmissions**
  - Excessive/high readmission rates
- Supply shortages**
  - Critical drugs/supplies shortages
- Support services**
  - Inadequate support services (e.g. supplies, laundry, food)
- Other**
- HUMAN RESOURCES** (e.g. Provide a Safe and Engaging Work Environment)
  - Agency issues**
    - Poor performance of sub-contracted/agency organizations/providers
  - Benefits/overtime**
    - Failure to pay benefits/OT/pension
  - Development**
    - Inadequate staff development/training
  - Engagement**
    - Poor staff relations/communication/engagement
  - Labour relations**
    - Poor labour (union) relations/work disruption
  - Physical injuries**
    - Workplace injuries – physical (e.g. muscular skeletal, needlestick, falls)



**Psychological injuries**

- Workplace injuries – psychological (e.g. stress, workloads)

**Recruitment/retention**

- Failure to attract/retain top talent (including compensation issues)

**Rights**

- Human rights violations/discrimination/harassment

**Scope of practice**

- Healthcare provider practicing outside scope (regulated and non-regulated)

**Shortage**

- Workforce shortages/aging workforce/absenteeism

**Violence/disruptive**

- Workplace violence/disruptive behavior

**Wrongful dismissal**

- Wrongful dismissal claims

**Other**

**FINANCIAL** (e.g. Make the Best Use of Resources)

**Contracts**

- Failed/inadequate contracts (including commercial; service providers)

**Costs**

- Increased costs (salaries, supplies, etc.)/inflation

**Fines/liabilities**

- Unfunded fines/liabilities

**Fraud**

- Employee dishonesty/fraud

**Inefficiencies**

- Inefficient use of resources

**Investments**

- Poor investment returns

**Procurement**

- Mismanagement of procurement processes

**Reporting**

- Financial accounting and reporting/asset management

**Revenue/funding**

- Financial instability/decreased operating revenue

**Supply chain**

- Supply chain failure

**Other**

**LEADERSHIP** (e.g. Positive Leadership That Fosters Organizational Values)

**Alignment acute/non-acute**

- Lack of alignment/resources/ambulatory/community care

**Change management**

- Change management/change readiness/change fatigue

**Conflict of interest**

- Conflict of interest (failure to act in best interests of organization/public)

**Culture**

- Weak culture/insufficient “tone at the top” (ethics, patient safety, quality culture, accountability)

**Emergency response**

- Inadequate emergency response/business continuity loss (pandemic, terrorism, natural events, technology)

**Governance**

- Issues with governance ability/accountability/information/conflicts

**Information gaps**

- Inadequate information/knowledge (e.g. decisions are based on poor data/lack of information)

**Mergers/partnerships/alliances**

- Failed mergers, integrations, strategic partnerships

**New program/technology**

- Inappropriate introduction of new program/technology/treatment (high costs, inadequate competency)

**Politics**

- Political uncertainties/policy changes

**Strategic projects**

- Failed/inadequate implementation of strategic project (can have more than one)

**Strategy alignment**

- Lack of organizational alignment/engagement around vision, mission, values, strategy

**Succession**

- Inadequate succession planning (key leaders/staff)

**Other**

**INFORMATION MANAGEMENT/TECHNOLOGY** (e.g. Implement Clinical Information Systems to Improve Care)

**Biomedical technology failure**

- Failure of critical biomedical technology

**Biomedical technology needs**

- Lack of biomedical technology to support clinical needs (aging/obsolescence/unreliability)

**Breach/loss of information**

- System access/security breach, hacking, cybercrime

**Records management**

- In appropriate management of records, inadequate records retention policy, etc.

**Systems integration**

- Poor information system integration (internal, up and downstream)

**Systems project**

- Information systems project implementation failures/delays

**Systems reliability**

- Poor information systems reliability/continuity (e.g. data integrity, loss, inability to retrieve stored data)

**Systems/technology failure**

- Critical information systems failure (e.g. electronic health records, lab, finance systems down time)

**Systems/technology needs**

- Information systems obsolescence (e.g. future electronic health strategy)

**Technology use**

- Misuse of technology/equipment



**Other**

**FACILITIES** (e.g. Strategically Invest in Facilities)

**Aging/maintenance**

- Aging buildings; lack of resources for maintenance/redevelopment

**Building access**

- Unauthorized access; building security issue

**Building project/construction**

- Issues/delays with building projects; fund approvals; inadequate management

**Hazardous materials**

- Inadequate management of hazardous materials (e.g. chemical, waste)

**Plant/systems failure**

- Failure of critical systems/equipment (e.g. HVAC, water, electricity, elevators)

**Property damage**

- Loss/damage of property (e.g. fire, flood, water, sewer, vandalism, theft)

**Visitor falls**

- Visitor falls/slips/trips (grounds and building hazards)

**Other**

**REGULATORY** (e.g. Incorporate Performance Agreements that Reflect Strategic Directions)

**Accreditation**

- Accreditation results not being at expected level

**Credentialing**

- Credentialing disputes with independent providers

**Performance agreements**

- Inability to meet accountability agreements/targets (e.g. waits, number of procedures)

**Privacy**

- Inappropriate access/release of personal health information, legislative compliance

**Regulations/legislation**

- Regulatory/legislative changes/uncertainties/compliance

**Other**

**EXTERNAL RELATIONS** (e.g. Listen to the Needs of Our Community)

**Community relations**

- Poor public/community relations

**Donor relations**

- Poor donor relations

**Government relations**

- Poor government relations

**Media relations**

- Poor media relations

**Partner relations**

- Poor community agency/partner relations/stakeholder perceptions

**Other**



## **REGULATION - PROFESSIONAL**

### **Complaints/resolution**

- Concerns raised by patients or their families, physicians, professionals, police, or regulatory authorities or through internal College processes about regulated professionals' care, conduct (or professionalism) and capacity

### **Facility accreditation/quality review**

- Compliance with a defined set of standards that promote patient safety, public confidence and high quality with respect to the design, delivery and function of facility accreditation/quality review programs and their ability to effect change

### **Quality assurance of clinical/medical practice**

- Professional practice and quality of care provided by regulated professionals

### **Registration/licensure**

- Review of credentials, training, certifications, certificates of professional conduct and practice history, re-application for licensure following suspension or revocation, an absence from practice, or a voluntary withdrawal of registration

### **Other**

## **TEACHING** (e.g. Provide Trainees with Exceptional Learning Experience)

### **Accreditation (teaching)**

- Unfavorable accreditation review resulting in loss or decline of program

### **Contracts (teaching)**

- Failed/inadequate teaching contract (e.g. failure to meet obligations, inadequate indemnification)

### **Student experience**

- Poor student experience

### **Student performance**

- Poor performance/compliance of students/observers

### **Other**

## **RESEARCH** (e.g. Build Strong and Sustainable Research Program)

### **Adverse events (research subjects)**

- Adverse events of research subjects

### **Conflict of interest**

- Research conflict of interest

### **Contracts (research)**

- Failed/inadequate research contracts

### **Ethics**

- Unethical/unapproved research

### **Funding (research)**

- Funding instability; decreased funds, increased costs

### **Grant usage**

- Inappropriate use of grant money

### **Inspections (research)**

- Unfavorable site inspections

### **Intellectual property**

- Loss of intellectual property (can be broader than just research)



**Misconduct**

- Research misconduct (fabrication/falsification of data/results)

**Other**

**COMMUNITY HEALTH** (e.g. Reduce the Incidence of Preventable Disease)

**Chronic disease management**

- Poor chronic disease management

**Demographics**

- Unfavorable changes to population demographics (e.g. aging, lifestyle trends)

**Emergency medical services**

- Inadequate EMS resources/competency/transport

**Immunization**

- Poor immunization rates

**Prenatal care**

- Poor access to prenatal care

**Primary care**

- Poor access to primary care

**Other**