

# Inspection and Risk Assessment Process

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## *What is a Risk Assessment?*

A risk assessment is a careful examination of any non-compliance to identify if it has the potential to cause someone harm and determining if what has already been done reduces the risk to an acceptable level, and if not, deciding what steps must be taken to reduce the risk to an acceptable level. The *Community Care and Assisted Living Act* and Regulations establish the minimum health and safety standards for persons in care. Any non-compliance with these minimum standards poses a degree of risk.

Determining the potential risk of harm takes into consideration the many variables such as the unique features and physical characteristics and policies and procedures of a facility, preventative measures that may be in place and the various care and supervision needs of the persons in care.

The Risk Assessment Tool adds depth and understanding to a facility's compliance and how compliance directly relates to the health and safety of the persons in care.

## *What is a Routine Compliance Inspection Process?*

A routine compliance inspection is an on-site review of the facility to assess that the provider is complying with the *Community Care and Assisted Living Act* and Regulations. Most inspections are unannounced; it is important to assess most aspects of the operation at a time when the facility is in its usual routine. Despite this, it is sometimes appropriate to schedule inspections such as when it is necessary to spend time with the manager to assess specific aspects of a facility's operation.

Following the routine compliance inspection, the licensing officer will discuss their observations and provide the operator with an inspection report. When a provider does not meet the requirements of the Act or Regulations, an inspection report will identify the areas in non-compliance and request the provider make corrections. Follow up inspections may be conducted to ensure that the provider has completed all of the corrections. [Environmental Public Health Inspection Reports](#) are also published on our website.

## *How will the Risk Assessment Tool be Implemented into the Routine Inspection Process?*

A Licensing Officer will use the information observed at the time of inspection to determine the risk rating. The Risk Assessment Tool is based on two parts; an "in the moment" review of compliance with the legislation and a review of past operation and compliance of the facility.

The inspection findings and risk tool results will be shared with the licensee at the time of inspection and written reports will be forwarded to the licensee by their preferred means [by mail, fax or email].

If an operator disagrees with the risk rating, they should contact the licensing officer who assigned the score for more information as to why that score was given.

### *What Does the Risk Rating Mean?*

The risk rating identifies potential for risk of harm to persons in care and highlights those areas that require additional precautions to protect the health, safety and well-being of persons in care. Risk is assessed on a continuous scale from low to high.

A low risk may be assigned where the issues of non-compliance are isolated to a one time breach or where the potential for harm is minimal. The history of the facility file may indicate that the operator is proactive in identifying risk and implements corrections immediately.

A moderate risk rating may indicate that issues of non-compliance are recurring and that the potential for harm is more than minimal. The history of the facility may include complaints or serious incidents that are as a result of non-compliance. The licensee may not proactively identify risk and requires prompting by the Licensing Officer to implement corrective actions.

A high risk rating means there are significant concerns that could have serious consequences to the persons in care. Enhanced monitoring is needed to ensure precautions and/or actions are taken to protect the health, safety and well-being of person in care. A high risk facility will have an increased surveillance and follow up inspections to ensure compliance issues are resolved.

### *When is the Risk Assessment Tool used?*

In general the Risk Assessment Tool will be completed at least once every 12 to 18 months; however, there may be situations where a new risk assessment is required sooner. The Risk Assessment Tool will not be used on newly licensed or not yet operating facilities. This process will be conducted on a newly licensed facility during the first compliance inspection; generally occurring after 4-6 months of operation.

### *Will the facility risk rating be public?*

Introducing a new process must be carefully planned; evaluation is an essential element to a successful endeavor. Once the Risk Assessment Tool has been in practice for at least 12 months, it will be reviewed to validate the findings and determine whether it is meeting the intended outcomes. As time is needed to conduct a meaningful evidenced based review, risk ratings will not be publicly posted at this time.