

WOODSTOCK AND DISTRICT DEVELOPMENTAL SERVICES-RISK ASSESSMENT

Human Resources / People

All (100%) of the management team has the requisite core competencies and the required knowledge, skills, and experience to deliver on contract expectations.

TPR has had some difficulty in recruiting and/or retaining qualified staff, even though it has an adequate recruitment plan, but cannot attract qualified staff due to factors beyond its control.

TPR has a collaborative and constructive working relationship with staff/bargaining agent. There is no risk to service delivery.

The TPR has an established succession planning framework and strategies in place to avoid service delivery interruptions during leadership transitions and TPR changes.

TPR has adequate and current training, onboarding and knowledge transfer policies and been reviewed within the past 2 years. TPR has a process to capture, document and disseminate knowledge. The TPR follows this process consistently.

TPR has a structured training program and provides dedicated training sessions along with continuous learning resources on IPAC and emergency management planning and procedures.

Financial

The TPR has detailed financial policies and procedures, including procurement, meals/hospitality, travel, and controllership (e.g., segregation of duties) policies, and they have been reviewed in the past 2 years.

The TPR has comprehensive mechanisms and protocols to identify risk of fraud or misconduct and take corrective actions when it occurs. These policies and procedures were reviewed in the last two years.

The TPR had no variance in the overall interim reporting expenditure projections, and it has adequate and reliable financial controls, forecasts, and effective plans to deal with variances.

This TPR had no recoveries/deficits based on the settlement letter.

No financial concerns raised by a third-party review.

No concerns from the financial analysis, it has no recent real deficits on an annual basis in the last three years. It has a current ratio greater than 1.2 and a surplus in unrestricted net assets (e.g., a positive balance in board funds).

The TPR’s funding from another funder is secure, or the TPR only receives funding from MCCSS.

The TPR always provides complete and timely financial reports to the ministry.

Information & Information Technology

Policies exist and have been reviewed within the last 12-18 months. Technology matching the policy is

Contingency plans are in place for system outages and a full Disaster Recovery Plan is in place and these have been reviewed within the last 12-18 months.

There have been no identified data breaches, related media reports, or resulting litigation during this

TPR has had technology refreshed and has delivered cyber-training to staff within the past 12-18 months.

Program Design & Delivery

TPR has established policies that have been reviewed/updated by board of directors within the past two years. TPR has monitoring processes in place to identify, mitigate and address risks to service standards.

Policies and practices are in place and have been reviewed and updated within the past 2 years. Monitoring and outcome tracking processes are in place to identify opportunities to improve health, safety, and wellbeing of clients. Information is reported to senior management / board.

Results are consistently reported on-time and cover ministry-specified issues in sufficient detail.

TPR has established diversity, equity and inclusion policies and been reviewed within the past 2 years.

Legal

The TPR actively assesses its compliance; has specialist support that is accountable for this function, updates its requirements and monitors them on a regular basis.

There were no areas of non-compliance or licensing issues (if applicable).

The ministry or TPR has received no communication signaling concerns or alleged improprieties. There are mechanisms and protocols in place to identify risk of fraud or misconduct and take corrective actions.

The TPR has no pending legal actions or has explored the financial consequences and the insurance aspects of managing lawsuits, and they have addressed the underlying cause. The ministry was informed of pending legal actions in a timely manner.

Emergency Management

BCP has been updated within the last two years or when changes occur and is on site or easily accessible at most locations. EM component includes actions/measures to be taken to address issues influencing service delivery disruption for clients.

TPR has practices in place to review and update BCP at least annually. The plan is reviewed by the board of directors.

TPR has current IPAC policies and procedures which have been updated within the past year or as required to align with available guidance and direction.

There have been some service disruptions due to COVID-19, but the impact on service delivery has been limited due to the timely response of the TPR.

Governance

The board has a governance model with clear, formal lines/systems and involves broad participation and appropriate dissemination/ implementation of decisions. Its decision-making process is transparent, and data based. The governance model has been reviewed within the past 2 years.

There is a current orientation/training manual and process in place and have been reviewed within the past 2 years.

The TPR has a board approved strategic plan that has been updated within the past 2 years. The strategy consistently supports board decision making and drives day-to-day operations at all levels of the TPR.

Board demonstrates a thorough understanding of their roles and responsibilities. Board has identified financial limits and controls (e.g., spending limits; spending approvals; sign-off procedures) and has a designated board member/committee responsible for this function and monitors the limits and controls on a regular basis.

Roles and responsibilities clearly reflect distinct lines of responsibility and delegation of authority. Board consistently adopts appropriate governance versus management roles. ED/CEO consistently provides sufficient and appropriate level of information to board members to enable effective decision-making.

The board has completed and documented the results of an annual performance appraisal of the ED/CEO with a review of previously set goals.

Board has a process to assess performance of board members and they have been assessed within the past 2 years.

Reputational

Policies and procedures to respond to all types of media inquiries and releases, they are followed and reviewed in the last **two years**. In the past **three years**, there has only been positive or no media coverage.

The TPR is actively engaged with other organizations and local community partners to coordinate services for clients and contributes input regularly. It attends and participates in local planning mechanisms e.g., Community Planning Tables, Individual Support Plans, Business Improvement Association, Provincial Networks, Sector Associations.

The TPRs complaints process is followed and well-known to staff and clients (e.g., in a brochure or on its website), it addresses reasonable complaints and has been updated in the last **two years** and the TPR always submits serious complaints in accordance with the ministry serious occurrence reporting (SOR) guidelines.