



Compliance Plans

What is Compliance?

Compliance with legislation means following all the rules and requirements established by the *Community Care and Assisted Living Act (CCALA)*, the *Child Care Licensing Regulation (CCLR)* or *Residential Care Regulation (RCR)*. Compliance begins with understanding the *CCALA* and the associated regulation that set out the requirements for licensed community care facilities in British Columbia.

What is a Compliance Plan?

A Compliance Plan is a detailed legal document requested by Community Care Facility Licensing Officers when non-compliance to the *CCALA*, *CCLR* or *RCR* is identified through an inspection or investigation. It is a written plan which outlines a Licensee's commitment to a plan of corrective actions which address and resolve the identified non-compliance with the legislation.

It is the responsibility of the Licensee to develop their Compliance Plan as they are ultimately accountable for achieving and sustaining compliance with the legislation. Licensing Officers cannot direct what is written in a Compliance Plan, nor how the Licensee goes about correcting the identified non-compliance. However, Licensing Officers will support the Licensee in developing the Compliance Plan by providing clarification and education of the identified concerns and legislative requirements.

A Compliance Plan will:

- Identify and provide detail for the who, what, when, why and how the Licensee will resolve each identified area of non-compliance.
- Identify who the Licensee will delegate to monitor the plan at the facility level to ensure effectiveness.
- Be submitted according to the deadline assigned by or agreed upon with the Licensing Officer.
- Be reviewed and accepted by the Licensing Officer to ensure the Licensee has provided sufficient detail for the necessary corrective actions.

- If the submitted plan does not identify sufficient corrective action for the subsequent risk, the Licensee will be notified, provided feedback, and requested to re-submit.
- The Licensee will receive written acceptance from the Licensing Officer when the Compliance Plan adequately addresses the areas of non-compliance.

Considerations when developing a Compliance Plan:

When developing the plan be detailed and specific. Licensees might consider the following:

- Why is the plan being developed?
- What section(s) of the legislation is in non-compliance?
- What type of documentation will be maintained as evidence of the corrective actions taken?
- What type of documentation will be maintained as evidence of ongoing monitoring and compliance?
- How will each identified item of non-compliance be resolved and maintained?
- Who is involved in the creation, implementation, and monitoring of the plan? Outline the implementation of the plan at the various levels (staff/management/licensee) of the facility.
- Who, how, and when will education specific to the plan be provided to all employees?
- Who will be responsible for those activities?
 - Consider having two or more people responsible for the monitoring of the plans and all the tasked items identified in the plans. Without secondary individuals involved, it is considered a single point of failure.
- When will the plan be implemented and how much time is needed to fully implement the corrective actions?
- How will Licensing be notified of any changes to the plan?

When writing a Compliance Plan consider employing “SMART goal” setting strategies.

Specific – Your plan should address each identified area of non-compliance. It should be well defined, detailed, and clear.

Measurable – Your plan should outline how you will accomplish compliance through measurable actions. It should detail how you will know when you have reached your goal.

Achievable – Your plan should illustrate how you will obtain and monitor compliance. Consider how you will achieve the goal including how much time is needed, the skills or training required, policy revision, referral to another department, etc.

Realistic – Ensure the plan’s goal serves a relevant purpose. Is it realistically achievable within the given time frame and with the available resources?

Timely – Consider a timeline that is achievable for implementation and completion. Each action should have a defined start and end.

Compliance Plan Monitoring:

The Licensing Officer will monitor an accepted Compliance Plan to ensure ongoing compliance with the CCALA and related regulation. Licensing Officers may follow up on submitted Compliance Plans during subsequent inspections. The plan must be followed at all times.

It is the Licensee's responsibility to ensure that the continued health, safety, and wellbeing of persons in care is maintained while the plan is in process.

If the Licensee determines the submitted Compliance Plan is not effective or unable to meet the agreed upon correction timeline, they are required to notify the Licensing Officer via Licensing Direct and may be requested to submit a new plan for review.

If the Licensing Officer determines the submitted Compliance Plan is not effective, the Licensee will be requested to provide a detailed written examination of the non-effective plan and required to submit a new plan.

Compliance Plans remain in effect until the actions are complete, and the Licensing Officer has confirmed the corrective actions and sustained compliance.

For more information

Contact the Interior Health Community Care Facility Licensing program via Licensing Direct (LicensingDirect@interiorhealth.ca or 1-877-980-5118) and speak with a Licensing Officer.