



TOP
HEALTHCARE
RISKS

20
23

Eighth Annual Report
on a Shared Canadian System
for Integrated Risk Management

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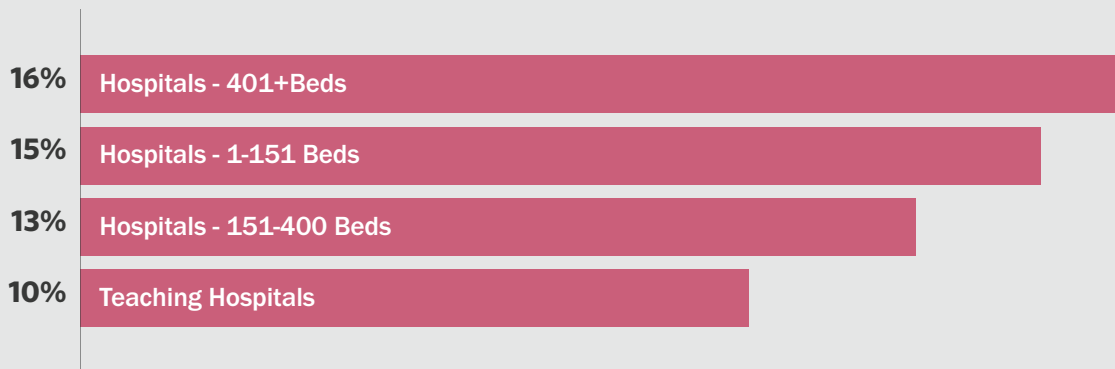
Introduction

Management and oversight of key organizational risks is a critical function for healthcare leaders and governing boards. It is prudent for leadership teams to take a proactive approach to identify and manage risks. Consequences of ineffective management of risks range from underperformance to significant financial, reputational, and operational losses. Integrated Risk Management (IRM) provides a framework for prioritizing different types of risks from across an organization to prevent or reduce losses.

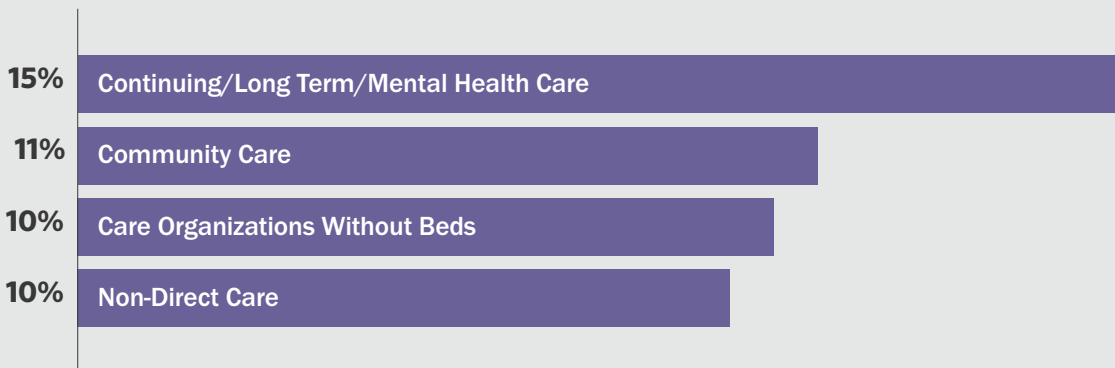
Since the Risk Register was introduced in 2015, over 5500 risks have been tracked by 86 acute care and 79 non-acute organizations across Canada.

Figure 1 Risk Register participants with open risks by peer group over the last five years (n=156)

Acute (n=84)



Non-Acute (n=72)



IRM best practices

1. Create investment with board risk governance and senior leadership ownership
2. Prioritize risks to patients and staff
3. Align risks to strategic objectives wherever possible
4. Keep it simple

Appendix A – IRM best practices, expands on these four key areas.

How can this report help you advance your IRM program?

- This information can help facilitate committed conversations with your senior team and board to advance your IRM program. The analysis of aggregate data, which reveals top risks by frequency, and by average ratings of likelihood and impact, can assist in risk identification. Consider significant risks in your own organization and the most important risks in healthcare—the risk of harm to patients and staff—while maintaining a balanced appreciation in other key areas.
- Review of this report with your risk, patient safety, and quality teams will build awareness of common healthcare risks. The information in this report is meant to help your team and organization systematically identify and assess key risks while developing mitigation strategies.
- By evaluating the linkage of Risk Register data with other data sources such as the HIROC claims database, will further refine risk areas to explore.

The Risk Register application will continue to yield valuable insights and share knowledge to improve the management of key risks and thereby assist in the achievement of strategic objectives across the healthcare system—particularly the objective of ensuring high quality and safe care for patients.

Data Analysis Methodology

Risk Register participants assess risks using likelihood and impact, following a common scoring matrix. The data analysis on the following report aggregates all tracked open risks until the end of December 2022 using these two parameters—likelihood and impact—as well as frequency of occurrence, and risk rating. In this report, the analysis includes ranking trends of the top 10 tracked open risks by all four parameters—likelihood, impact, frequency, and risk rating—over the past five years.

- The *frequency* ranking is based on how often a *risk* is tracked in the Risk Register, i.e., number of entries.
- The *likelihood* and *impact* rankings are based on the average of the assigned scores in the registry.
- The *rating* ranking is based on the average of the multiplication of *likelihood* and *impact* scores across entries.

Likelihood, impact, and rating rankings compare *risks* against other *risks*, without accounting for the frequency of each *risk*.

Ranking position for a particular *risk* is determined by their calculated score, and how it compares to the scores of other *risks*. As such, a change in ranking positions for a *risk* may occur due to other *risk* scores changing. For example, a *risk* can drop from first to fifth place in the likelihood ranking with no change to their likelihood score. Additionally, the closing of *risks*—excluded from the analysis—influences the calculated scores and rankings.

Trend plots

The trend plots illustrate the ranking history of the 2022 top 10 *risks* for each parameter. To have an accurate representation of trends over time the actual ranking value for each year of a particular *risk* is included. All ranking values on the vertical axis are not shown to optimize readability, as such rankings 11 and above are being combined together into four groups:

- ≤25 – ranks between 11 and 25
- ≤50 – ranks between 26 and 50
- ≤75 – ranks between 51 and 75
- >75 – ranks greater than 75

All *risks* in the Risk Register can be found listed by frequency of occurrence within each *strategic objective risk category* in the following appendices:

- Appendix B – All Organizations
- Appendix C – Acute Care Organizations
- Appendix D – Non-Acute Care Organizations

Organizations highest ranked likelihood risks tables

The percent of organizations was calculated by ranking each organization's risks based on likelihood, then the number of organizations per top ranked risk was calculated, and then divided over the total number of organizations by sector, resulting in a list of risks and the associated percent of organization's that have those risks as their highest likelihood.

This analysis facilitates understanding the perceived importance of certain risks across organizations based on the likelihood of an event occurring.

Peer Grouping

Data is aggregated based on the organization's care delivery service. Acute care hospitals are grouped by number of beds, or as a teaching hospital. The non-acute peer groupings are identified in four groups.

Data privacy

All data is aggregated and anonymized prior to publication. To address confidentiality and privacy, risks submitted by less than five organizations were excluded from the top-rated risks analysis.

Five Year Evolution

The following visualizations provide insights of the shift in focus of what organizations with continued use over the last five years are currently monitoring. The plots show the difference in the number of risks between 2018 and 2022 for *strategic objective risk categories* and *risks* for these organizations, illustrating the change in the Risk Register composition. The analysis was limited to organizations with continued use, to account for changes in *risk* counts by new Risk Register organizations.

Over this period, focus has shifted towards *Information Management/Technology (IM/T)* and *Human Resources* risks (Figure 2). Specifically in *Breach/Loss of information* and *Systems reliability* risks, as well as in *Recruitment/Retention*, *Violence/Disruptive*, and *Human Resource Shortage* risks (Figure 3).

Organizations with five years of continuous Risk Register use (n=86)

Figure 2

Change in total number of risks by strategic objective risk category for organizations with continuous use over the last five year (2018-2022)

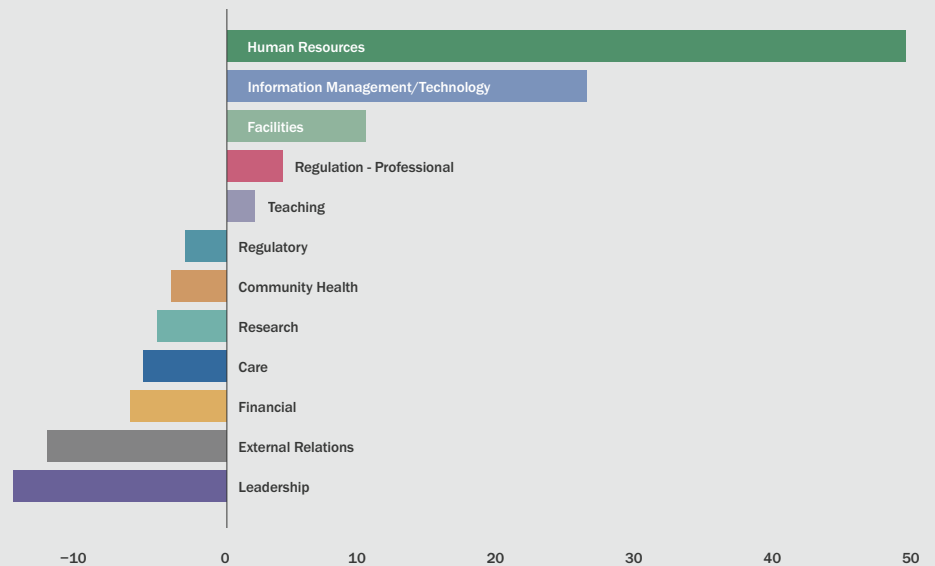
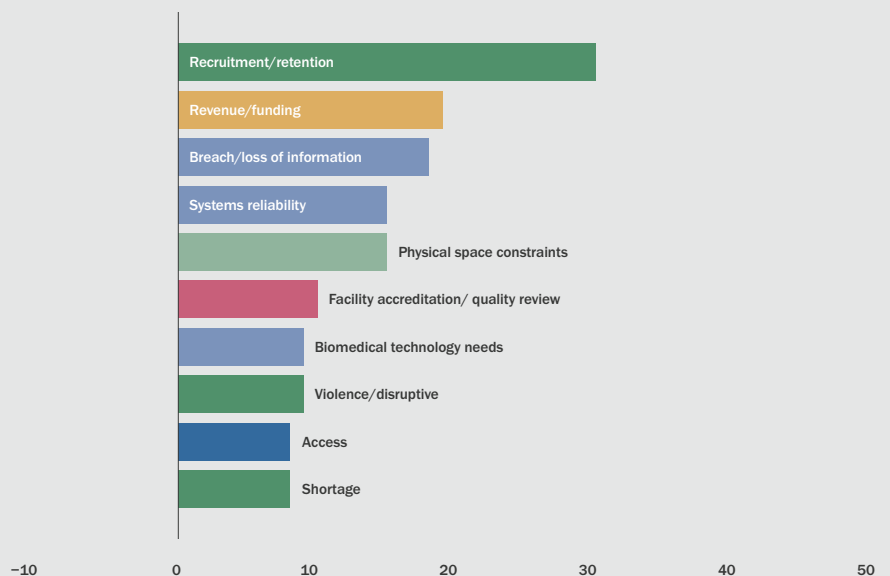


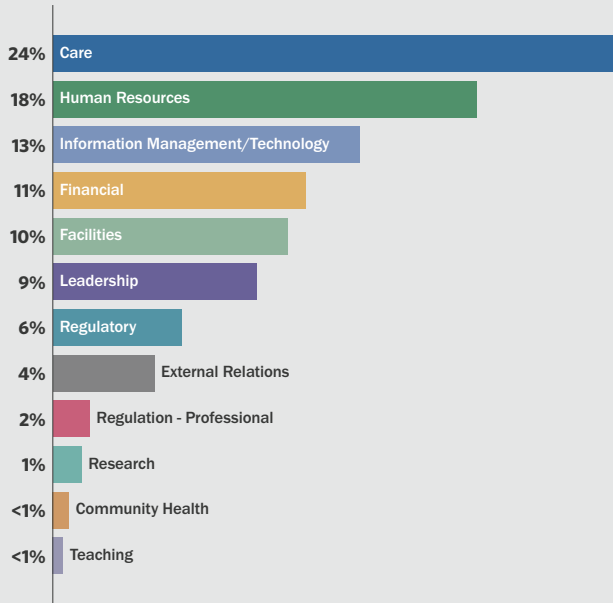
Figure 3

Change in total number of risks for top 10 risks with positive change for organizations with continuous use over the last five years (2018-2022)

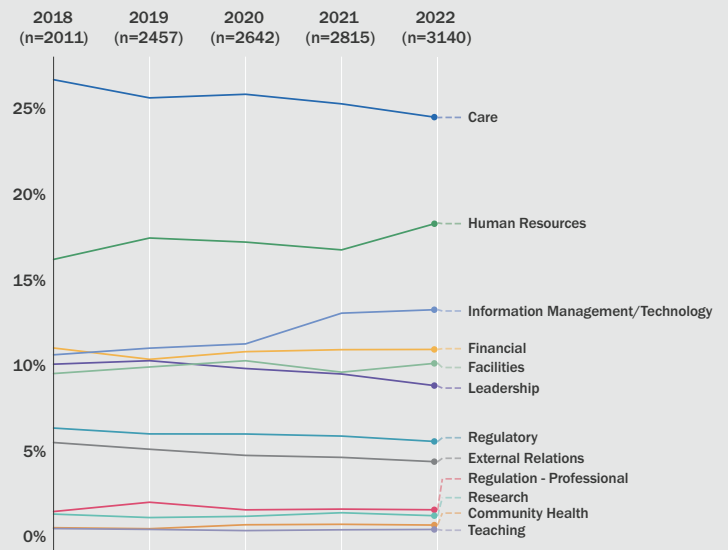


Top Healthcare Risks: All Organizations

Distribution of risk by *strategic objective risk categories*

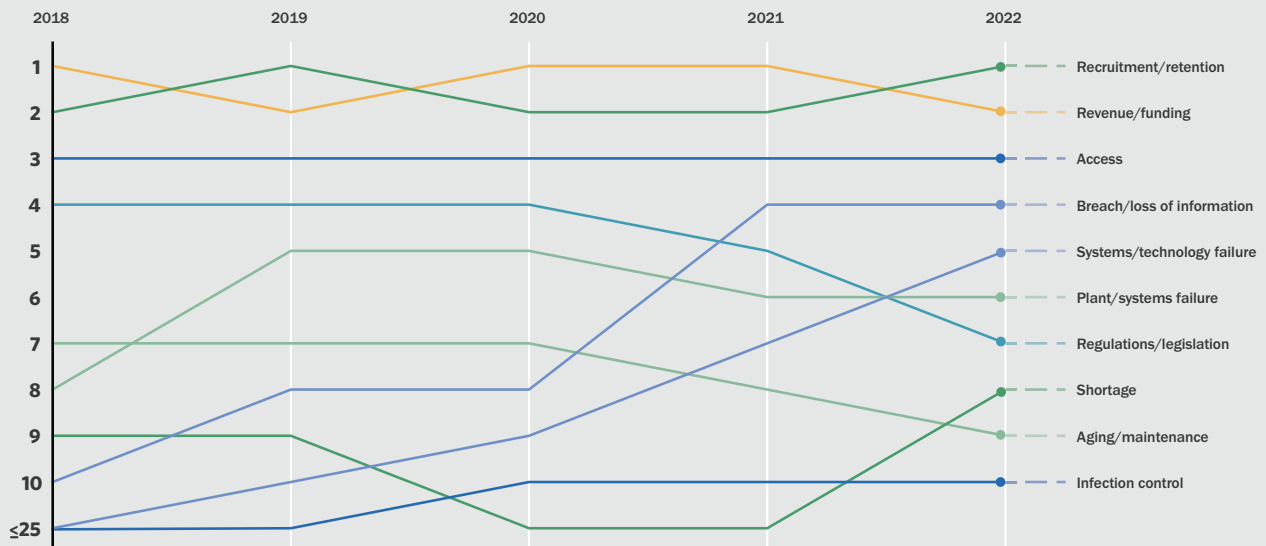


Trend of distribution by *strategic objective risk categories*



The five-year trend reflects slight decrease in the proportion of *Care* risks, and slight increase in *Human Resources* risks. The emphasis on risks to people and to organizational infrastructure is an important outcome of the system with a focus on patient and staff safety.

Trend of 2022 top 10 ranking by frequency of Risk Register tracked risks



ALL ORGANIZATIONS BY RISK PARAMETERS

Top 10 Risk Register 2022
tracked risks by *likelihood*

	CATEGORY	RISK
1	HR	Recruitment/retention
2	Care	Access
3	HR	Psychological injuries
4	Care	Supply shortages
5	HR	Benefits/overtime
6	Care	Discharge/transitions
7	Care	Multi-incident
8	Lead.	Change management
9	Lead.	Politics
10	HR	Engagement

Top 10 Risk Register 2022
tracked risks by *impact*

	CATEGORY	RISK
	Care	Death by Suicide/self-harm
	Care	Abduction
	Care	Birth trauma
	IM/T	Breach/loss of information
	HR	Benefits/overtime
	Care	Diagnostic errors
	Reg. Prof.	Complaints/resolution
	Financial	Revenue/funding
	Care	Restraints/entanglement/entrapment
	HR	Psychological injuries

Top 10 Risk Register 2022
tracked risks by *rating*

	CATEGORY	RISK
	HR	Recruitment/retention
	HR	Psychological injuries
	Care	Access
	Care	Birth trauma
	Care	Multi-incident
	HR	Benefits/overtime
	Care	Discharge/transitions
	Lead.	Politics
	Financial	Revenue/funding
	Care	Supply shortages

ACROSS SECTORS BY FREQUENCY

All Organizations
Top 10 Risk Register 2022
tracked risks by *frequency*

	CATEGORY	RISK
1	HR	Recruitment/retention
2	Financial	Revenue/funding
3	Care	Access
4	IM/T	Breach/loss of information
5	IM/T	Systems/technology failure
6	Facilities	Plant/systems failure
7	Reg.	Regulations/legislation
8	HR	Shortage
9	Facilities	Aging/maintenance
10	Care	Infection control

Acute
Top 10 Risk Register 2022
tracked risks by *frequency*

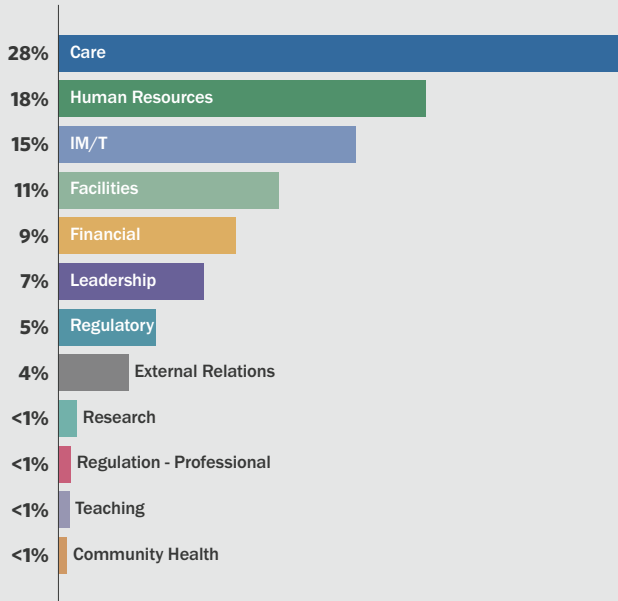
	CATEGORY	RISK
	HR	Recruitment/retention
	Care	Access
	Financial	Revenue/funding
	IM/T	Breach/loss of information
	Facilities	Aging/maintenance
	HR	Shortage
	Facilities	Plant/systems failure
	IM/T	Systems/technology failure
	Care	Adverse events (AE)
	IM/T	Systems/technology needs

Non-Acute
Top 10 Risk Register 2022
tracked risks by *frequency*

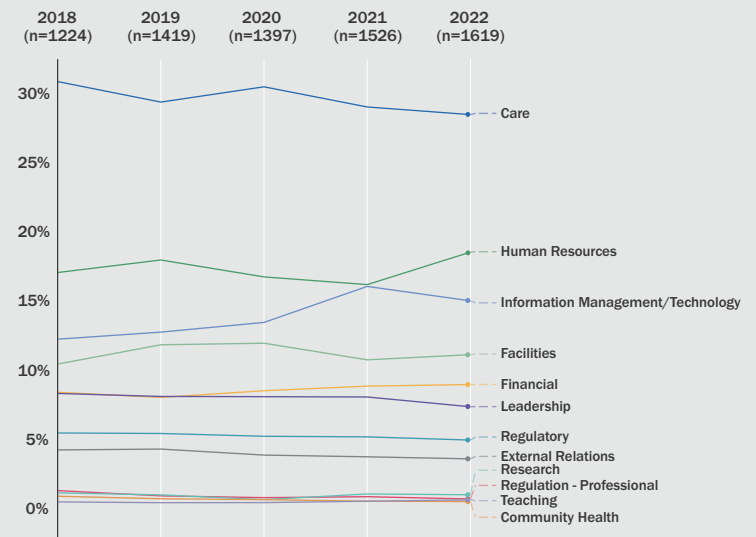
	CATEGORY	RISK
	Financial	Revenue/funding
	HR	Recruitment/retention
	IM/T	Systems/technology failure
	Reg.	Regulations/legislation
	IM/T	Breach/loss of information
	Facilities	Plant/systems failure
	Care	Infection control
	HR	Development
	HR	Shortage
	Lead.	Emergency response

Top Healthcare Risks: Acute Care

Distribution of Risk Register 2022 tracked risks by *strategic objective category*



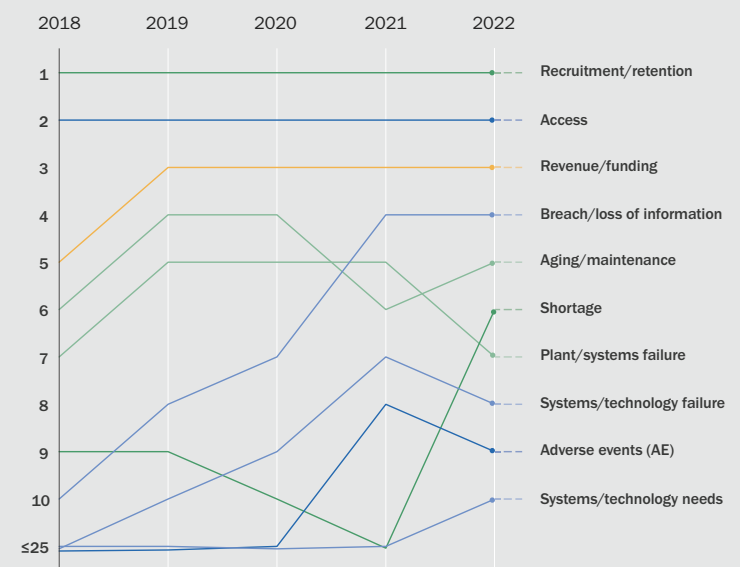
Five-year trend of distribution of Risk Register tracked risks by *strategic objective category*



Top 10 Risk Register 2022 tracked risks by *frequency*

Rank	Category	Risk
1	HR	Recruitment/retention
2	Care	Access
3	Financial	Revenue/funding
4	IM/T	Breach/loss of information
5	Facilities	Aging/maintenance
6	HR	Shortage
7	Facilities	Plant/systems failure
8	IM/T	Systems/technology failure
9	Care	Adverse events (AE)
10	IM/T	Systems/technology needs

Trend of 2022 top 10 ranking by *frequency* of Risk Register tracked risks



Top 10 Risk Register 2022
tracked risks by *likelihood*

	CATEGORY	RISK
1	HR	Recruitment/retention
2	Care	Access
3	Care	Discharge/transitions
4	Care	Elopement/unauthorized absence
5	Financial	Costs
6	HR	Psychological injuries
7	HR	Engagement
8	Financial	Revenue/funding
9	Care	Supply shortages
10	Lead.	Strategic projects

Top 10 Risk Register 2022
tracked risks by *impact*

	CATEGORY	RISK
1	Care	Death by Suicide/self-harm
2	Care	Birth trauma
3	HR	Psychological injuries
4	Financial	Revenue/funding
5	Care	Security/assault
6	Care	Discharge/transitions
7	Care	Diagnostic errors
8	Care	Elopement/unauthorized absence
9	HR	Scope of practice
10	Financial	Supply chain

Top 10 Risk Register 2022
tracked risks by *rating*

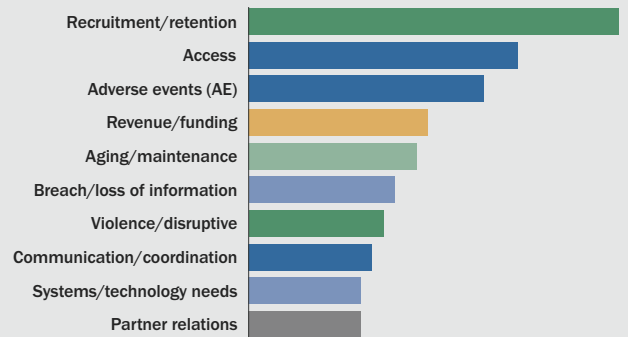
	CATEGORY	RISK
1	HR	Recruitment/retention
2	HR	Psychological injuries
3	Care	Elopement/unauthorized absence
4	Care	Discharge/transitions
5	Financial	Revenue/funding
6	Care	Access
7	HR	Engagement
8	HR	Scope of practice
9	Financial	Supply chain
10	Lead.	Culture

Risk frequency by acute peer group

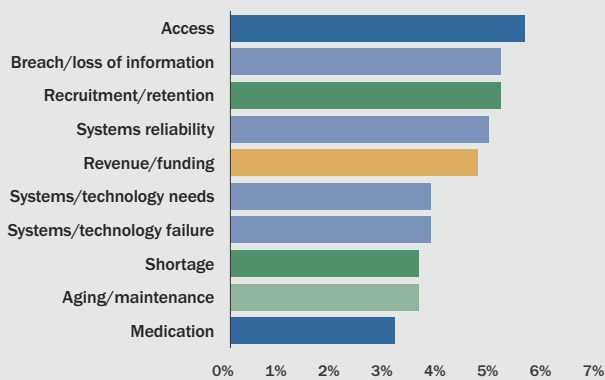
Hospitals 1-151 Beds



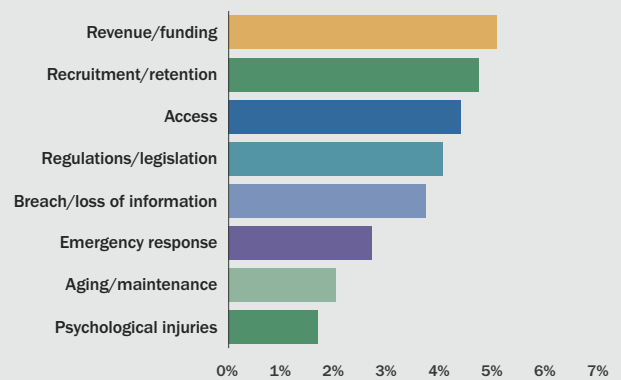
Hospitals 151-400 Beds



Hospitals 401+ Beds



Teaching Hospitals



Organization's highest ranked likelihood risks

31%
Recruitment/retention

23%
Access

19%
Revenue/funding

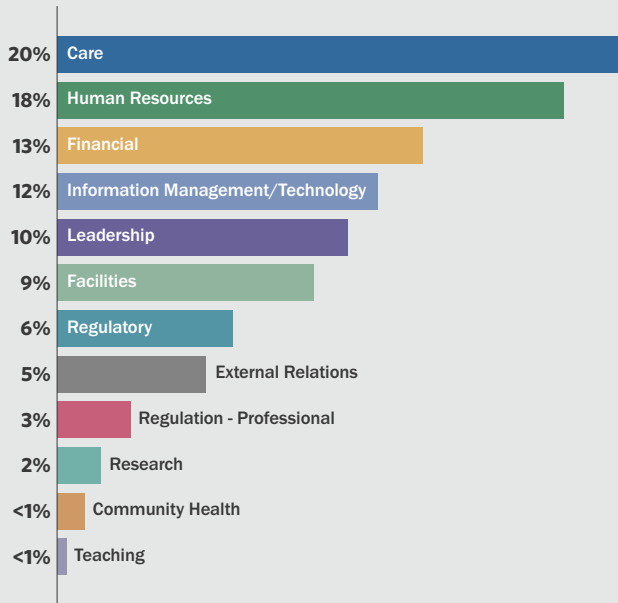
9%
Breach/loss of information

9%
Aging/maintenance

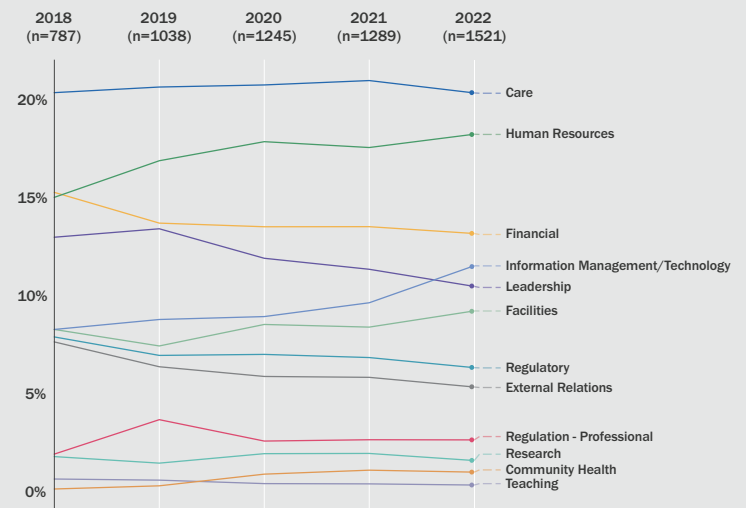
PERCENTAGE OF ORGANIZATIONS RISK

Top Healthcare Risks: Non-Acute

Distribution of Risk Register 2022 tracked risks by *strategic objective category*



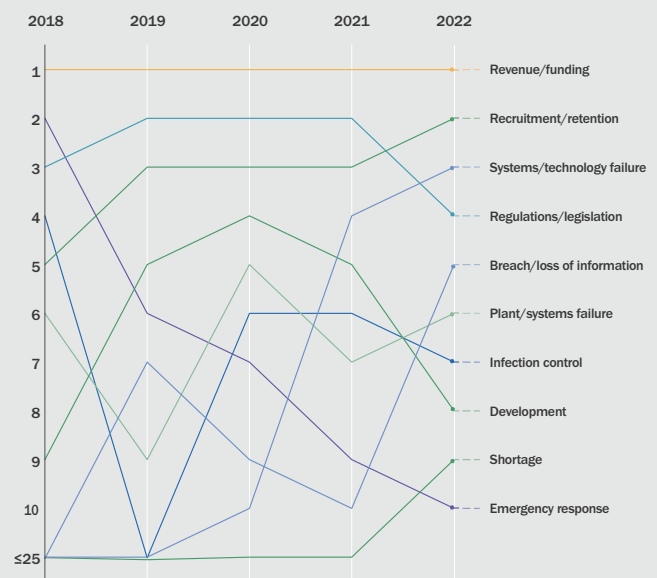
Five-year trend of distribution of Risk Register tracked risks by *strategic objective category*



Top 10 Risk Register 2022 tracked risks by *frequency*

Rank	Category	Risk
1	Financial	Revenue/funding
2	HR	Recruitment/retention
3	IM/T	Systems/technology failure
4	Reg.	Regulations/legislation
5	IM/T	Breach/loss of information
6	Facilities	Plant/systems failure
7	Care	Infection control
8	HR	Development
9	HR	Shortage
10	Lead.	Emergency response

Trend of 2022 top 10 ranking by *frequency* of Risk Register tracked risks



Top 10 Risk Register 2022 tracked risks by *likelihood*

	CATEGORY	RISK
1	Care	Supply shortages
2	HR	Psychological injuries
3	Reg.	Performance agreement
4	Lead.	Politics
5	Lead.	Change management
6	HR	Shortage
7	Care	Access
8	HR	Recruitment/retention
9	Care	Acuity
10	Care	Discharge/transitions

Top 10 Risk Register 2022 tracked risks by *impact*

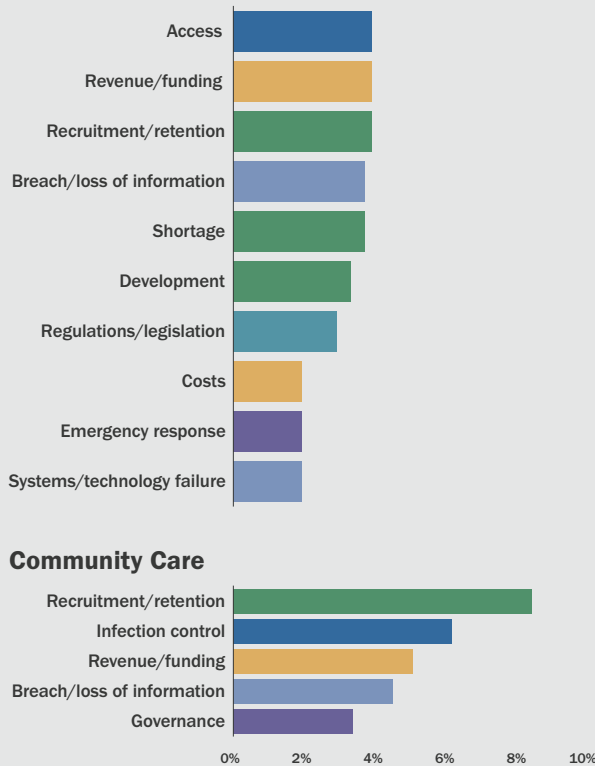
	CATEGORY	RISK
1	Care	Death by Suicide/self-harm
2	HR	Benefits overtime
3	Care	Restraints/entanglement/entrapment
4	Reg. Prof.	Complaints/resolution
5	IM/T	Breach/loss of information
6	Care	Experience/relations
7	Financial	Revenue/funding
8	Lead.	Culture
9	Reg. Prof.	Clinical quality assurance
10	Care	Acuity

Top 10 Risk Register 2022 tracked risks by *rating*

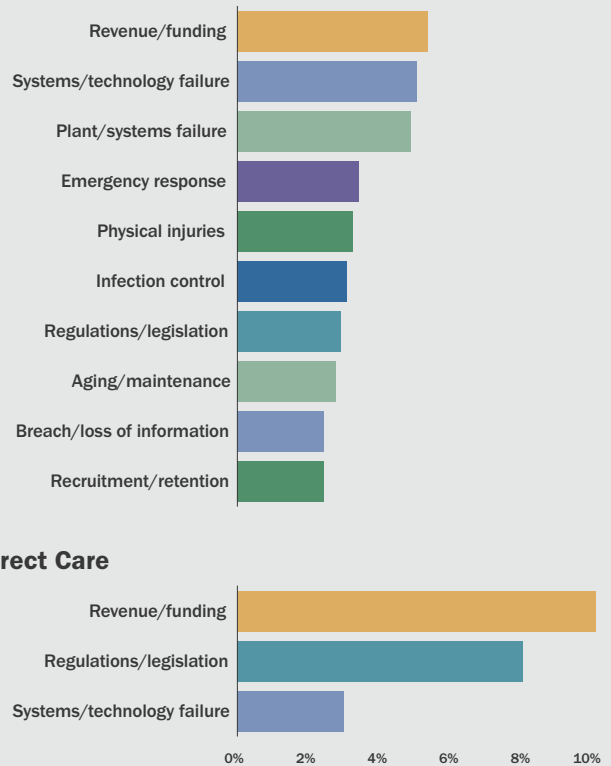
	CATEGORY	RISK
1	Lead.	Politics
2	HR	Psychological injuries
3	HR	Benefits overtime
4	Care	Acuity
5	HR	Recruitment/retention
6	IM/T	Breach/loss of information
7	Care	Death by Suicide/self-harm
8	HR	Shortage
9	Financial	Revenue/funding
10	Care	Restraints/entanglement/entrapment

Peer Group Frequency Analysis

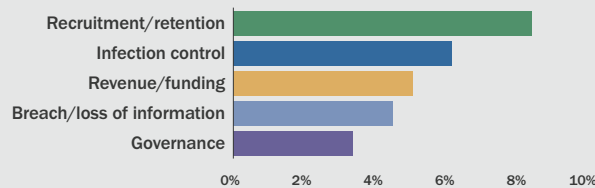
Care Organizations Without Beds



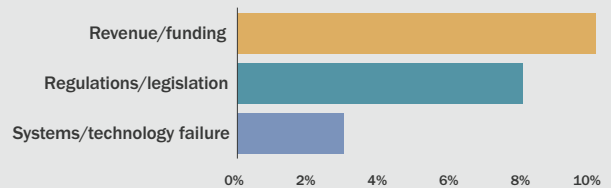
Continuing /Long Term /Mental Health Care



Community Care



Non-Direct Care



Organization's highest ranked likelihood risks

14%
Recruitment/retention

12%
Access

10%
Revenue/funding

10%
Breach/loss of information

10%
Infection Control

PERCENTAGE OF ORGANIZATIONS RISK

Acute-care organizations

Refers to any hospitals including large/teaching hospitals and regional health authorities.

All organizations

Include both acute care and non-acute care organizations.

Closed risk

Risk status in the Risk Register is resolved or inactive.

Frequency

The number of times a particular risk has been entered into Risk Register by organizations.

The highest frequency risks are those with the highest count.

Likelihood

The probability of an event occurring.

The Risk Register allows for risks entered into the system to be assessed on a five-point likelihood/probability scale, with five being the highest.

Average likelihood scores are used for aggregate analysis of risks in the Top Healthcare Risks report.

Impact

The consequences, losses that could result if that risk were to be realized – How bad? (e.g., patient harm, service interruption, financial costs).

The Risk Register allows for risks to be assessed on a five-point impact/severity scale, with five being the highest.

Average impact scores are used for aggregate analysis of risks in the Top Healthcare Risks report.

Integrated Risk Management (IRM)

Integrated Risk Management (IRM) “is a process that promotes a continuous, proactive, and systematic process to understand, manage and communicate risk from an organization-wide perspective in a cohesive and consistent manner. It is about supporting strategic decision-making that contributes to the achievement of an organization’s overall objectives.”(Treasury Board of Canada Secretariat, 2016).

Non-acute care organizations

Refers to community care, primary/community health centers, long-term care, hospices, rehab centers, continuing care mental health, and organizations that do not provide direct patient care.

Open risk

Risk status in the Risk Register is active or under initial review.

Rating

The overall risk rating is generated in the Risk Register system as the multiplication of likelihood and impact scores, with a total of 25 being the highest score.

Risk

Effect of uncertainty on objectives (ISO 31000, 2018).

A risk is the “chance or possibility of danger, loss, or injury. For health services organizations, this can relate to the health and well-being of clients, staff and the public, property, reputation, environment, organizational functioning, financial stability, market share and other things of value.” (Accreditation Canada, 2009).

Strategic Objective Risk Category

Concise list of key risks related/aligned to a common set of strategic objectives.

Risk register

Online record and tool providing a high-level summary of the risks to the organization including information related to risk lead, risk ratings, and key controls.

Appendix A IRM best practices

1. Ensure board and senior leader ownership

Boards must take an active role in overseeing risk management systems and processes (Caldwell, 2022). By asking management probing questions about key risks it creates a space for dialogue (Stevens, Down, & Willcox, 2018). Please follow the link to see [21 Questions](#) to ask senior leaders about risk. There must also be visible ownership of risks by senior leaders, ensuring accountability and resources for effective risk management.

2. Focus on risks to key strategic objectives

Evidence shows that in healthcare, there is no dichotomy between risks that are strategic and those that are operational. Rather, strategic risks are risks that if left unchecked, could negatively impact achievement of strategic objectives including risks in operational areas such as patient harm, staff harm, loss of resources or services. Operational events such as the high-profile death of a patient because of an adverse event or a fraud by a key staff member can quickly escalate into strategic risks. In the Canadian healthcare system, there is alignment around a common set of strategic objectives (see examples in Table 1) and risks related to these objectives are largely known.

Table 1. Strategic objectives risk categories.

CATEGORY	SAMPLE STRATEGIC OBJECTIVE STATEMENT
Care	Deliver safe, high-quality care
Community Health	Develop effective health promotion and prevention programs
External Relations	Listen to the needs of our community
Facilities	Strategically invest in facilities
Financial	Maintain strong financial performance
Human Resources	Provide a safe and engaging work environment of staff and physicians
Information Management/ Technology	Use technology to improve quality, safety, and continuity of care
Leadership	Establish a culture that focuses on learning, collaboration, and improvement
Regulation-professional	Maintain good professional practice standards
Regulatory	Achieve exemplary accreditation standing
Research	Develop new knowledge and innovations
Teaching	Educate health care providers to meet the future needs of the community

3. Keep it simple

Organizations that have been successful in implementing IRM, simplify processes, iterate, and start with a few key risks and actions to improve these.

Appendix B Risks by Frequency – All Organizations

Below are all risks entered in the Risk Register to date for all organizations. They are sorted by most frequently cited within each *strategic objective risk category*. See the [“Taxonomy of Healthcare Organizational Risks”](#) for full list of key risks and longer descriptions.

CARE

- | | |
|-------------------------------------|---|
| 1 Access | 18 Death by Suicide/self-harm |
| 2 Infection control | 19 Diagnostic errors |
| 3 Communication / coordination | 20 Complaints management |
| 4 Adverse events (AE) | 21 Restraints/entanglement/
entrapment |
| 5 Medication | 22 Birth trauma |
| 6 Security/assault | 23 Multi-incident |
| 7 Patient falls | 24 Abduction |
| 8 Supply shortages | 25 Contracted services monitoring |
| 9 Laboratory/radiology | 26 Not seen not found |
| 10 Monitoring | 27 Pain management |
| 11 Experience/relations | 28 Retained foreign objects |
| 12 Acuity | 29 Support services |
| 13 Discharge/transitions | 30 Airway |
| 14 Elopement / unauthorized absence | 31 Length of stay |
| 15 Care / consent conflicts | 32 Patient victimization |
| 16 Pressure injuries | 33 Readmissions |
| 17 Wrong patient/site | |

HUMAN RESOURCES

- | | |
|--------------------------|-----------------------|
| 1 Recruitment/retention | 8 Engagement |
| 2 Shortage | 9 Scope of practice |
| 3 Development | 10 Wrongful dismissal |
| 4 Physical injuries | 11 Agency issues |
| 5 Violence/disruptive | 12 Rights |
| 6 Psychological injuries | 13 Benefits/overtime |
| 7 Labour relations | |

FINANCIAL

- | | |
|-------------------|---------------------|
| 1 Revenue/funding | 6 Procurement |
| 2 Costs | 7 Fines/liabilities |
| 3 Reporting | 8 Contracts |
| 4 Inefficiencies | 9 Supply chain |
| 5 Fraud | 10 Investments |

LEADERSHIP

- | | |
|----------------------|------------------------------|
| 1 Emergency response | 8 Strategic projects |
| 2 Strategy alignment | 9 Politics |
| 3 Governance | 10 Mergers |
| 4 Information gaps | 11 New program/technology |
| 5 Succession | 12 Alignment acute/non-acute |
| 6 Culture | 13 Conflict of interest |
| 7 Change management | |

INFORMATION MANAGEMENT/TECHNOLOGY

- | | |
|------------------------------|----------------------------------|
| 1 Breach/loss of information | 6 Technology use |
| 2 Systems/technology failure | 7 Systems integration |
| 3 Systems/technology needs | 8 Systems project |
| 4 Systems reliability | 9 Biomedical technology needs |
| 5 Records management | 10 Biomedical technology failure |

FACILITIES

- | | |
|-------------------------|---------------------------------|
| 1 Plant/systems failure | 5 Building project/construction |
| 2 Aging/maintenance | 6 Physical space constraints |
| 3 Property damage | 7 Hazardous materials |
| 4 Building access | 8 Visitor falls |

REGULATORY

- | | |
|---------------------------|--------------------------|
| 1 Regulations/legislation | 4 Credentialing |
| 2 Privacy | 5 Performance agreements |
| 3 Accreditation | |

EXTERNAL RELATIONS

- | | |
|-----------------------|------------------------|
| 1 Partner relations | 4 Donor relations |
| 2 Community relations | 5 Government relations |
| 3 Media relations | |

REGULATION - PROFESSIONAL

- | | |
|--|--------------------------|
| 1 Facility accreditation/quality review | 3 Complaints/resolution |
| 2 Quality assurance of clinical/
medical practice | 4 Registration/licensure |

TEACHING

- | | |
|-----------------------|----------------------------|
| 1 Student experience | 3 Accreditation (teaching) |
| 2 Student performance | 4 Contracts (teaching) |

RESEARCH

- | | |
|--------------------------------------|--------------------------|
| 1 Funding (research) | 6 Grant usage |
| 2 Adverse events (research subjects) | 7 Misconduct |
| 3 Ethics | 8 Conflict of interest |
| 4 Intellectual property | 9 Inspections (research) |
| 5 Contracts (research) | |

COMMUNITY HEALTH

- | | |
|------------------------------|------------------------------|
| 1 Immunization | 4 Chronic disease management |
| 2 Demographics | 5 Prenatal care |
| 3 Emergency medical services | 6 Primary care |

Appendix C Risks by Frequency – Acute Care

Below are all risks entered in the Risk Register to date for all organizations. They are sorted by most frequently cited within each *strategic objective risk category*. See the [“Taxonomy of Healthcare Organizational Risks”](#) for full list of key risks and longer descriptions.

CARE

- | | |
|--------------------------------|---|
| 1 Access | 18 Elopement / unauthorized absence |
| 2 Adverse events (AE) | 19 Birth trauma |
| 3 Communication / coordination | 20 Diagnostic errors |
| 4 Medication | 21 Restraints/entanglement/
entrapment |
| 5 Infection control | 22 Multi-incident |
| 6 Patient falls | 23 Pain management |
| 7 Security/assault | 24 Retained foreign objects |
| 8 Supply shortages | 25 Abduction |
| 9 Monitoring | 26 Complaints management |
| 10 Laboratory/radiology | 27 Length of stay |
| 11 Pressure injuries | 28 Not seen not found |
| 12 Experience/relations | 29 Patient victimization |
| 13 Acuity | 30 Support services |
| 14 Discharge/transitions | 31 Contracted services monitoring |
| 15 Death by Suicide/self-harm | 32 Readmissions |
| 16 Care / consent conflicts | |
| 17 Wrong patient/site | |

HUMAN RESOURCES

- | | |
|--------------------------|-----------------------|
| 1 Recruitment/retention | 8 Labour relations |
| 2 Shortage | 9 Scope of practice |
| 3 Violence/disruptive | 10 Agency issues |
| 4 Physical injuries | 11 Wrongful dismissal |
| 5 Psychological injuries | 12 Benefits/overtime |
| 6 Development | 13 Rights |
| 7 Engagement | |

FINANCIAL

- | | |
|-------------------|---------------------|
| 1 Revenue/funding | 6 Reporting |
| 2 Costs | 7 Fines/liabilities |
| 3 Inefficiencies | 8 Supply chain |
| 4 Procurement | 9 Investments |
| 5 Fraud | 10 Contracts |

LEADERSHIP

- | | |
|----------------------|------------------------------|
| 1 Emergency response | 8 Strategic projects |
| 2 Strategy alignment | 9 Mergers |
| 3 Change management | 10 New program/technology |
| 4 Culture | 11 Politics |
| 5 Succession | 12 Alignment acute/non-acute |
| 6 Governance | 13 Conflict of interest |
| 7 Information gaps | |

INFORMATION MANAGEMENT/TECHNOLOGY

- | | |
|------------------------------|----------------------------------|
| 1 Breach/loss of information | 6 Records management |
| 2 Systems/technology failure | 7 Systems integration |
| 3 Systems/technology needs | 8 Biomedical technology needs |
| 4 Systems reliability | 9 Systems project |
| 5 Technology use | 10 Biomedical technology failure |

FACILITIES

- | | |
|---------------------------------|-----------------------|
| 1 Aging/maintenance | 5 Building access |
| 2 Plant/systems failure | 6 Property damage |
| 3 Building project/construction | 7 Hazardous materials |
| 4 Physical space constraints | 8 Visitor falls |

REGULATORY

- | | |
|---------------------------|--------------------------|
| 1 Regulations/legislation | 4 Credentialing |
| 2 Privacy | 5 Performance agreements |
| 3 Accreditation | |

EXTERNAL RELATIONS

- | | |
|-----------------------|------------------------|
| 1 Partner relations | 4 Government relations |
| 2 Community relations | 5 Donor relations |
| 3 Media relations | |

REGULATION - PROFESSIONAL

- | | |
|--|--------------------------|
| 1 Quality assurance of clinical/
medical practice | 3 Registration/licensure |
| 2 Facility accreditation/quality review | 4 Complaints/resolution |

TEACHING

- | | |
|----------------------------|------------------------|
| 1 Student experience | 3 Contracts (teaching) |
| 2 Accreditation (teaching) | 4 Student performance |

RESEARCH

- | | |
|--------------------------------------|------------------------|
| 1 Funding (research) | 5 Contracts (research) |
| 2 Adverse events (research subjects) | 6 Grant usage |
| 3 Ethics | 7 Misconduct |
| 4 Intellectual property | |

COMMUNITY HEALTH

- | | |
|----------------|------------------------------|
| 1 Demographics | 3 Chronic disease management |
| 2 Immunization | 4 Primary care |

Appendix D Risks by Frequency – Non-Acute Care

Below are all risks entered in the Risk Register to date for non-acute care organizations. They are sorted by most frequently cited within each *strategic objective risk category*. See the “[Taxonomy of Healthcare Organizational Risks](#)” for full list of key risks and longer descriptions.

CARE

- | | |
|------------------------------------|--|
| 1 Infection control | 16 Wrong patient/site |
| 2 Access | 17 Complaints management |
| 3 Communication / coordination | 18 Death by Suicide/self-harm |
| 4 Medication | 19 Diagnostic errors |
| 5 Adverse events (AE) | 20 Restraints/entanglement/ entrapment |
| 6 Security/assault | 21 Contracted services monitoring |
| 7 Patient falls | 22 Airway |
| 8 Elopement / unauthorized absence | 23 Multi-incident |
| 9 Laboratory/radiology | 24 Pressure injuries |
| 10 Acuity | 25 Abduction |
| 11 Care / consent conflicts | 26 Not seen not found |
| 12 Monitoring | 27 Support services |
| 13 Discharge/transitions | 28 Birth trauma |
| 14 Experience/relations | 29 Patient victimization |
| 15 Supply shortages | |

HUMAN RESOURCES

- | | |
|--------------------------|-----------------------|
| 1 Recruitment/retention | 8 Scope of practice |
| 2 Development | 9 Engagement |
| 3 Shortage | 10 Wrongful dismissal |
| 4 Physical injuries | 11 Rights |
| 5 Labour relations | 12 Benefits/overtime |
| 6 Violence/disruptive | 13 Agency issues |
| 7 Psychological injuries | |

FINANCIAL

- | | |
|-------------------|---------------------|
| 1 Revenue/funding | 6 Contracts |
| 2 Costs | 7 Fines/liabilities |
| 3 Reporting | 8 Procurement |
| 4 Fraud | 9 Investments |
| 5 Inefficiencies | 10 Supply chain |

LEADERSHIP

- | | |
|----------------------|------------------------------|
| 1 Emergency response | 8 Change management |
| 2 Strategy alignment | 9 Politics |
| 3 Governance | 10 Mergers |
| 4 Information gaps | 11 Alignment acute/non-acute |
| 5 Succession | 12 New program/technology |
| 6 Strategic projects | 13 Conflict of interest |
| 7 Culture | |

INFORMATION MANAGEMENT/TECHNOLOGY

- | | |
|------------------------------|-------------------------------|
| 1 Systems/technology failure | 6 Systems project |
| 2 Breach/loss of information | 7 Technology use |
| 3 Systems/technology needs | 8 Systems integration |
| 4 Records management | 9 Biomedical technology needs |
| 5 Systems reliability | |

FACILITIES

- | | |
|-------------------------|---------------------------------|
| 1 Plant/systems failure | 5 Hazardous materials |
| 2 Aging/maintenance | 6 Building project/construction |
| 3 Property damage | 7 Physical space constraints |
| 4 Building access | 8 Visitor falls |

REGULATORY

- | | |
|---------------------------|--------------------------|
| 1 Regulations/legislation | 4 Performance agreements |
| 2 Privacy | 5 Credentialing |
| 3 Accreditation | |

EXTERNAL RELATIONS

- | | |
|-----------------------|------------------------|
| 1 Partner relations | 4 Donor relations |
| 2 Community relations | 5 Government relations |
| 3 Media relations | |

REGULATION - PROFESSIONAL

- | | |
|---|---|
| 1 Facility accreditation/quality review | 3 Quality assurance of clinical/ medical practice |
| 2 Complaints / resolution | 4 Registration/licensure |

TEACHING

- | | |
|------------------------|----------------------|
| 1 Student performance | 3 Student experience |
| 2 Contracts (teaching) | |

RESEARCH

- | | |
|--------------------------------------|--------------------------|
| 1 Funding (research) | 6 Conflict of interest |
| 2 Adverse events (research subjects) | 7 Grant usage |
| 3 Ethics | 8 Inspections (research) |
| 4 Contracts (research) | 9 Misconduct |
| 5 Intellectual property | |

COMMUNITY HEALTH

- | | |
|------------------------------|------------------------------|
| 1 Emergency medical services | 4 Chronic disease management |
| 2 Immunization | 5 Prenatal care |
| 3 Demographics | |

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