

## Risk Management Plan

### **Introduction**

Community Living North Grenville developed this risk management plan in 2009 to expand upon existing risk management policies found in the Community Living North Grenville Board Governance manual, and the Policy & Procedure manual.

### **Purpose**

Community Living North Grenville recognizes that there is risk in providing support to people in the community. To promote independence, growth and citizenship it is necessary to identify and manage risks that accompany those outcomes. Risk is not only associated with supported people but with the overall well being and integrity of the corporation, its members, employees, volunteers, and governance structure and finances.

This plan will cover the following areas and may overlap with other policies found in the Board Governance Manual, and the Policy & Procedure Manual:

- Identify and minimize risk to Community Living North Grenville, the people supported by the agency, agency employees and volunteers.
- Address awareness and manage/minimize risk.
- Assist in preventing harmful events.
- Protect the people supported by the agency.
- Protect the agencies profile and assets.
- Ensure the continuity of service provided by the agency.
- Utilize a practical and common sense approach that considers the needs of the people supported by Community Living North Grenville first and foremost.

## **Community Living North Grenville’s Approach to Risk**

Risk exists in the day-to-day operations of Community Living North Grenville. We recognize we support some of our community’s most vulnerable citizens. To provide people we support with no risk would mean those people would never in many circumstances be exposed to or provided with opportunities to become respected citizens in our community. We do however recognize our responsibility to identify and minimize risk in a responsible yet respectful way. As an organization entrusted with the well being of people with an intellectual disability we have a responsibility to them, their families, and our community.

Every person supported by Community Living North Grenville will have an Individual Risk Assessment in place that identifies the level of risk associated to that person. The Assessment is developed and reviewed by the Management team, who are responsible for its implementation.

Community Living North Grenville minimizes risk through compliance with Ministry of Children, Community and Social Services (MCCSS), in Association with the Social Inclusion Act and Quality Assurance Measures. It also adheres to bodies such as CARF Accreditation standards, Employment Standards, the Public Services Health and Safety Association, as well as internal processes such as the Joint Health and Safety Committee, Employer/Employee Relations Committee and the annual financial audit. Community Living North Grenville also seeks to develop partnerships with other community organizations where possible. Internally, a Management team led by the Executive Director who reports directly to the Board of Directors manages and monitors the organization.

### **General Strategies Used to Address Risk**

On an everyday basis, Community Living North Grenville minimizes risk by using training, policies and procedures, equipment and tools, and supervision. In addition, the following techniques are used to manage risk;

**Avoidance:** Discontinuing an activity or not offering a service.

**Modification:** Implementing activities to reduce the level of risk to an acceptable level (e.g. implementing policies and procedures)

**Retention:** Accepting all or part of the risk and preparing for potential consequences by accepting deductible costs (insurance) or self-insuring (workplace accident insurance instead of WSIB)

**Sharing:** Purchasing insurance, sharing responsibility with another organization or contract the service to another business.

## SUPPORTING DOCUMENTS

- Community Living North Grenville Board Governance Manual
- Community Living North Grenville Policy & Procedure Manual
- MCCSS Risk Assessment Process
- CARF Accreditation Standards
- Quality Assurance Measures Compliance, Reg 299/10

| Area of Risk                       | Description of Potential Risk | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
|------------------------------------|-------------------------------|-----------|----------|--|
| <b>People</b>                      |                               |           |          |  |
| Supported Individuals and Families | Injuries and accidents        | Moderate  | Moderate | <ul style="list-style-type: none"> <li>• Policies and procedures are followed and regularly reviewed with staff at staff meetings</li> <li>• Staff receives orientation and training in a number of areas including safety and prevention, CPI, First Aid/CPR, Back care, WHMIS and Q-Straint and accessibility vehicle</li> </ul> |

| Area of Risk     | Description of Potential Risk                | Frequency | Severity | Strategies and Methods Used to Manage Risk  |
|------------------|--|-----------|----------|---|
| <b>People</b>    |  |           |          |   |
|                  |  |           |          | <ul style="list-style-type: none"> <li>lifts</li> <li>Injuries and accidents are reported and reviewed to identify trends (serious occurrence and incident reports)</li> <li>Self-Directed Support Plans identify behavioural issues and positive approaches in dealing with them</li> <li>Each supported individual has a risk assessment completed</li> <li>Policies and procedure related to persons safety are in place (i.e. medication, bathing, best health, etc.)</li> <li>Policies are in place in regards to workplace violence</li> <li>Fire safety and evacuation plans</li> <li>MCCSS annual compliance reviews</li> </ul> |
|                  | Missing Persons                              | Low       | High     | <ul style="list-style-type: none"> <li>Each person supported has a missing persons protocol established - this policy was established in partnership with the O.P.P.</li> <li>Flight risk identified in risk assessment</li> <li>On-call system 24/7</li> <li>Serious occurrence reports required to be filed with MCCSS</li> </ul>   |
| Personal Finance | Fraud, theft of finances for person's served | Low       | Moderate | <ul style="list-style-type: none"> <li>Financial journals-persons served</li> <li>Finances-of Persons Served Policy</li> <li>Third party audit reviews by Finance Manager</li> </ul>  |

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|---------------|-------------------------------|-----------|----------|---|
| <b>People</b> |                               |           |          |   |
|               | Violence and Trauma           | Low       | Moderate | <ul style="list-style-type: none"> <li>• Staff are trained to access safety and potential crisis (Crisis Prevention Institute-Non violent crisis intervention)</li> <li>• Code of Conduct (see P&amp;P manual) used as a guideline to govern behaviour of supported individuals</li> <li>• Serious Occurrence reporting MCCSS may be required</li> <li>• Policy on Staff and Client safety</li> </ul>   |
|               | Abuse and Neglect             | Low       | Moderate | <ul style="list-style-type: none"> <li>• Policy-on Abuse addresses abuse and neglect of people supported</li> <li>• Rights manual provides information about rights and how to make a complaint</li> <li>• Vulnerable Sector Screening for Employees and volunteers (CPIC)</li> <li>• Mistreatment, abuse or neglect is reported to the appropriate authorities</li> <li>• Serious occurrence reports required by MCCSS</li> <li>• Outcomes based survey</li> <li>• Rights advisory committee</li> <li>• Quality Assurance measures training MCCSS regulation 299/10</li> </ul> |

| Area of Risk     | Description of Potential Risk | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
|------------------|-------------------------------|-----------|----------|--|
| <b>Employees</b> |                               |           |          |  |
|                  | Injuries and                  | Low       | Low      | <ul style="list-style-type: none"> <li>• Joint Health and Safety committee comprised of</li> </ul> |

|  |                       |     |     |   |
|--|-----------------------|-----|-----|---|
|  | Accidents             |     |     | <p>Management and Union representatives</p> <ul style="list-style-type: none"> <li>• Policies address health and safety of employees</li> <li>• Orientation and training for staff includes safety (CPI, WHMIS, lifting, slips and falls)</li> <li>• Injuries are reported and trends reviewed Annual Health &amp; Safety Summary</li> <li>• Annual Risk/Hazard Assessments</li> <li>• Workplace accident insurance is provided</li> <li>• Fire safety plans</li> </ul> |
|  | Illness               | Low | Low | <ul style="list-style-type: none"> <li>• Employees are provided with sick time as provided in Collective Agreements and Management contracts</li> <li>• Health &amp; Wellness practice</li> <li>• Staff are provided with options for flu clinic</li> </ul>   |
|  | Communicable Diseases | Low | Low | <ul style="list-style-type: none"> <li>• Appropriate disclosure requested related to Communicable Diseases (employee Health Assessment)</li> <li>• Agency will pay for appropriate immunizations (i.e. Hepatitis B shot)</li> <li>• Policies address infection control and communicable diseases</li> <li>• Third party contingency planners (replacement workers)</li> </ul>   |

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|---------------------------|--------------------------------|-----------|----------|--|
| <b>Employees</b>          |                                |           |          |  |
|                           | Staff Turnover                 | Low       | Moderate | <ul style="list-style-type: none"> <li>• Competitive wages and benefits, including pension plan</li> <li>• Staff Recognition Program</li> <li>• Human Resources policies and procedures</li> <li>• Staff training</li> <li>• Provincial DS HR. strategy</li> <li>• Core Competencies Implementation</li> </ul> |
|                           | Employment Practices Violation | Low       | High     | <ul style="list-style-type: none"> <li>• Human Resources policies and procedures</li> <li>• Employment Standards Act</li> <li>• Collective agreement with OPSEU 434 and Management contracts</li> </ul>  |
|                           | Labour disruptions             | Low       | High     | <ul style="list-style-type: none"> <li>• Contingency plan in place</li> <li>• Negotiations with Ministry of Labour to ensure individuals homes cannot be picketed</li> <li>• Maintain a good working relationship with union stewards and representatives.</li> </ul>  |
| Area of Risk              | Description of Potential Risk  | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
| <b>Board of Directors</b> |                                |           |          |  |

|                        | Criminal Activity<br>Fraud, Theft<br>Legal<br>Requirements<br>Liability | Low       | Moderate | <ul style="list-style-type: none"> <li>• Liability Insurance</li> <li>• Governance policies and procedures</li> <li>• Board member recruitment and screening</li> <li>• Distinguishing role of Board and Executive Director (Governance)</li> <li>• Board orientation manual</li> </ul>  |
|------------------------|---|-----------|----------|--|
| Area of Risk           | Description of Potential Risk   | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
| <b>Community</b>       |   |           |          |  |
|                        | Complaints  | Low       | Moderate | <ul style="list-style-type: none"> <li>• Public relations and media</li> <li>• Executive Director is spokespersons for the agency</li> <li>• Complaints may be made directly to the Executive Director-complaints assessed and possibly referred to the Public Relations Chair and or Board</li> <li>• Complaints Policy P&amp;P Manual</li> </ul> |
| Area of Risk           | Description of Potential Risk   | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
| <b>Property Assets</b> |   |           |          |  |
| Buildings              | Damage  | Low       | Low      | <ul style="list-style-type: none"> <li>• Insurance and deductibles</li> <li>• Insurance Coverage Policy”</li> <li>• Repair orders</li> <li>• P&amp;P manual, property maintenance</li> <li>• P&amp;P manual, Emergency measures</li> <li>• H&amp;S monthly and daily checklists</li> </ul>   |



| Vehicles                                  | Damage<br>Accident   | Low       | Moderate | <ul style="list-style-type: none"> <li>• Annual Fire Inspections</li> <li>• Insurance and deductibles</li> <li>• Automobile and Driving Policies</li> <li>• Safe driving training</li> </ul>  |
|---|--|-----------|----------|---|
|   | Personal Injury<br>Theft   | Low       | Low      | <ul style="list-style-type: none"> <li>• Policy on inclement weather and assets and equipment</li> <li>• Repair orders, regular maintenance as per service manuals</li> <li>• Winter tire practice</li> </ul>   |
| Furnishings,<br>Supplies and<br>Equipment | Damage<br>Theft<br>Injury  | Low       | Low      | <ul style="list-style-type: none"> <li>• Insurance and deductibles</li> <li>• Policy Assets and Equipment</li> </ul>  |
| Area of Risk                              | Description of Potential Risk  | Frequency | Severity | Strategies and Methods Used to Manage Risk  |
| <b>Technology</b>                         |  |           |          |   |
| Computer systems and database information | Security<br>Information Management<br>Privacy and Confidentiality<br>Theft<br>Damage<br>Staff downtime<br>Training | Low       | Moderate | <ul style="list-style-type: none"> <li>• Building is monitored or alarmed at all times</li> <li>• Information Management addressed in Technology and System plan</li> <li>• Policies on Computer/Internet Use and Social media</li> <li>• Cyber-Risk Insurance and cybersecurity training</li> <li>• Off site technical support</li> <li>• Staff is provided with training ie. use of computers</li> <li>• Staff are provided with interest free loans to purchase computers</li> </ul> |

| Area of Risk       | Description of Potential Risk                                     | Frequency | Severity | Strategies and Methods Used to Manage Risk   |
|--------------------|---|-----------|----------|--|
| <b>Financial</b>   |   |           |          |  |
| Financial Practice | Fraud<br>Legal requirements to record report<br>Investment losses | Low       | High     | <ul style="list-style-type: none"> <li>Financial Policies and Procedures</li> <li>Insurance</li> <li>GAAP Accounting Procedures</li> <li>External audit completed annually</li> <li>Qualified financial staff</li> </ul> |

| Area of Risk           | Description of Potential Risk                                     | Frequency | Severity | Strategies and Methods Used to Manage Risk  |
|------------------------|---|-----------|----------|---|
| <b>Organization</b>    |   |           |          |   |
| Reputation and Profile | Negative media coverage<br>Loss of credibility<br>Loss of funding | Low       | Moderate | <ul style="list-style-type: none"> <li>Avoid activities that threaten the organization's profile or may cause a negative impact on its reputation</li> <li>Membership's in provincial organizations</li> <li>Adherence to goal, vision statement and policy and procedures</li> <li>Public relations committee</li> </ul> |