

AFHTO – Sample Risk Management Matrix

Dimension/Definition	Potential Risk Factors - (specific examples)	Likelihood			Mitigation Strategies	Responsibility
		L	M	H		
<b>Strategy/Governance/Organizational Policy</b>						
<ul style="list-style-type: none"> <li>Risk that the organization structure, accountabilities, or responsibilities are not designed, communicated or implemented to meet the organization’s objectives</li> </ul>	<ul style="list-style-type: none"> <li>FHO priorities not aligned</li> <li>MOHLTC priorities change</li> </ul>				<ul style="list-style-type: none"> <li>Strategic planning</li> </ul>	
<ul style="list-style-type: none"> <li>Risk that culture and management commitment do not support the formal structures/systems/operations</li> </ul>						
<ul style="list-style-type: none"> <li>Risk that strategies and policies fail to achieve required results</li> </ul>						
<b>Operational (Care/Service Delivery Risks)</b>						
<ul style="list-style-type: none"> <li>Risk that services will not get completed or delivered in a timely manner, as expected. Includes business continuity risk.</li> </ul>	<ul style="list-style-type: none"> <li>Inability to meet performance targets</li> <li>Pandemics/outbreaks</li> </ul>				<ul style="list-style-type: none"> <li>Regular reviews of performance</li> <li>Emergency preparedness plan</li> </ul>	
<b>Human Resources (people) risk</b>						
<ul style="list-style-type: none"> <li>Risk that capable and motivated staff will not be available to get the job done. This could be caused by resignations, turnover, inability to hire, lack of skills, strikes, injury, etc.</li> <li>Recruitment/retention (qualified workforce)</li> </ul>	<ul style="list-style-type: none"> <li>Chronic vacancies</li> <li>Sudden departures</li> </ul>				<ul style="list-style-type: none"> <li>Recruitment &amp; retention strategy</li> <li>Compensation policy &amp; review</li> <li>Succession plan</li> </ul>	
<b>Client/Patient/Stakeholder Satisfaction</b>						
<ul style="list-style-type: none"> <li>Risk of failure to meet expectations of</li> </ul>	<ul style="list-style-type: none"> <li>Failure to meet quality</li> </ul>				<ul style="list-style-type: none"> <li>QI Plan and regular</li> </ul>	

patients/clients, partners, the community, the broader public, other ministries, etc.	goals and targets				<ul style="list-style-type: none"> <li>review</li> <li>• Patient satisfaction survey</li> </ul>	
<b>Reputational/Public Perception Risk</b>						
<ul style="list-style-type: none"> <li>• Loss of reputation/Loss of confidence</li> <li>• Poor public/media perception (bad press, media)</li> <li>• Related consequences (e.g., lost of funding)</li> </ul>	<ul style="list-style-type: none"> <li>• Unfavourable publicity</li> </ul>				<ul style="list-style-type: none"> <li>• Communication and public relations strategy</li> <li>• Crisis management policy</li> </ul>	
<b>Patient Safety Risks</b>						
<ul style="list-style-type: none"> <li>• Risk of lawsuits from injured patients or their families</li> </ul>	<ul style="list-style-type: none"> <li>• Poor/missed diagnoses, treatment</li> <li>• Adverse events</li> </ul>				<ul style="list-style-type: none"> <li>• Critical incident reporting policy</li> <li>• Education &amp; training</li> <li>• Chart audits</li> </ul>	
<b>Legal/Compliance Risk</b>						
<ul style="list-style-type: none"> <li>• Risk that initiatives or actions will contravene a statute, regulation, contract or that the organization will be litigated against</li> </ul>	<ul style="list-style-type: none"> <li>• Abuse</li> <li>• Failure to file (reports, financials)</li> <li>• Privacy violations</li> </ul>				<ul style="list-style-type: none"> <li>• Compliance checklist</li> <li>• Executive Director performance appraisal</li> </ul>	
<b>Information Risk</b>						
<ul style="list-style-type: none"> <li>• Risk that information produced or used, is incomplete, out-of-date, inaccurate, irrelevant or inappropriately disclosed (right to privacy)</li> </ul>	<ul style="list-style-type: none"> <li>• Privacy violations</li> </ul>				<ul style="list-style-type: none"> <li>• Privacy policy</li> </ul>	
<b>Financial Risk</b>						
<ul style="list-style-type: none"> <li>• Risk of financial losses, overspending or the inability to meet budgets and plans</li> <li>• Foundations/fundraising</li> </ul>	<ul style="list-style-type: none"> <li>• Fraud</li> <li>• Cash flow</li> </ul>				<ul style="list-style-type: none"> <li>• Financial policies</li> <li>• Audit policy</li> <li>• Procurement policy</li> </ul>	
<b>Technology risks</b>						
<ul style="list-style-type: none"> <li>• Risk that information technology infrastructure does not align with the</li> </ul>	<ul style="list-style-type: none"> <li>• System crashes</li> <li>• Privacy breaches</li> </ul>				<ul style="list-style-type: none"> <li>• Planned redundancy</li> </ul>	

business requirements, and does not support availability, access, integrity, relevance and security of data. Includes business continuity risk					<ul style="list-style-type: none"> <li>• Privacy policy</li> <li>• Chart audits and checks</li> </ul>	
<b>Culture</b>						
<ul style="list-style-type: none"> <li>• Risk that organizational culture threatens continuous quality improvement, performance</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of collaboration</li> <li>• Poor morale, toxic environment</li> </ul>				<ul style="list-style-type: none"> <li>• Performance reviews</li> <li>• Code of conduct</li> <li>• Satisfaction surveys</li> </ul>	

\*dimensions and definitions from “A Family Health Team’s Guide to Risk Management”, sponsored by the SouthEast Toronto FHT, 2009/2010