



COMMUNITY LIVING Hamilton

Risk Management Plan
2017 - 2018

Risk Management Plan

Introduction

Community Living Hamilton developed its first formal Risk Management Plan in 2005. The first plan was developed in recognition of the fact that risk is inherent in providing service to clients.

Purpose

Risk Management involves activities that deal with uncertainty and potentially harmful future events. The purpose of this Risk Management Plan is to:

- Identify and minimize risk to Community Living Hamilton, its clients, and the organization's employees, students and volunteers.
- Address risk and increase awareness about identifying risk and how to minimize it.
- Assist in preventing harmful events
- Protect clients
- Protect staff
- Protect the agency's profile in the community and assets
- Ensure the continuity of service provided by the organization
- Utilize a practical and common sense approach that considers the needs of clients first and foremost

This Risk Management Plan coexists with the organization's policy on Risk Management.

Community Living Hamilton's Approach to Risk

Risk exists in the day-to-day operations of Community Living Hamilton. This risk is minimized through cooperation with monitoring bodies such as the Workplace Safety and Insurance Board and the Public Services Health and Safety Association, compliance reviews, the accreditation/quality process, and internal policies and procedures. Internally, a Management team led by the Executive Director who reports directly to the Board of Directors manages and monitors the organization.

The Risk Management plan is developed and reviewed by the Management team, who are similarly responsible for its implementation.

Risks are evaluated and given a rating based on 2 elements:

1. The **likelihood** of a particular risk happening.

High: has happened frequently, or has a very significant chance of happening in the future

- Moderate:** has happened occasionally or has a reasonable but not completely expected chance of happening in the future
- Low:** has happened infrequently, or is expected not to happen except infrequently

2. The **impact** it would have if the risk did occur.

- High:** it will have a major impact on the organization
- Moderate:** It will have some impact on the organization
- Low:** No negative effects to the organization are expected.

Combining these two elements gives the overall risk rating for that item based on the following chart:

		LIKELIHOOD		
		LOW	MODERATE	HIGH
IMPACT	HIGH	M	H	H
	MODERATE	M	M	H
	LOW	L	M	M

General Strategies Used to Address Risk

On an everyday basis, the organization minimizes risk by using training, policies and procedures, centralized reports to Leadership, equipment and tools, and supervision. In addition, the following techniques are used to manage risk:

- Share:** sharing a portion of the risk to third party/ies that can manage the risk e.g. insurance
- Avoid:** change plans to circumvent the problem
- Reduce:** implementing activities to reduce the impact or likelihood (or both) through intermediate steps (e.g. P&Ps)
- Accept:** take the chance of a negative impact; accepting all or part of the risk and preparing for potential consequences by accepting deductible costs or self-insuring

People			
Area of Risk	Clients		
Type of Potential Risk	Injuries and Accidents		
Likelihood	M		Impact M
Overall Risk Rating	Moderate		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Policies and procedures are followed and regularly reviewed with staff • Staff receive orientation and training in a number of areas including safety and prevention (i.e. Occupational Health and Safety, medication administration, safe lifting, NVCI (CPI), First Aid, CPR, WHMIS) • Injuries and accidents are reported and reviewed to identify any trends • Specific interventions are noted in individual plans (e.g. Person Directed Plans or Plan of Care); Behaviour Support Plans and/or Care Strategies are developed as needed • Behavioural Review Committee with expertise external to the organization • External Health and Safety Inspections occur regularly (e.g. Fire, City of Hamilton Public Health inspections for kitchen) 		
Results of Actions used to Manage Risk	There were no injuries/accidents of significance this year.		
New Strategies to be Adopted This Year	None.		
Area of Risk	Clients		
Type of Potential Risk	Missing Persons		
Likelihood	L		Impact H
Overall Risk Rating	Moderate		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Emergency Preparedness Plan (EPP) includes missing person procedure. • EPP is reviewed by staff annually. • Manager on-call system in place to assist after hours. • ShareVision (client e-record) will assist with up-to-date documentation regarding the client 		
Results of Actions used to Manage Risk	There was one report of missing person this year.		

New Strategies to be Adopted This Year	Implementation of ShareVision (client e-record) will assist with up-to-date information about the client.			
Area of Risk	Clients			
Type of Potential Risk	Violence and Trauma			
Likelihood	L		Impact	H
Overall Risk Rating	Moderate			
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Staff are trained to assess safety and potential crises (NVC) • Workplace Violence and Harassment Prevention policy and procedure is in place 			
Results of Actions used to Manage Risk	There were no issues related to violence or trauma this year.			
New Strategies to be Adopted This Year	None.			
Area of Risk	Clients			
Type of Potential Risk	Abuse and Neglect			
Likelihood	L		Impact	H
Overall Risk Rating	Moderate			
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Abuse Prevention and Reporting policy and procedure is in place • Complaints and Feedback policy and procedure is in place • Employees and volunteers are screened and supervised • Mistreatment, abuse or neglect is reported to appropriate authorities • All employees and volunteers are required to complete annual training on abuse prevention and reporting • All clients receive annual education on abuse prevention • Serious Occurrence reporting is in place • ReportON Ministry reporting is in place 			
Results of Actions used to Manage Risk	There has been an increase in the number of reports of alleged abuse. Improved client and staff education around abuse and abuse reporting can explain this increase.			
New Strategies to be Adopted This Year	None.			
Area of Risk	Clients			

Type of Potential Risk	Violation of Private or Confidential Information		
Likelihood	L		Impact L
Overall Risk Rating	Low		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Confidentiality policy • Protection of Information policy • Privacy Breach policy • Computer Use policy • ShareVision (client e-record) is accessible only by users with passwords • ShareVision is stored on a secure server • Client information in paper format is stored in locked cabinets 		
Results of Actions used to Manage Risk	One issue of a violation of confidential information.		
New Strategies to be Adopted This Year	Policies related to confidentiality have been updated and further staff education is planned.		
Area of Risk	Employees		
Type of Potential Risk	Injuries and Accidents		
Likelihood	M		Impact L
Overall Risk Rating	Moderate		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Joint Health and Safety Committee is in place and is comprised of Management and Worker representatives • Occupational Health and Safety manual addresses employee safety, including accident/injury reporting • Orientation and training for employees includes safety (NVCI, WHMIS) • Injuries are reported and reviewed for trends • WSIB coverage, Health Benefits • External Health and Safety inspections • Ministry of Labour inspections • Workplace Violence and Harassment Prevention policy and procedure is in place • Workplace Violence Assessment has been conducted and analyzed 		
Results of Actions used to Manage Risk	No issues of note this year.		
New Strategies to be Adopted This Year	None.		

Area of Risk	Employees		
Type of Potential Risk	Illness		
Likelihood	M		Impact L
Overall Risk Rating	Moderate		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Occupational Health and Safety manual addresses illness prevention (i.e. Infection Control) Policies are in place related to Pandemic Preparedness and Response Employees are to always use universal precautions Employees are encouraged to get their flu shot every year 		
Results of Actions used to Manage Risk	No issues of note this year.		
New Strategies to be Adopted This Year			
Area of Risk	Employees		
Type of Potential Risk	Communicable Diseases		
Likelihood	L		Impact L
Overall Risk Rating	Low		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Occupational Health and Safety manual addresses illness prevention (i.e. Infection Control which includes Infectious Diseases) Policy and procedures in place for accident/injury reporting Employees are to always use universal precautions Employees are encouraged to get their flu shot every year 		
Results of Actions used to Manage Risk	There were no issues of note this year.		
New Strategies to be Adopted This Year	none		
Area of Risk	Employees		
Type of Potential Risk	Turnover		
Likelihood	L		Impact M
Overall Risk Rating	Low		

Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Wage and benefits package • Employee Recognition program • Participation in Provincial HR strategy with OASIS and MCSS 		
Results of Actions used to Manage Risk	No significant change this year.		
New Strategies to be Adopted This Year			
Area of Risk	Employees		
Type of Potential Risk	Employment Practices Violation		
Likelihood	L		Impact M
Overall Risk Rating	Medium		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Human Resources policies and procedures • Employment Standards Act • Collective Agreement with CUPE 3943 		
Results of Actions used to Manage Risk	There were no employment standards violations this year.		
New Strategies to be Adopted This Year	None.		
Area of Risk	Employees		
Type of Potential Risk	Workplace Violence		
Likelihood	L		Impact M
Overall Risk Rating	Medium		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Workplace Violence and Prevention policy is in place and up-to-date • Staff receive orientation and training in safety and prevention (i.e. Occupational Health and Safety, and NVCI) • 		
Results of Actions used to Manage Risk	<p>Any reports of workplace violence issues were handled appropriately within the means and expertise of Human Resources and external reporting (i.e. police where applicable). Managers received additional training on how to handle these types of issues, particularly when working with external organizations and community.</p> <p>It is important to note that a new service provided (SNR) has increased staff exposure to external organizations and people within the community.</p>		


New Strategies to be Adopted This Year	Continue with education of staff and managers.		
Area of Risk	Students		
Type of Potential Risk	Injuries and Accidents		
Likelihood	L		Impact L
Overall Risk Rating	Low		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Policies and procedures in place • All students go through screening and formal orientation • Students are supervised by trained staff • Partnerships with Boards of Education, Colleges and Universities 		
Results of Actions used to Manage Risk	There were no issues of injuries/accidents this year.		
New Strategies to be Adopted This Year	None		
Area of Risk	Volunteers		
Type of Potential Risk	Accident and Injuries Turnover		
Likelihood	L		Impact L
Overall Risk Rating	Low		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Policies and procedures in place • All volunteers go through screening and formal orientation • Volunteers are supervised by trained staff • Active recruitment • Active Best Buddies program with McMaster University • Partnerships with community volunteer organizations (e.g. Dundas Community Services) • Partnerships with Boards of Education, Colleges and Universities 		
Results of Actions used to Manage Risk	There were no issues with accidents, injuries or turnover this year.		
New Strategies to be Adopted This Year	None		
Area of Risk	Board of Directors		
Type of Potential Risk	Legal and Fiduciary Requirements		

	Liability		
	Board Turnover		
Likelihood	L		Impact M
Overall Risk Rating	Medium		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Liability insurance • Governance policies and procedures • Bylaws in place • Executive Director provides monthly reports including areas of risk or potential risk • Board Member recruitment and screening conducted by an ad hoc committee/working group of the Board 		
Results of Actions used to Manage Risk	There were no issues related to Board of Directors conduct this year.		
New Strategies to be Adopted This Year	None		
Area of Risk	Community		
Type of Potential Risk	Complaints		
Likelihood	M		Impact L
Overall Risk Rating	Moderate		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Complaints policy and procedure in place and readily available on our website or on request • Report on complaints is reviewed by the Board of Directors and The Advisors 		
Results of Actions used to Manage Risk	While there was an increase of complaints this year, it is to be noted that a new program of significant size was opened, and the complaints continue to be resolved in a timely manner according to policy.		
New Strategies to be Adopted This Year	None.		
Property and Assets			
Area of Risk	Buildings		
Type of Potential Risk	Damage		
Likelihood	L		Impact L
Overall Risk Rating	Low		

Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Insurance and deductibles • Sprinkler systems in place and maintained in accordance with Fire Code • Security Systems in place at office locations • Properties Manager in place
Results of Actions used to Manage Risk	Break-in occurred at one location this past year. It was handled appropriately within the bounds of insurance.
New Strategies to be Adopted This Year	None
Area of Risk	Vehicles
Type of Potential Risk	Damage Accident Theft Age/condition
Likelihood	L Impact L
Overall Risk Rating	Low
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Insurance and deductibles • Vehicle Safety and Preventative Maintenance policies and procedures are in place • Vehicles are on a regular maintenance schedule • Vehicles are assessed and replaced as age and condition warrant
Results of Actions used to Manage Risk	Vehicles are being managed well.
New Strategies to be Adopted This Year	None.
Area of Risk	Furnishing, Supplies, Equipment
Type of Potential Risk	Damage Theft Condition
Likelihood	L Impact L
Overall Risk Rating	Low
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Insurance and deductibles • Preventative Maintenance policy and procedure in place • Furnishings and equipment are assessed for safety and condition and replaced as warranted
Results of Actions used to Manage Risk	There has been no issues of concern in this area this year.

New Strategies to be Adopted This Year	None.		
Area of Risk	Technology		
Type of Potential Risk	Security Information Management Privacy and Confidentiality Theft Damage Up-to-date		
Likelihood	L		Impact M
Overall Risk Rating	Medium		
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> • Insurance and deductibles • Computer Use policy in place • Confidentiality, and the Collection, Use and Disclosure of Personal information policy in place • Media policy • Contract in place for unlimited remote support for organization's technology infrastructure • Information is regularly backed up using up-to-date practice/technology • Equipment replaced or refreshed as able, to keep up-to-date • IT Manager in place 		
Results of Actions used to Manage Risk	There has been incidents of IT equipment damage and one of theft; all has been managed within either the IT equipment replacement/refresh plan or insurance as applicable. There was also a cryptovirus attack on the server that was managed by our 3 rd party provider where the firewall and antivirus was reviewed and updated.		
New Strategies to be Adopted This Year	The Computer Use policy is being updated to reflect new practice. Moving to Sharepoint rather than relying solely on an aging server will assist in the protection and integrity of information.		
Financial			
Area of Risk	Financial Practice		
Type of Potential Risk	Fraud Theft Legal Requirements to record and report Investment losses		
Likelihood	L		Impact H
Overall Risk Rating	Moderate		

Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Financial Policies and Procedures Insurance External audit completed annually Experienced finance employees
Results of Actions used to Manage Risk	There have been no issues with Financial practices this year.
New Strategies to be Adopted This Year	None
Organization	
Area of Risk	Reputation and Profile
Type of Potential Risk	Negative Media Coverage Loss of Credibility
Likelihood	L Impact M
Overall Risk Rating	Low
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Avoid Activities that threaten the organization’s profile or may cause a negative impact on its reputation Participate in activities that increase the organization’s “goodwill” bank/reputation (e.g. United Way Campaign) Membership in provincial organizations (Community Living Ontario and OASIS) Adherence to Goal and Vision Statement Media policy in place
Results of Actions used to Manage Risk	There were no issues regarding reputation and profile of the Organization this year.
New Strategies to be Adopted This Year	None
Organization	
Area of Risk	Service Continuity
Type of Potential Risk	Disasters Work stoppages Loss of funding
Likelihood	L Impact H
Overall Risk Rating	Moderate
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Pandemic Preparedness and Response in place Emergency Preparedness plan in place Service Continuity Plan in place Employee Relations Committee is active

	<ul style="list-style-type: none"> Compliance, licensing and other regulatory mechanisms are in place
Results of Actions used to Manage Risk	There were no issues of service continuity this year.
New Strategies to be Adopted This Year	None
Area of Risk	Governance
Type of Potential Risk	Low Membership of Board of Directors
Likelihood	M  Impact L
Overall Risk Rating	Moderate
Current Strategies Used to Manage Risk	<ul style="list-style-type: none"> Board composition policy and matrix Annual declaration of Board in minutes recognizing low membership; however in anticipation of the pending Not For Profit Corporations Act the bylaws are remaining as-is until the Act is proclaimed and in force.
Results of Actions use to Manage Risk	None
New Strategies to be Adopted this Year	None