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
- Use plain language

A. Care

Examples of subscriber strategic objectives related to care include: Deliver High Quality Care; Renewed Commitment to Quality and Safety; Reduce Wait Times; Accessible and Available Services at the Right Time; Compassionate, Respectful and Safe Care; Innovative and Evidence Based Care; Reduce Length of Stay to Meet Targeted Benchmarks; Effective Pain Management; Effective Transitions of Care; Reduce Infection

1. Adverse events (AE) (*Short, standardized name* of the risk to facilitate reporting and tracking of healthcare risks across the healthcare system)
    - AE– general (*Suggested longer name*)
        - A general category for all adverse events which some organizations may wish to use instead of selecting specific types of adverse events (such as falls)
2. Abduction
    - AE– related to infant/child abduction
3. Access
    - Access to care issues/long wait times/poor patient flow
4. Acuity
    - High patient acuity/complexity
5. Birth trauma
    - AE– birth trauma (includes unexpected birth outcome)
6. 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
7. Communication
    - AE– inadequate communication/hand-offs
8. Complaints management
    - Poor management of patient complaints, extremely challenging complaint
9. Contracted services monitoring
    - Inadequate monitoring of contracted services
10. Discharge/transitions
    - AE– inadequate discharge planning/transitions/coordination
11. Experience/relations
    - Poor patient/client/resident experience/satisfaction/involvement/communication
12. Falls
    - AE– falls
13. Funds management
    - Mismanagement of patient/resident funds
14. Infections
    - AE– healthcare acquired infections

15. Length of stay
    - Excessive/high/long lengths of stay
16. Medication
    - AE– medications
17. Monitoring
    - AE – inadequate triage/assessment/monitoring
18. Multi-incidents
    - AE– related to multi-patient events
        - e.g. infection outbreaks, diagnostic errors, etc.
19. Pain management
    - Inadequate pain management
20. Pressure ulcers
    - AE– healthcare acquired pressure ulcers
21. Readmissions
    - Excessive/high readmission rates
22. Restraints
    - AE– mismanagement of restraints/entanglement/entrapment
23. Retained objects
    - AE– retention of foreign objects/bodies
24. Security/assault
    - AE– safety/security/assault/neglect
        - By staff or other patients/client/family/caregivers
25. Supply shortages
    - Critical drugs/supplies shortages
26. Support services
    - Inadequate support services
        - e.g. supplies, laundry, food
27. Wrong patient/site
    - AE– wrong patient/site/procedure
28. Other

B. HR

Provide a Safe and Engaging Work Environment of Staff and Physicians; Staff Reflect the Diverse Nature of Community; Accountable, Recognized, Respected, and Rewarded Staff; Provide a Safer and Healthier Work Environment; Enhance Physician Leadership and Accountability; Implement a Staff Wellness Program

1. Agency issues
    - Poor performance of sub-contracted/agency organizations/providers
2. Development
    - Inadequate staff development/training
3. Engagement
    - Poor staff relations/communication/engagement
4. Labour relations
    - Poor labour (union) relations/work disruption
5. Physical injuries
    - Workplace injuries – physical (e.g. muscular skeletal, needlestick, falls)
6. Psychological injuries
    - Workplace injuries – psychological
        - e.g. stress, workloads
7. Retention
    - Failure to attract/retain top talent (including compensation issues)

8. Rights
    - Human rights violations/discrimination/harassment
9. Scope of practice
    - Healthcare provider practicing outside scope
        - Regulated and non-regulated
10. Shortage
    - Workforce shortages/aging workforce/absenteeism
11. Violence/disruptive
    - Workplace violence/disruptive behavior
12. Wrongful dismissal
    - Wrongful dismissal claims
13. Other

C. Financial

Maintain Strong Financial Performance; Make the Best Use of Resources; Sustainability; Cost Effective and Efficient Operations; Achieve Stable Sources of Funding/Adapt to Changing Funding Models

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

D. Leadership

Strong Leadership and Governance; Lead and Participate in Effective Partnerships; Positive Leadership That Fosters Organizational Values; Culture and System that Focuses on Learning and Collaborative Improvement Where Patient Safety is the Primary Focus for all Staff; Implement an Organization-wide Approach to Drive Performance and Transformation; Support Effective Regional Distribution of Clinical Services

1. Alignment acute/non-acute
    - Lack of alignment/resources/ambulatory/community care
2. Change management
    - Change management/change readiness/change fatigue

3. Conflict of interest
    - Conflict of interest
        - Failure to act in best interests of organization/public
4. Culture
    - Weak culture/insufficient "tone at the top"
        - ethics, patient safety, quality culture, accountability
5. Emergency response
    - Inadequate emergency response/business continuity loss
        - Pandemic, terrorism, natural events, technology
6. Governance
    - Issues with governance ability/accountability/information/conflicts
7. Information gaps
    - Inadequate information/knowledge
        - e.g. decisions are based on poor data/lack of information
8. Mergers
    - Failed mergers, integrations, strategic partnerships
9. New program/technology
    - Inappropriate introduction of new program/technology/treatment
        - High costs, inadequate competency
10. Politics
    - Political uncertainties/policy changes
11. Strategic projects
    - Failed/inadequate implementation of strategic project
        - Can have more than one
12. Strategy alignment
    - Lack of organizational alignment/engagement around vision, mission, values, strategy
13. Succession
    - Inadequate succession planning (key leaders/staff)
14. Other

E. External Relations

Listen to the Needs of Our Community; Comprehensive Public Input; Inspire the Community to Support Patient Care and Research Programs

1. Community relations
    - Poor public/community relations
2. Donor relations
    - Poor donor relations
3. Government relations
    - Poor government relations
4. Media relations
    - Poor media relations
5. Partner relations
    - Poor community agency/partner relations/stakeholder perceptions
6. Other

F. IS/Technology

Implement Clinical Information Systems/Electronic Tools to Improve Care and Effectiveness; Implement an Integrated and Comprehensive Business System to Improve Management of Spending; Complete the Development of the Electronic Health Record and Data Warehouse

1. Systems access
    - e.g. privacy/security breach, hacking, cybercrime
2. Systems failure
    - Critical information systems failure
        - e.g. electronic health records, lab, finance systems down time
3. Systems integration
    - Poor information system integration
        - internal, up and downstream
4. Systems needs
    - Information systems obscelescence
        - e.g. future electronic health strategy
5. Systems project
    - Information systems project implementation failures/delays
6. Systems reliability
    - Poor information systems reliability/continuity
        - e.g. data integrity, loss, inability to retrieve stored data
7. Technology failure
    - Failure of critical biomedical technology
8. Technology needs
    - Lack of biomedical technology to support clinical needs; aging/obsolescence
    - Inadequate management of preventative maintenance
9. Technology use
    - Misuse of technology/equipment
10. Other

G. Facilities

Strategically Invest in Facilities

1. Aging/maintenance
    - Aging buildings; lack of resources for maintenance/redevelopment
2. Building access
    - Unauthorized access; building security issue
3. Building project/construction
    - Issues/delays with building projects; fund approvals; inadequate management
        - e.g. compliance with codes, environment
4. Hazardous materials
    - Inadequate management of hazardous materials (e.g. chemical, waste)
5. Plant/systems failure
    - Failure of critical systems/equipment
        - e.g. HVAC, water, electricity, elevators
6. Property damage
    - Loss/damage of property
        - e.g. fire, flood, water, sewer, vandalism, theft
7. Visitor falls
    - Visitor falls/slips/trips
        - Grounds and building hazards
8. Other

H. Regulatory

Incorporate Performance Agreements that Reflect Strategic Directions

1. Accreditation
    - Accreditation results not being at expected level
2. Credentialing
    - Credentialing disputes with independent providers
3. Performance agreements
    - Inability to meet accountability agreements/targets
        - e.g. waits, number of procedures
4. Regulations/legislation
    - Regulatory/legislative changes/uncertainties/compliance
5. Other

I. Teaching

Educate Health Care Providers to Meet the Future Needs of Community; Multidisciplinary Education in Both the Academic and Workplace Environment; Provide Trainees with Exceptional Learning Experience

1. Accreditation (teaching)
    - Unfavorable accreditation review resulting in loss or decline of program
2. Contracts (teaching)
    - Failed/inadequate teaching contract
        - e.g. Failure to meet obligations, inadequate indemnification, etc.
3. Student experience
    - Poor student experience
4. Student performance
    - Poor performance/compliance of students/observers
5. Other

J. Research

Develop New Knowledge and Innovations; Build a Strong Academic and Research Role; Build Strong and Sustainable Research Program

1. Adverse events (research subjects)
    - Adverse events of research subjects
2. Conflict of interest
    - Research conflict of interest
3. Contracts (research)
    - Failed/inadequate research contracts
4. Ethics
    - Unethical/unapproved research
5. Funding (research)
    - Funding instability; decreased funds, increased costs
6. Grant usage
    - Inappropriate use of grant money
7. Inspections (research)
    - Unfavorable site inspections
8. Intellectual property
    - Loss of intellectual property
        - Can be broader that just research
9. Misconduct
    - Research misconduct
        - Fabrication/falsification of data/results
10. Other

K. Community Health

Health Promotion and Prevention; Effective Health Education, Promotion, and Prevention Programs; Improve Health and Well Being of Community in Targeted Areas; Reduce the Incidence of Preventable Disease in Targeted Areas; Provide Quality Chronic Disease Prevention and Management Programs, Palliative Care

1. Chronic disease management
    - Poor chronic disease management
2. Demographics
    - Unfavorable changes to population demographics
        - e.g. aging, lifestyle trends
3. First responder
    - Inadequate first responder resources/competency
4. Immunization
    - Poor immunization rates
5. Prenatal care
    - Poor access to prenatal care
6. Primary care
    - Poor access to primary care
7. Other