

## MAG RISK ASSESSMENT TOOL – USER GUIDE

This guide provides a detailed explanation about the information that should be recorded in Schedule F Risk Assessment.

### REPORTING REQUIREMENTS

Please note that the Risk Assessment is to be submitted to the Province electronically by the 30<sup>th</sup> day of June each fiscal year. The report should be submitted to the following email address: [tpreports@ontario.ca](mailto:tpreports@ontario.ca)

### REPORT SUBMISSION

Please contact the following with any questions or concerns:

Corinna Kitchen at [Corinna.kitchen@ontario.ca](mailto:Corinna.kitchen@ontario.ca) or Jane Rumleskie at [Jane.Rumleskie@ontario.ca](mailto:Jane.Rumleskie@ontario.ca)

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Risk reporting is one of the requirements for Transfer Payment Programs as per the *Transfer Payment Accountability Directive, April 2017*. The Directive requires ministries to use a risk-based approach for the oversight of Transfer Payment Recipients.

This Risk Assessment Tool assesses risk based on seven (7) categories as follows:

- Governance
- Service Delivery
- Stakeholder Satisfaction
- Financial
- Legal
- Information Technology (I.T.)
- Human Resources (HR)

Based on the responses, the tool will assess risk level to be Low, Medium, or High. Depending on the risk level determined, the ministry will work with Transfer Payment Recipients to ensure compliance with program requirements.

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Instructions by Tab:

### TAB 1: SUMMARY

- Choose the appropriate **Program** from the drop down list:
  - Bail Verification and Supervision Program
  - Direct Accountability Program
  - Youth Justice Committee Program
- Choose your Agency Name from the drop-down list in the **Recipient** box.
- **NOTE:** If you are completing this Risk Assessment for more than one program, your answers will likely be very similar but you will have to save a version for each Program type in order to submit separate versions.
- Complete the **Risk Assessment Summary** box with the appropriate dates and names:

Risk Assessment Summary	
TPR # (BN #)	
Risk Assessment Completed (Quarter)	
Fiscal Year	
Executive Director	
Board Chair	
Risk Assessor (TP Recipient)	
Risk Approver (MAG)	
Date Approved by Board	

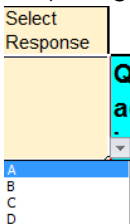
- The Risk Rating and Legend and Detailed Response Chart boxes will populate automatically and should not be adjusted manually.

Detailed Response Chart							
Dimension	Questions	# of Answers	A	B	C	D	Total
Governance	1-5	5	0	0	0	1	1
Service Delivery	6-10	5	0	0	0	0	0
Stakeholder Satisfaction	11-13	3	0	0	0	0	0
Financial	14-22	9	0	0	0	0	0
Legal	23-26	4	0	0	0	0	0
IT	27-29	3	0	0	0	0	0
HR	30-36	7	0	0	0	0	0
Total		36	0	0	0	1	1
Overall Calculated Risk Rating:							LOW

- The Instructions are also available on this tab for quick reference.

**TAB 2: GOVERNANCE 1-5**

- Each tab title indicates the number of questions contained within that tab. For example, the Governance Tab includes five questions (1-5).
- Ensure you answer each of the questions in succession. Read each question thoroughly and choose the appropriate response by letter (A, B, C, or D) through the drop down menu in the **Select Response** box (far right, column A in each section).



- Once you have selected the best response for your agency, you are then required to provide some

evidence to substantiate the response. For example, Question 1 asks the following: Does the Board of Directors have the capacity to make effective decisions to ensure that their organization achieves its stated mission? An example of a "**Source of Evidence**" may include the existence of a Board decision-making policy, or a specific reference to this capacity within the Board By-Laws. The "**Description of Evidence**" would include additional details on how the policy/practice is operationalized and the last date updated. Depending on your response to each question, there may not be evidence to report.

Evidence Report(s)	
Source of Evidence	
Description of the Evidence	

**TAB 3: SERVICE DELIVERY 6-10**

- Follow the same rules for selecting responses addressed above.
- This tab has a question(s) that requires text responses (10A, 10B if applicable). Answer these questions by typing your response within the box below the question.

All tabs below will follow the same instructions described above.

**TAB 4: STAKEHOLDER SATISFACTION 11-13**

**TAB 5: FINANCIAL 14-22**

**TAB 6: LEGAL 23-26**

**TAB 7: IT 27-29**

**TAB 8: HR 30-36**

**TAB 9: RISK MITIGATION PLAN**

- Any responses that result in a C or D answer must be addressed in the Risk Mitigation Plan on the last tab (TAB 9).
- Once you have completed answering all questions, go back through the tabs and carry over any question with a C or D answer to the Risk Mitigation Plan (Tab 9).
- For example, if you answered Question 5 with a C, you must copy the question number ("5") and record it under the Governance section in the Risk Mitigation Plan.

<b>TP RECIPIENT RISK MITIGATION PLAN</b>	TP Recipient Name:
	Mitigation Plan Completed By:
Question for Evaluation	Details to support Response

Risk Dimension - Governance

- Once all of the C and D questions are brought forward to the Risk Mitigation Plan page, the following must be addressed for each of the questions:
  - **Details to support Response:** Describe why you chose this response.

- **Risk Mitigation Strategy:** Detail how you will address the identified risk.
- **Expected Timeline to address identified risk:** Detail the timeframe expected to mitigate the risk.
- **Expected outcome from the plan's implementation:** Describe the expected outcome.
- Your Ministry Program Consultant/Coordinator will review this plan, make suggestions and follow up with your agency directly.

### General Instructions

- Prior to submitting the completed document, please ensure it is reviewed and approved by the Board of Directors. The date of Board approval must be included on the Summary page.
- Submit the document electronically to MAG on or before the due date required.
- Please connect with your MAG Program Coordinator/Consultant for assistance with the Risk Mitigation Plan and/or the tool in general.