

OUR ROAD TO EXCELLENCE

"JOIN THE JOURNEY"

DOMAIN # 7

RISK MANAGEMENT

Guiding Principles:

The organization has policies and employs practices that minimize the potential of harm to people using services and affiliated with the organization, and minimizes the organization's exposure to risk and liability.

Explanation:

The organization has policies and employs practices that minimize the potential of harm to people using services and affiliated with the organization, and minimizes the organization's exposure to risk and liability.

DOMAIN #7 Standards

7.1 The Board and Executive Director/CEO understand the organization's legal, regulatory, and operational risks, as well as risks to the organization's reputation.

- What is the organization's process for identifying legal, regulatory, and operational risks, as well as risks to the organization's reputation?
- Who takes responsibility for keeping Board members and the ED/CEO apprised of potential risks?
- How does the organization demonstrate that the Board and Executive Director/CEO understand the organization's legal, regulatory, and operational risks, as well as risks to the organization's reputation?

7.2 The organization educates staff on, and has written policies and procedures addressing, the identification and management of risks.

- Provide a copy of the policies and procedures the organization has for identifying and managing risk.
- What steps does the organization take to educate staff on the identification and management of risks? List the ways:
- How does the organization demonstrate that policies and procedures addressing risk management are adhered to? List the ways:

7.3 The Board and Executive Director/CEO undertake a comprehensive and ongoing risk assessment

process, involving:

- ⇒ Identifying the organization's key risks, emerging risks and vulnerabilities, for example, in areas of finances, safety, ethics and senior staff
- ⇒ Prioritizing risks, for example, rating as rare, possible or almost certain
- ⇒ Gauging the level of risk, for example, rating as minor, significant or catastrophic
- ⇒ Allocating resources to address risks
- ⇒ Identifying preventive and detective controls

- Provide the most recent organizational risk assessment completed. Does it include all of the areas listed above?
- How does the organization demonstrate that it makes changes in areas where the risk assessment has identified areas of concern, and complies with any recommendations made in the risk assessment process?
- Provide examples of steps taken by the organization to minimize or eliminate a potential risk involving people using services.
- How often are these risk levels reviewed?

7.4 The organization has, and follows, policies and procedures to minimize risk to people using services in, (but not limited to), the areas of:

- ⇒ Financial management
- ⇒ Personal care
- ⇒ Individual rights
- Provide a copy of policies and procedures.

DOMAIN #7 Standards

- How does the organization demonstrate that these policies and procedures for minimization of risk to people using services are followed?
- Outline measures taken by the organization, to minimize risk to people using services:
- How does the organization demonstrate that measures developed to minimize the risk to people using services are implemented? List the ways.

7.5 The organization has developed processes to identify and minimize its exposure to risk of loss or liability.

- Outline the risk management measures the organization has developed, to ensure the organization has minimized its exposure to risk of loss or liability.
- How does the organization demonstrate that it has taken steps to identify and minimize exposure to risk? List the ways

7.6 The organization purchases the appropriate types and levels of insurance to ensure the protection of people using services, board members, staff, contracted service providers, volunteers, students, and others associated with the organization,

- List the types of insurance coverage the organization purchases:
- What steps does the organization take to verify that it has the right types of insurance and adequate protection?
- What systems has the organization developed to ensure that insurance coverage does not lapse?

7.7 The organization purchases the appropriate types and levels of insurance to ensure adequate coverage for assets and property.

- List the types of insurance the organization purchases for coverage of assets and property:
- How does the organization verify that it has the right types of insurance and adequate protection?

7.8 The organization has current policies and procedures to guide the safe and responsible use, and system security and maintenance of, information technology (IT).

- Provide a copy of the IT policies and procedures.
- Describe what the organization regards as safe and responsible use of information technology?
- Have issues arisen at the organization regarding irresponsible use of IT? Provide an explanation of occurrences, and steps taken by the

organization to rectify challenges. What lessons were learned? What steps were taken to prevent similar occurrences in the future?

- How does the organization demonstrate that it adheres to the policies and procedures in taking the necessary steps to maintain system security of information technology?

7.9 The organization has a technology plan that is reviewed regularly to assess the current, and guide the future, IT environment. Areas covered include, but are not limited to:

- Inventory and profile – hardware and software
- Security administration – physical security, password protection, 3rd party and remote access, anti-virus protection, firewall, intrusion-monitoring, portable data storage devices, internet usage, including non-work related and social networking sites and e-mail System maintenance – back-up systems, recovery plans Assistive technology – accessibility and ease-of-use features Valid licenses (for computer programs, etc.) Driving with hand held devices policy
- Attach the organization's technology related planning document(s).
- List the ways in which the organization's technology plan covers each of the bullet points above.
- How does the organization demonstrate that its technology plan is adhered to.

7.10 The organization has, and follows, policies and procedures to protect all records, in paper and electronic form, from destruction, theft or damage.

- Attach policies and procedures related to records protection and proper destruction.
- How does the organization demonstrate that the policies and procedures for protection and destruction of records are being adhered to? List the ways:
- What steps does the organization take to ensure that records are safe from destruction, theft or damage? List the ways:
- Has the organization experienced any challenges in this area over the past 3 years?
- Explain the challenge and steps taken to address the problem.

7.11 The organization monitors and evaluates work it purchases and/or contracts out.

- Describe the process for monitoring and evaluating services provided to people using

services or the organization by a contracted person or agency:

- Has the organization experienced any challenges with services it contracts out?
- Were existing processes adequate for dealing with the issue?

7.12 The organization has policies and procedures to guide contact with the media, including directives for protecting confidentiality of people using services.

- Attach policies and procedures for contact with the media.
- Has the organization had media contact within the last three years?
- What evidence is there that in this media contact organizational policies and procedures were adhered to?
- Does the organization have an identified, trained organization media spokesperson?
- Was the confidentiality of the people using services respected during the course of media contact?
- Were there lessons learned from previous contact with the media? What steps did the organization take to integrate these lessons into organizational policies, procedures and practices?

7.13 The organization maintains comprehensive records of legal actions, allegations of wrongdoing, malpractice and violation of ethics.

- Has the organization been involved in legal actions, allegations of wrongdoing, malpractice or violations of ethics within the past 5 years? What documentation is there from these occurrences? Where is it kept?
- What was the outcome of legal actions?
- What learning has resulted from the legal actions, or allegations?
- What actions have been taken by the organization to minimize the risk of further legal actions or allegations of wrongdoing, malpractice or violation of ethics?

- How does the organization demonstrate that steps have been taken to minimize the risk of further legal action or allegations? List the ways:

7.14 The organization conducts an annual review of risks, and reports on findings to stakeholders, identifying patterns of activity or concerns, and the effectiveness of remedial action taken. The risk management review includes:

- ⇒ Accidents and occupational health and safety violations
- ⇒ Grievances, harassment and work place complaints
- ⇒ Serious occurrences
- ⇒ Medication errors
- ⇒ Investigations
- ⇒ Litigation
- ⇒ WSIB activity
- ⇒ Work stoppages
- ⇒ Other
- Describe the organization's process for reviewing risks, including:
 - How information collected for the review
 - Who is involved in the compilation and analysis of the information
 - How and which trends have been identified, and what are they compared against to determine significance?
- What is done with the information from the risk management review?
- Who has access to the findings of the review? In what formats is it made available to various stakeholders?
- Is any information from the annual risk management review raised to a systemic level, to improve the safety of the system as a whole? Identify this information:
- Describe the ways in which the organization has learned and improved from the risk management review?
- How does the organization demonstrate that improvements are made, based on the results of the review? List the ways.

Quality Improvement Reflection ~ Please help!

Organizations committed to learning continually seek ways to improve the services they provide. With the above fourteen standards in mind, reflect on the progress the organization has made in the area of Risk Management over the past three years. Identify successes experienced and innovations, note where there is room for improvement, and the steps the organization can take to make and sustain improvements in these areas.

Your feedback in this area would be greatly appreciated. If you can take a moment to identify successes experienced and innovations, note where there is room for improvement and the steps the organization can take to make and sustain improvements in these areas; then forward this information to Michelle.

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