

CANOPY SUPPORT SERVICES - Risk Registry - 2022-2023

Master File

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Risk Category	Risk Name and Description	Likelihood	Impact	Risk Level	Risk Control <i>(Plan to avoid, reduce or accept risk)</i>	Risk Response <i>(Plan if risk does occur)</i>	Lead <i>(who will monitor, review and report)</i>	Data or Rational <i>(supporting likelihood or impact)</i>	Update Status
Direct/Indirect Service Delivery									
C.01	<i>Transportation of Person(s) - Accident: Car accident during the course of Person(s) transportation</i>	1	1	Low ●	Policies and Procedures require proof of insurance, drivers abstract and licence before transportation of person(s).	Staff are not required to transport Person(s) in their vehicle, however if they choose to do so, the onus is on the employee to ensure that they have sufficient insurance coverage for such situations, and do so at their own risk. Staff must fully complete the Vehicle Insurance Form and provide a letter of confirmation from their insurance provider to the Finance Department.	Program Manager / Human Resources	Highly Unlikely	This is a not a requirement to transport persons, however can be determined on a case by case basis.
C.02	<i>Transportation of Person(s) - Health Hazard: Includes health hazards such as bed bugs, fleas etc.</i>	1	1	Low ●	Policies and Procedures require proof of insurance, drivers abstract and licence before transportation of person(s).	Staff are not required to transport Person(s) in their vehicle, however if they choose to do so, the onus is on the employee to ensure that they have sufficient insurance coverage for such situations, and do so at their own risk. Staff must fully complete the Vehicle Insurance Form and provide a letter of confirmation from their insurance provider to the Finance Department.	Program Manager / Local Bug Exterminator	Highly Unlikely	This is a not a requirement to transport persons, however can be determined on a case by case basis.
C.03	<i>Person(s) Safety incident - Harm to Person(s) (medication): Medication error (with held, over dosed, incorrect)</i>	1	3	Medium ●	Medication Administration Policies and Procedures and Training are in place for required staff.	Medical attention provided to Person(s) if necessary, supervisor notified, SOR completed, employee removed from administering medication until they have been re-trained	Clinical Supervisor / Management / HR Training	Unlikely	This only applies to the Autism Services Program (OAP) who are trained during orientation on medication administration
C.04	<i>Person(s) Safety incident - Serious Harm to Person(s) harmed during the course of receiving services</i>	1	3	Medium ●	Clinical Services Policies and Procedures, Behaviour Support Plans, Safety Plans and when to terminate services are currently in place. Proper NVCI / Safe Management training on how to administer physical restraints is paramount to ensure all parties involved remain safe.	Incident to be reviewed by management and steps taken to reconcile event and prevent future similar events	Clinical Supervisor / Management / HR Training	Unlikely	This applies to the OAP, who have completed necessary NVCI trainings.
C.05	<i>Person(s) Safety incident - harm to staff by Person(s): Harm to staff during the course of Person(s) service</i>	1	3	Medium ●	Clinical Services Policies and Procedures, Behaviour Support Plans, Safety Plans and when to terminate services are currently in place. Proper NVCI / Safe Management training on how to administer physical restraints is paramount to ensure all parties involved remain safe.	Incident reviewed and steps taken to reconcile event and prevent future similar events. Medical intervention provided if needed and Debrief offered.	Clinical Supervisor / Management / HR Training	Unlikely	Autism Services
C.06	<i>Access - Wait times and Flow</i>	1	2	Low ●	Canopy Support Services provides different specialized and clinical services to Adults and Children. Canopy has an Intake and Application form and package to provide to Person(s) seeking services.	In the event of a waitlist, Canopy Support Services can begin to provide "Brief Service" in order to best support the Person(s) requesting service. Once the Person(s) are off the waitlist, Canopy can begin to provide "Full Service"		Highly Unlikely	* This can speak to all programs and their unique intake processes *
C.07	<i>Discharge/ transition of care: Person(s) discharged without follow-up care plans</i>	1	1	Low ●	Canopy Support Services is committed to providing individual planning which adheres to the principles of person-directed service, self-determination, and positive approaches, and which promotes dignity, respect, and the wellbeing of people receiving support. Canopy Support Services will comply with all MCCSS standards and relevant legislation that are applicable to the services the agency provides, and that are required in the province of Ontario.	If there is a decline/refusal/withdrawal of service, the person(s) will be given notice of their discharge prior to the discharge date.		Highly Unlikely	
C.08	<i>Medication storage : inappropriate person gains access to medication without authorization</i>	1	3	Medium ●	Medication is kept in locked cabinet. Doors to medication area locked. Only authorized staff has access to the medication kart. Only small amounts of medication stored at any given time.	Follow up with Clinical Supervisor and Complete SOR Medication Error	Clinical Supervisor / Management / HR Training	Highly Unlikely	
C.09	<i>Breach of PHIPA: Confidential Person(s) health information being lost/ provided to others without consent to do so</i>	2	2	Medium ●	Paperless records, password protection, locked files, cases for file transportation, PHIPA policy. Double lock for files. Privacy audit. Organization is compliant with reporting requirements to IPC.	Inform Person(s) of breach in writing, inform privacy officer, attempt to retrieve information, ensure safeguards to prevent future breach.	Human Resources / CEO / Program Manager	Unlikely	
Community Health									
CH.01	<i>Disease/ infection: COVID-19 Outbreak of illness impacting Person(s)</i>	3	2	High ●	Canopy Support Services has COVID-19 P&P and PPE in place to best safeguard Staff and Person(s) receiving services accessing the building or within community settings if applicable.	Initiate Canopy Support Services COVID-19 Outbreak Protocol and follow directions from Local Public Health			Recent influx of COVID-19 cases within community partner settings and person(s) accessing services.
CH.02	<i>Poor immunization : Poor staff/ Person(s) flu immunization results</i>	1	1	Low ●	COVID-19 Vaccination P&P and Declaration Forms in place. Canopy strongly encourages all Staff, Independent Contractors, Volunteers and Students to receive the COVID-19 vaccination and get boosters in accordance with the recommendations of Public Health Officials and the requirements of Canopy. Any new staff, independent contractors, volunteers and students will be requested to provide proof of vaccination prior to engagement.	Respond based on severity of outbreak. Staff who do not receive the COVID-19 vaccination for reasons related or unrelated to a protected ground under the Human Rights Code, will participate in an employer-offered COVID-19 educational program. If volunteers/independent contractors/students do not receive the COVID-19 vaccine, for reasons unrelated to a protected ground under the Human Rights Code, they will be assigned to tasks that restrict their interactions with Person(s) and Staff if such tasks are available. If such tasks are unavailable, unvaccinated volunteers, independent contractors and students will not be engaged.		Unlikely	
CH.03	<i>Bed bugs in facility: Bed bug infestation in a Canopy building</i>	2	2	Medium ●	P&P Occupational Illness, Infection Prevention and Control: Bed Bugs in place. Canopy Support Services takes preventative measures when conducting meetings.	Follow Canopy Support Services P&P Occupational Illness, Infection Prevention and Control: Bed Bugs.		Unlikely	
External Relations									
ER.01	<i>Community relation issues (i.e., Reputation) : Loss of reputation in the community</i>	1	2	Low ●	Canopy has a strong positive presence in the community with support from other organizations, government officials etc. Ongoing participation with various external committees including MCCSS sub regions.	Develop and communication plan to address how best to respond to issue.		Highly Unlikely	
ER.02	<i>Sponsor/ donor relationship issues : Loss of reputation with donors</i>	1	1	Low ●	Canopy has a strong positive relationship with donors and keeps them well informed as to how their funds help support programs	Develop and communication plan to address how best to respond to issue.		Highly Unlikely	
ER.03	<i>Government relationship issues : Break down in relationships with government funders/ partners</i>	1	3	Medium ●	Canopy has a strong positive relationship with funders. Canopy participates at various MCCSS planning tables. All reporting requirements are met and submitted on time.	Use existing partnerships to help identify the breakdown and take steps to rectify		Highly Unlikely	
ER.04	<i>Outside Paid Resources: Breakdown in relationships and issues with non-compliance</i>	2	2	Medium ●	Canopy has a strong relationship with all OPRs it conducts business with. Working with MCCSS to ensure they are compliant with QAM legislation.	Continuous auditing of OPRs will help mitigate risks of noncompliance.	CEO/Program Manager	Unlikely	
Facilities									
Fc.01	<i>Aging/ maintenance: Person(s) services, staff not able to occupy location, financial</i>	1	3	Medium ●				Highly Unlikely	Leasing Building
Fc.02	<i>Accessibility: Staff, Person(s), volunteer and students unable to access building, verbally/in writing shared with staff, Person(s) survey</i>	1	2	Low ●	Operations Policies and Procedures in place to comply with Accessibility for Ontarians with Disabilities Act, 2005, and the Ontario Human Rights Code	Provide service within Community or Office Settings to best support Person(s) needs and make accessible according to AODA guidelines		Highly Unlikely	
Fc.03	<i>Property damage (i.e., Fire, flood etc.) : financial, loss of equipment, impact to services offered</i>	2	3	High ●				Highly Unlikely	Leasing Building
Fc.04	<i>Visitor fall/ accident : Lawsuit, physical damage</i>	2	2	Medium ●	H&S reviews, proper floor care, reduce all risks where	repair/remedy concern, educate		Unlikely	

					possible							
Fc.05	Heat and hydro costs increase : increase > 20% / year	1	1	Low	Canopy Support Services is currently Leasing Office and Clinic spaces. The Landlord pays for utilities but does charge Canopy a percentage.	Canopy Support Services is currently Leasing Office and Clinic spaces. The Landlord pays for utilities but does charge Canopy a percentage.		Unlikely	Leasing Building			
Fc.06	Building security : Breach, damage to building, property or confidential paperwork stolen or damaged	1	2	Low	Canopy Support Services Security of Agency Property P&P in place. All staff requiring access to Canopy offices will require a security door FOB and ID Badge	Review possible breaches and ways to further secure		Highly Unlikely				
Financial												
F.01	Loss of Core Adult and Childrens MCCSS Funding	1	3	Medium	Canopy has a strong positive relationship with funders. Canopy participates at various MCCSS planning tables. All reporting requirements are met and submitted on time.		CEO / Financial Controller / Senior Management	Unlikely	loss of funding MCCSS, procurement of PPE			
F.02	Over budget- staff benefits: increase in benefits cost by >20%	2	1	Low	Monitor benefits costs to agency. Seek out alternatives		CEO / Financial Controller / Senior Management	Unlikely				
F.03	Liability/fines: fines resulting from health and safety/ negligence on the part of the agency	2	1	Low	Routine safety inspections, insurance, manager of safety, security and facilities monitoring H&S concerns		CEO / Financial Controller / Senior Management	Highly Unlikely				
F.04	Cost of living increase and funding does not follow same pattern: funding does not increase to account for the increase costs of doing business	2	2	High	Plan for increase with new funding, reduce unfunded positions, advocate to MCCSS for base funding increase		CEO / Financial Controller / Senior Management	Likely				
F.05	Fraud/theft of financial resources : significant fraud or theft	1	1	Low	Financial controls, audits, theft insurance		CEO / Financial Controller / Senior Management	Highly Unlikely				
Senior Management / Leadership												
L.01	Emergency response - inadequate/ timely (On Call) : Emergency situation arises and management support is required	2	1	Low					"On Call" Services?			
L.02	Conflict of interest: A conflict of interest arises with respect to organizational business	2	1	Low	Canopy has policies pertaining to conflict of interest. Conflicts are to be identified up front before decisions are made.	Take steps to manage conflict	CEO & Senior Management	Highly Unlikely				
L.03	Strategic projects - failed : Failure to meet objectives on strategic plan	1	2	Low	Canopy sets realistic goals and monitors progress at a Leadership and Board level. Timeframes/ objectives may be adjusted in response to unanticipated changes .	Adjust strategic plan to reflect changes. Communicate changes to those involved.	CEO & Senior Management	Highly Unlikely				
L.04	New program/ requirement - without additional resources to support : New requirements (program, reporting etc.) which require additional internal resources, but do not come with additional funding.	1	1	Low	Canopy advocates for funding continually.	Re-allocate existing resources to address requirements	CEO & Senior Management	Unlikely				
L.05	Governance - Board vacancy : A vacancy in the Board is not filled up in a timely manner. No suitable candidates are found.	1	2	Low	Canopy Board recruiting committee works continuously to recruit members and fill vacancies in a timely manner.	Re-assign tasks and re-structure committees to address areas/tasks affected by vacancy.	CEO & Senior Management	Unlikely				
L.06	Agency wide emergency : State an emergency, either internal or by influence from other emergencies in the community or province.	3	3	High	OPS - Emergency & Business Continuity Policy and Procedure in Place. Canopy will outline expectations in several scenarios where normal operations of the agency have been disrupted. The procedures will define steps staff members can follow to prepare for emergency, define the different levels of emergency, discuss accountability, evacuation, lockdown procedures and business continuity in an event of an emergency	Where necessary, Continued communication with Emergency Services, MCCSS, Ontario Health, Ministry of Health, Local Public Health and follow recommendations on procedures related to the emergency. CEO & Senior Management Team creates an emergency committee to meet during the state of emergency	CEO & Senior Management	Likely				
People/Human Resources												
HR.01	Staff burnout/ vicarious trauma : Psychological injury to staff due to nature of work	2	2	Medium	Staff wellness events, EAP program, team meetings/support	Accommodation within reason, short-term leave	CEO & Senior Management	Likely				
HR.02	Resignation of CEO and senior leadership : Unexpected resignation of senior leaders.	2	2	Medium	CEO succession plan. Multiple signing officers. Senior leadership scorecards detailing work duties.	Activate succession plans.	Senior Management	Unlikely				
HR.03	Low employee satisfaction : Employee satisfaction decreases >20%	1	1	Low	Quarterly satisfaction surveys, follow-up commitment to survey results, staff involvement on internal committees addressing issues, transparent communication process.	Use survey feedback to guide improvement. Staff focus groups.	CEO & Senior Management	Unlikely				
HR.04	Staffing shortage : Staff shortage in key positions (e.g. Nurse practitioner)	1	1	Low	Offer competitive staff retention plan.	Internal coverage arranged where possible, explore community partnerships in order to maintain service, actively recruit	CEO & Senior Management	Unlikely				
HR.05	Disease/ infection : Outbreak of illness impacting staff	3	2	High	Infection prevention plan, Infection Prevention Committee. Health precautions taken (i.e. Gloves, masks)	Enact infection prevention plan, contact Health Unit	CEO & Senior Management	Likely				
Regulatory												
Rg.01	Accreditation- poor results : Accreditation status revoked	1	2	Low	Continually provide care within the standards set out by FOCUS Accreditation.	Appeal decision. Seek time extension for remedial action.	CEO & Senior Management	Unlikely				
Rg.02	Performance targets not met : Performance targets set by funders are not met	1	2	Low	Quarterly monitoring of program and organizational performance, management monitoring of staff performance and program achievements, maintain a positive relationship/ communication with funders. Follow up with MCCSS when targets are not met.	Adjust targets with funder approval, investigate cause and document to funders, work with teams on performance improvement strategies	CEO & Senior Management	Unlikely				
Research and Quality Improvement												
RQ.01	Serious Occurrence Reporting Person(s) safety- incidents not tracked/ reviewed: failure to record adverse events	2	2	Medium	Education on reporting of events, clear adverse events reporting guidelines and policy. Evaluation done to improve process. New training strategy.	Investigate cause of failure to report	CEO & Senior Management	Unlikely				
RQ.02	Data Quality is affected : failure on achieving consistency across programs when entering information into the Electronic Health Record system.	2	2	Medium	Training and refreshing sessions. Collaborating with front line staff on different practices to do documentation of sessions, etc.	Evaluating and assessing cause of lack of consistency and create strategy to address issue.	CEO & Senior Management	Likely	reporting stats to the ministry, EMHWare(CDM)			
Orientation and Training												
OT.01	Student experience - poor: Students report a poor experience at Canopy	1	1	Low	Comprehensive student placement experience and orientation. Ongoing monitoring of performance.	Work with student and academic institution to ensure learning objectives are met	CEO & Senior Management	Unlikely				
OT.02	Onboarding- Staff/student/volunteer fails to complete onboarding training	1	1	Low	Canopy Support Services has a onboarding process to follow all MCCSS legislations and QAM compliance.	Work with Staff/student/volunteer to complete training	CEO & Senior Management	Unlikely				
OT.03	Student performance - poor : Students fail to perform	1	1	Low	Comprehensive student placement experience and orientation. Ongoing monitoring of performance.	Work with student and academic institution to ensure that expectations are clear and performance is addressed	CEO & Senior Management	Unlikely				
Technology & Safeguards												

