



ICRC Risk Assessment Framework

Purpose:

This framework guides Inquiries, Complaints, and Reports Committee (ICRC) panels in their assessment of complaints and reports, enabling transparent, consistent and fair decision-making.

Public Register Background:

Prior to March 1, 2016, the following ICRC dispositions appeared on the public register:

- Interim order to suspend or impose terms, conditions or limitations (TCL) on a certificate of registration
- Referral to Discipline Committee
- Acknowledgment & Undertaking to Restrict practise in the form of a TCL
- Acknowledgment & Undertaking to Resign

As of March 1, 2016 the following additional ICRC dispositions appeared on the public register:

- Oral caution, for three years
- Written caution, for two years
- Specified Continuing Education or Remediation Program requiring monitoring, for two years

As of May 30, 2017, the following additional ICRC dispositions appear on the public register:

- Oral caution, permanently
- All Specified Continuing Education or Remediation Programs, permanently
- All Acknowledgments & Undertakings, while in effect
- Specified allegations when there is a referral to Discipline Committee

As of June 13, 2018, the following additional ICRC dispositions appear on the public register:

- A notation, including the date of the referral, for every matter that has been referred to the Fitness to Practise Committee

Risk Analysis Tool:

The following tool allows ICRC panels to consider clinical and/or practice issues that may be raised in complaints and reports along with the risk of harm they pose to clients and the public interest.¹

Definitions of Risk Categories:

Risk Category	Description
No or Minimal Risk	<ul style="list-style-type: none">• Information does not support taking regulatory action• No impact on client care, safety, or the public interest
Low Risk	<ul style="list-style-type: none">• Unlikely to have an impact on client care, safety, or the public interest
Moderate Risk	<ul style="list-style-type: none">• Concerns regarding the member's conduct or practise that may have a direct impact on client care, safety, or the public interest• Clinical or practice issues requiring improvement and/or remediation through mentoring, assessments, and/or educational courses
High Risk	<ul style="list-style-type: none">• Serious concerns regarding the member's conduct or practise that are likely to have a direct impact on client care, safety or the public interest• Concerns cannot be adequately addressed through other dispositions or previous dispositions have been unsuccessful in remediating concerns• Serious clinical issues that require terms, conditions or limitations or a withdrawal or revocation of member's certificate of registration

¹Note: the issues listed are not necessarily reflective of standards of practice.

Level of Risk

	N/A	No or Minimal Risk	Low Risk	Moderate Risk	High Risk
Demonstrating Professional Knowledge & Practice					
• Treatment and Care:					
○ Misdiagnosis					
○ Inappropriate Response or Action					
○ Delay in Response or Action					
○ Inadequate Infection Prevention and Control					
○ Medication Error					
○ Inadequate Birthing Equipment					
• Breach of Protocol					
• Practicing Outside Scope of Practice					
• Personal Health Information:					
○ Failure to Provide Client Access					
○ Inappropriate Disclosure					
○ Inappropriate Safeguarding					
• Inappropriate Recordkeeping					
• Inappropriate CAS Referral					
• Other					
Providing Person-Centered Care					
• Informed Choice:					
○ Failure to Provide					
○ Failure to Respect					
• Termination of Care:					
○ Failure to Terminate					
○ Inappropriate Termination					
• Other					
Demonstrating Leadership & Collaboration					
• Lack of Ongoing Care/Continuity					
• Inappropriate Intraprofessional Collaboration					
• Inappropriate Interprofessional					
• Consultation(s):					
○ Lack of Timely Consultation(s)					
○ Lack of Appropriate Consultation(s)					

Level of Risk

	N/A	No or Minimal Risk	Low Risk	Moderate Risk	High Risk
• Transfer of Care:					
○ Failure to Transfer Care					
○ Lack of Timely Transfer					
○ Lack of Client Knowledge re: Transfer					
○ Lack of Most Responsible Provider Knowledge re: Transfer					
• Failure to Coordinate Alternative Care					
• Delegated Acts:					
○ Not Performing Delegated Acts					
○ Inappropriately Delegating Acts to Others					
• Other					
Acting with Integrity					
• Dishonesty					
• Acting While in a Conflict of Interest					
• Ethical Breach					
• Fitness to Practise:					
○ Physical					
○ Mental					
○ Impairment					
• Sexual Abuse					
• Boundary Violations					
• Practicing at Hospital Without Privileges					
• Lack of Professional Attitude and Behaviour					
• Other					
Being Committed to Self-Regulation					
• Lack of Cooperation with College					
• Inadequate Supervision:					
○ of Students					
○ of Midwives					
• Non-Compliance with Committee Order					
• Failure to Report					
• Other					

Aggravating Factors	Mitigating Factors
Prior History	No Prior History
Intent	No Intent
Deception / Dishonesty	No Intent to Deceive / Dishonesty
No Willingness to Address the Issue(s)	Willingness to Address the Issue(s)
Lack of Cooperation	Cooperation
Years of Experience	Years of Experience
No Remorse	Remorse
No Reflection	Reflection
Character / Reputation	Character / Reputation
Harm to the Client / Effect on Public Interest	No Harm to the Client / Public
No Admission	Voluntary Admission
Lack of Rehabilitation Potential	Remediation in Progress/Openess to Remediation
Number of Concerns / Allegations	Number of Concerns / Allegations
Financial Gain / Economic Harm	No Financial Gain/ No Economic Harm
Likelihood of Recurrence	Likelihood of Recurrence
Currently Practicing	Not Practicing/ Resignation While Under Investigation ²

ICRC Outcome Assessment

² This information will appear on the public register.

³ No longer used as of September 8, 2017.

Dispositions

No Action

- Outcome is reflective of no or minimal risk
- Does not appear on the public register

Advice and Recommendations

- Outcome is reflective of low risk
- Provided when there is room for improvement in member's conduct
- Can include advice on practice reform or reviewing College policies, standards, or guidelines
- Does not appear on the public register

Written Caution (no longer used)

- Outcome is reflective of moderate risk
- The caution is written directly into the decision
- Appears on the public register

Oral Caution

- Outcome is reflective of moderate to high risk
- The member appears before the ICRC Panel to be formally cautioned, which involves the Panel stating their concerns with the member's conduct and providing recommendations for the future
- Appears on the public register

Specified Continuing Education or Remediation Program ("SCERP")

- Outcome is reflective of moderate risk
- SCERPs may involve completing an educational course, revising a practice protocol, preparing a reflective paper and may include a period of practice monitoring/follow up, such as a practice/chart audit or chart review
- Appears on the public register

Acknowledgment & Undertaking

- Outcome is reflective of moderate risk
- The member agrees to participate in remedial measures to improve aspects of their conduct or practise
- Appears on the public register while in effect

Acknowledgment & Undertaking to Restrict Practise

- Outcome is reflective of high risk
- A member agrees to restrict their practise with terms, conditions or limitations placed on their certificate based on concerns (usually while they complete remediation to address the concerns)
- Appears on the public register

Acknowledgment & Undertaking to Resign and Never Reapply

- Outcome is reflective of high risk
- A member agrees to resign their membership with the College and to never reapply
- Appears on the public register

Interim Order

- Outcome is reflective of high risk
- A term, condition or limitation is placed on the member's certificate of registration or the member is suspended pending the outcome of a professional conduct matter
- Appears on the public register

Referral to Fitness to Practise Committee

- Outcome is reflective of high risk
- There is a concern that the member's illness and/or capacity will adversely affect their practise and there is a risk posed to both the member and the public
- The member is referred to the Fitness to Practise Committee for a hearing closed to the public
- Possible outcomes include a revocation, suspension or term/condition/limitation imposed on the member's certificate of registration
- Appears on the public register

Referral to Discipline Committee

- Outcome is reflective of high risk
- The member is referred to the Discipline Committee for a public hearing
- Possible outcomes include a fine, reprimand, revocation, suspension or term, condition or limitation imposed on the member's certificate of registration
- Appears on the public register and on College's website