

# 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.

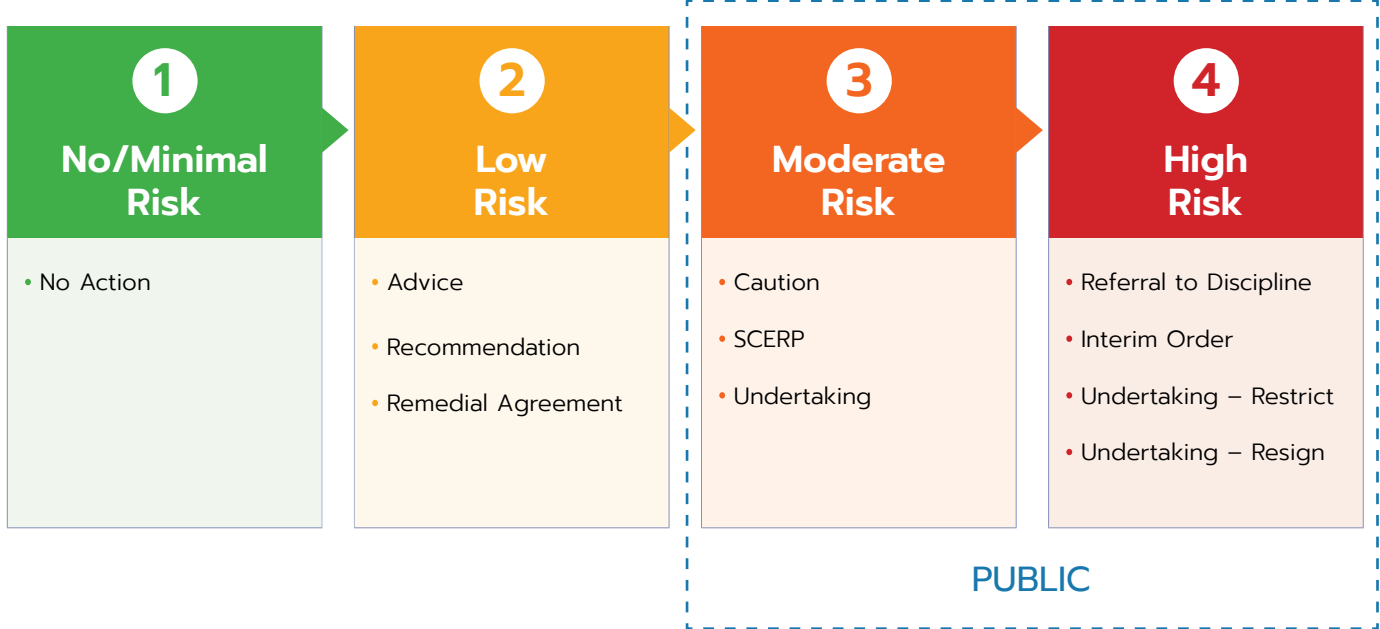
## Risk Analysis Tool

|   | LEVEL OF CONCERNS |             |                     |                       |                      |
|---|-------------------|-------------|---------------------|-----------------------|----------------------|
|   | N/A               | No concerns | Somewhat concerning | Moderately concerning | Seriously concerning |
| <b>CLINICAL/PRACTICE ISSUES</b>                     |                   |             |                     |                       |                      |
| 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                            |                   |             |                     |                       |                      |
| <b>Other Mitigating/Aggravating Factors:</b>        |                   |             |                     |                       |                      |

# Definitions Of Risk Categories

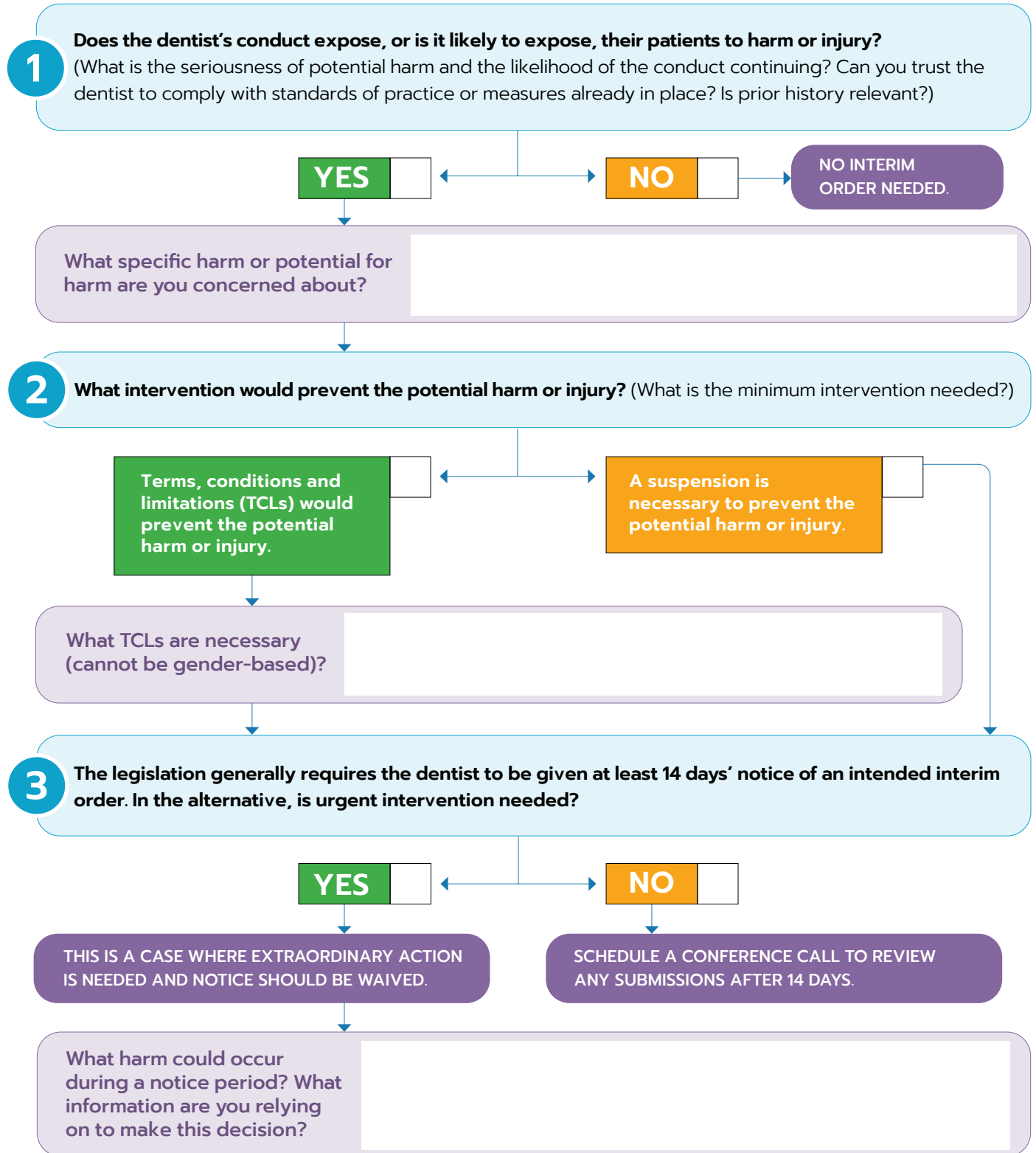
| RISK CATEGORY      | DESCRIPTION   |
|--------------------|---|
| No or Minimal Risk | <ul style="list-style-type: none"> <li>Information does not support taking regulatory action</li> </ul>   |
| Low Risk           | <ul style="list-style-type: none"> <li>Unlikely to have a direct impact on patient 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, clinical supervision, 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



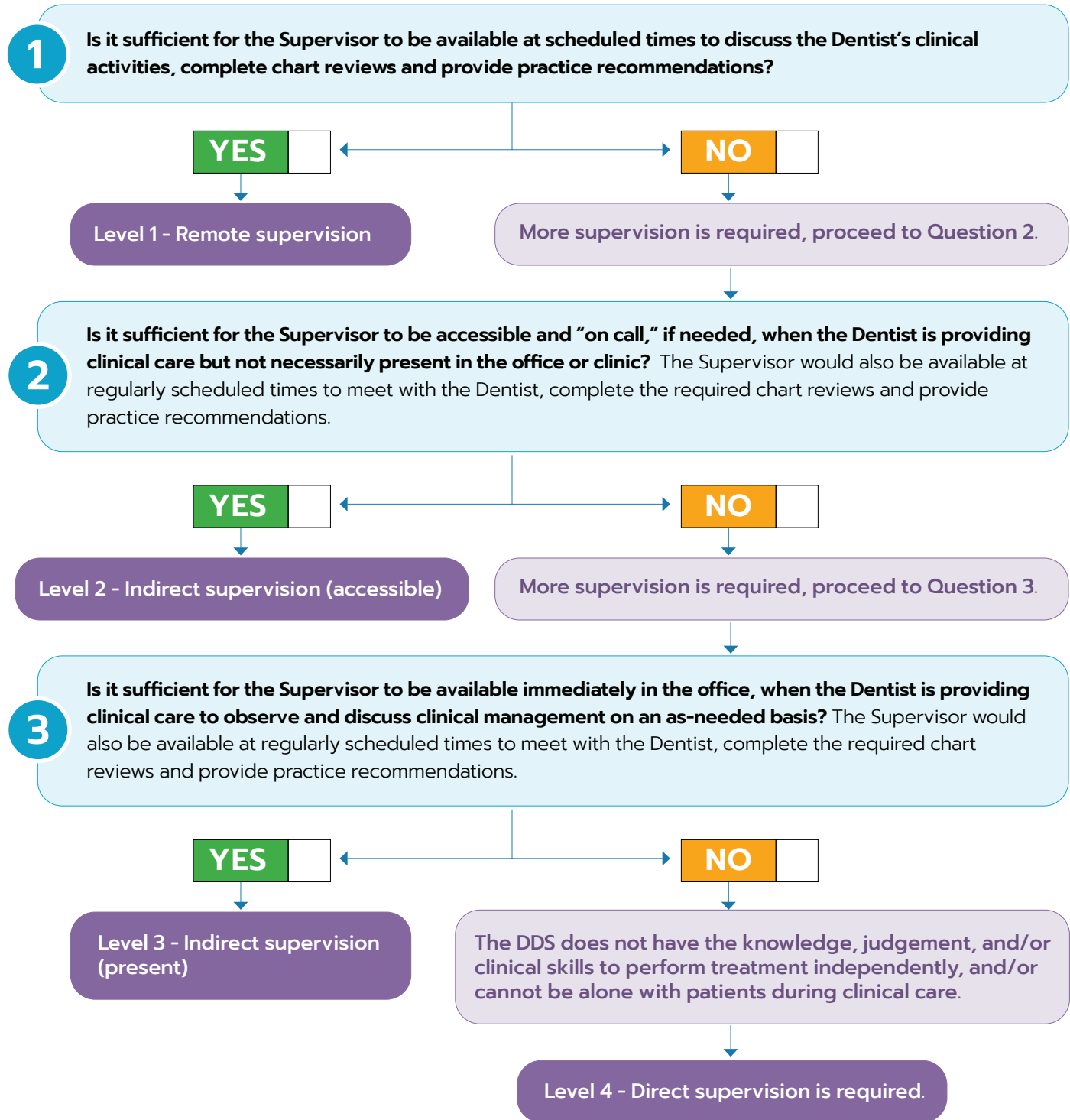
# Interim Order Assessment Tool

Section 25.4 of the Health Professions Procedural Code of the RHPA allows a panel to make an interim order at any time after the receipt of a complaint or appointment of an investigator if it feels the conduct of the dentist exposes or is likely to expose their patients to harm or injury. The panel can vary an interim order after it is issued based on new information received.



# Clinical Supervision Assessment Tool

To determine appropriate level of clinical supervision, please refer to the Clinical Supervision Framework Chart, and ask:



## 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 complete self-reflection paper which may include a process of peer review.
- 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, clinical supervision, 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, clinical supervision, 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

## Interim Order

- Outcome is reflective of high risk
- High risk - serious concerns that the member’s conduct exposes or is likely to expose patients to harm or injury
- 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 outcome appears on the public register