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
    o AE– related to infant/child abduction
  Airway
    o AE– obstruction (choking/maintenance)
  Birth trauma
    o AE– birth trauma (includes unexpected birth outcome)
  Communication/coordination
    o AE– inadequate communication/hand-offs/consultation/coordination/case management
  Diagnostic errors
    o AE– related to failure/delay/wrong/misdiagnosis
  Discharge/transitions
    o AE– inadequate discharge planning/transitions/coordination
  Elopement/unauthorized absence
    o 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
    o AE– falls
  Infection control
    o AE– healthcare acquired infections; inadequate sterility/reprocessing
  Laboratory/radiology
    o AE– related to missed/failure to communicate / improper performance
  Medication
    o AE– medications
  Monitoring
    o AE – inadequate triage/assessment/monitoring
  Multi-incidents
    o AE– related to multi-patient events (e.g. infection outbreaks, diagnostic errors)
  Not seen not found
    o AE– not at home / no response to scheduled visit/phonecall /texts/ emails
  Pressure ulcers
    o AE– healthcare acquired pressure ulcers
  Restraints/entanglement/entrapment
    o AE– mismanagement of restraints/entanglement/entrapment
  Retained foreign objects
    o AE– retention of foreign objects/bodies
  Security/assault
Integrated Risk Management Program
Taxonomy of Healthcare Organizational Risks

- 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
  o Workplace injuries – psychological (e.g. stress, workloads)
Recruitment/retention
  o Failure to attract/retain top talent (including compensation issues)
Rights
  o Human rights violations/discrimination/harassment
Scope of practice
  o Healthcare provider practicing outside scope (regulated and non-regulated)
Shortage
  o Workforce shortages/aging workforce/absenteeism
Violence/disruptive
  o Workplace violence/disruptive behavior
Wrongful dismissal
  o Wrongful dismissal claims
Other

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

Contracts
  o Failed/inadequate contracts (including commercial; service providers)
Costs
  o Increased costs (salaries, supplies, etc.)/inflation
Fines/liabilities
  o Unfunded fines/liabilities
Fraud
  o Employee dishonesty/fraud
Inefficiencies
  o Inefficient use of resources
Investments
  o Poor investment returns
Procurement
  o Mismanagement of procurement processes
Reporting
  o Financial accounting and reporting/asset management
Revenue/funding
  o Financial instability/decreased operating revenue
Supply chain
  o Supply chain failure
Other

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

Alignment acute/non-acute
  o Lack of alignment/resources/ambulatory/community care
Change management
  o Change management/change readiness/change fatigue
Conflict of interest
  o 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
- Inappropriate 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)

**Physical space constraints**
- Space constraints or lack of building space

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
  o 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
  o 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
  o Professional practice and quality of care provided by regulated professionals

Registration/licensure
  o 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)
  o Unfavorable accreditation review resulting in loss or decline of program

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

Student experience
  o Poor student experience

Student performance
  o Poor performance/compliance of students/observers

Other

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

Adverse events (research subjects)
  o Adverse events of research subjects

Conflict of interest
  o Research conflict of interest

Contracts (research)
  o Failed/inadequate research contracts

Ethics
  o Unethical/unapproved research

Funding (research)
  o Funding instability; decreased funds, increased costs

Grant usage
  o Inappropriate use of grant money

Inspections (research)
  o Unfavorable site inspections
Integrated Risk Management Program
Taxonomy of Healthcare Organizational Risks

Intellectual property
  o Loss of intellectual property (can be broader that just research)

Misconduct
  o Research misconduct (fabrication/falsification of data/results)

Other

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

Chronic disease management
  o Poor chronic disease management

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

Emergency medical services
  o Inadequate EMS resources/competency/transport

Immunization
  o Poor immunization rates

Prenatal care
  o Poor access to prenatal care

Primary care
  o Poor access to primary care

Other