

# ICRC RISK ASSESSMENT FRAMEWORK

## Purpose

*The Risk Assessment Framework guides ICRC panel decision-making when addressing complaints and reports. The purpose of the Framework is to ensure consistent, fair and transparent decision-making that is guided by the panel's analysis and assessment of risk.*

*The Framework does not apply to health inquiries.*

## Risk Analysis Tool

CLINICAL / PRACTICE ISSUES	LEVEL OF CONCERNS				
	N/A	No concerns	Somewhat concerning	Moderately concerning	Seriously concerning
Patient Harm / Patient Safety					
Clinical Knowledge / Understanding					
Clinical Skill / Execution					
Professional Judgement					
Recordkeeping					
Patient Informed Consent					
Communication					
Practice Management / Protocols					
Billing / Financial					
<b>OTHER FACTORS</b>					
Proactive Remediation / Willingness to Address Issues					
Insight / Reflection					
Dishonesty / Breach of Trust					
Prior History					
Effect on Public Interest / Confidence					
One Time Incident vs. Pattern of Conduct					
Governability					
Wilfulness / Awareness / Level of Control					
Cooperation with College					
OTHER MITIGATING / AGGRAVATING FACTORS:					



Royal College of  
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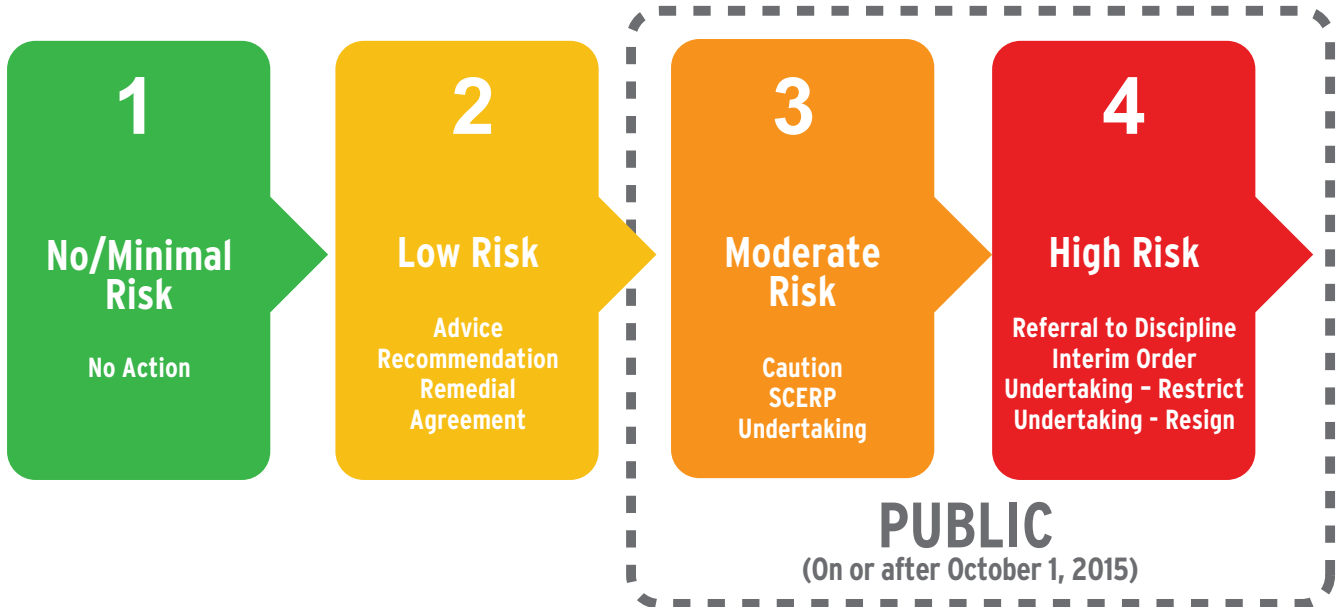
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### Definitions Of Risk Categories

Risk Category	Description
No or Minimal Risk	<ul style="list-style-type: none"> <li>Information does not support taking regulatory action</li> </ul>
Low Risk	<ul style="list-style-type: none"> <li>Unlikely to have a direct impact on patient care, safety, or the public interest</li> </ul>
Moderate Risk	<ul style="list-style-type: none"> <li>Clinical issues requiring remediation or significant improvement through didactic or hands-on courses, mentoring, assessments and/or evaluations</li> <li>Concerns related to an aspect of the member’s conduct or practice that may have a direct impact on patient care, safety, or the public interest if not addressed</li> </ul>
High Risk	<ul style="list-style-type: none"> <li>Serious concerns regarding the member’s conduct or practice that are likely to have a direct impact on patient care, safety, or the public interest</li> <li>Concerns cannot be addressed through other remedial actions, or previous remedial actions have been attempted unsuccessfully</li> <li>Clinical issues requiring restrictions or conditions on practice, or a withdrawal or resignation from practice</li> </ul>

### ICRC Outcome Assessment



## Definitions Of Outcomes

### No Action

- Outcome is reflective of no or minimal risk
- Information does not support taking any regulatory action
- This outcome does not appear on the public register

### Advice and Recommendations

- Outcome is reflective of low risk
- Low risk – Unlikely to have a direct impact on patient care, safety, or the public interest
- Provided to the member where some room for improvement has been identified
- Can include best practice advice and/or recommendations to review particular standards, articles, College publications, etc.
- This outcome does not appear on the public register

### Remedial Agreement

- Outcome is reflective of low risk
- Low risk - Unlikely to have a direct impact on patient care, safety, or the public interest
- A voluntary agreement between the member and the College in which the member agrees to upgrade his or her skills in a non-clinical area of practice
- Agreements may include in a period of practice monitoring
- Agreements relate to non-clinical issues
- This outcome does not appear on the public register

### Specified Continuing Education or Remediation Program (SCERP)

- Outcome is reflective of moderate risk
- Moderate risk – clinical issues requiring remediation or significant improvement through

didactic or hands-on courses, mentoring, assessments and/or evaluations

- A requirement for a member to upgrade his or her skills in a clinical area of practice
- SCERPs will include a period of practice monitoring at the member's expense
- SCERPs relate to clinical issues that can have a direct impact on patient care and safety
- This outcome appears on the public register

### Undertaking

- Outcome is reflective of moderate or high risk
- Moderate risk – clinical issues requiring remediation or significant improvement through didactic or hands-on courses, mentoring, assessments and/or evaluations
- High risk – clinical issues requiring restrictions or conditions on practice, or a withdrawal or resignation from practice
- A voluntary agreement between the member and the College in which the member agrees to upgrade his or her skills in a clinical area of practice; to restrict his or her practice in a particular clinical area; or to withdraw or resign from practice
- Undertakings can be used where a SCERP is not available (e.g. restrictions, resignations, withdrawals) or when mitigating factors indicate that a voluntary approach is preferable
- Undertakings will include a period of practice monitoring
- Undertakings relate to clinical issues that can have a direct impact on patient care and safety
- This outcome appears on the public register

**Caution**

- Outcome is reflective of moderate risk
- Moderate risk – concerns related to an aspect of the member's conduct or practice that can have a direct impact on patient care, safety, or the public interest if not addressed
- Provided to the member when significant concerns are present or significant improvement is needed in his or her practice
- The member is required to attend in person before a panel of the ICR Committee to be formally cautioned, which includes a statement of the panel's concerns and direction as to how to conduct him or herself in future
- A caution can be used alone or in combination with other outcomes (e.g. SCERPs, Undertakings)
- This outcome appears on the public register

**Referral to Discipline Committee**

- Outcome is reflective of high risk
- High risk - Serious concerns regarding the member's conduct or practice that are likely to have a direct impact on patient care, safety, or the public interest; concerns cannot be addressed through other remedial actions, or previous remedial actions have been attempted unsuccessfully
- The member is referred for a formal public hearing before the Discipline Committee
- This may include an interim order restricting or suspending the member's practice pending the outcome of the discipline hearing
- This outcome appears on the public register

*NOTE: Outcomes including Undertakings, SCERPs, and/or Cautions will only appear on the public register if the decision is issued on or after October 1, 2015, unless otherwise explicitly included as a term of an Undertaking.*