Canadian Accreditation Council | Conseil d'accréditation canadien

ON-SITE OBSERVATIONS CHECKLIST

2023 Edition of Standards

Governance & Management Standards

Created July 15, 2023

Site Information	
	Name
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Available Ratings: C – Compliant NC – Not Compliant N/A – Not Applicable

Key for Reviewers:

C	NC	N/A
Compliant – the evidence was found and it met the standard's criteria.	**Non-Compliant**- the evidence was not found, or found but does not adequately meet the standard's criteria.	**Non Applicable** – the program in question is not required to provide evidence for a given standard as the standard has no bearing on operations.

Patterns of Practice	
Historical Practice	Practice with evidence to show an established pattern of consistent practice since the last review date.
Established Practice	Practice with evidence to show a pattern of consistent practice for at least 6 months.
Current Practice	Practice with evidence to show a pattern of consistent practice for less than 6 months.
Demonstrated Practice	Practice with inconsistent evidence to support full implementation of practice. Able to demonstrate practice but not able to provide evidence to show consistent practice.
Incongruent Practice	Practice observed or recorded is not aligned with policies.
No Practice	Practice not observed or recorded in the delivery of service.

Standards	Site 1	Site 2	Site 3	Site 4	Site 5
1.0 LEADERSHIP AND GOVERNANCE					
1.1 Organizational Structure					
1.1.1 Legal Entity					
Incorporation documents and most recent submission					
1.1.2 Mission and Values					
Posted mission statement (community- and home-based program mission statements can be in a brochure or other written material provided to persons served or their guardian)					
1.1.5 Community Integration					
Evidence of integration into the community					
1.2 Organization Plans					
1.2.3 Risk Management Plan					
Risk Management Plan (if not submitted with the Self-Study Submission) with date of latest review or revision and authorization					
1.2.4 Risk Register					
Risk Register (if not submitted with the Self-Study Submission)					
1.2.5 Quality Improvement Plan					

Standards	Site 1	Site 2	Site 3	Site 4	Site 5
Supporting documentation for the plan					
1.2.6 Support for the Quality Improvement Plan					
Evidence of research					
1.2.7 Annual Performance Analysis					
Evidence that the annual performance analysis has been conducted					
2.0 FINANCIAL MANAGEMENT					
2.1 Organization Financials					
2.1.1 Accounting Practices					
Documentation to support the practice					
2.1.2 Annual Budget					
Approved annual budgets					
2.1.3 Financial Statements					
Annual financial statements since last accreditation cycle					
2.1.4 Ethical Fundraising Practices					
Fundraising materials and evidence of an annual review of fundraising activities					

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Standards	Site 1	Site 2	Site 3	Site 4	Site 5
2.1.6 Limits to the Involvement with the Financial Affairs of a Person Served					
Evidence of limits to the involvement with the financial affairs of a person served					
3.0 INFORMATION MANAGEMENT					
3.1 Data Management					
3.1.1 Information Management Systems					
Documentation and systems used					
3.1.3 Maintenance of Information					
Data storage and mechanisms used to secure data					
3.2 Protection of Confidential Information					
3.2.1 Protection of Information					
Procedures to store and protect electronic and hard copy information, files, and data					
3.2.2 Informed Consent for Research					
Evidence of appropriate person served participation in research					
3.2.3 Release of Information					

Standards	Site 1	Site 2	Site 3	Site 4	Site 5
Evidence of appropriate release of information					
4.0 EVALUATION & QUALITY IMPROVEMENT					
4.1 Collection of Outcome Data					
4.1.1 Guidelines for Collection of Data					
Observation of data collection					
4.1.2 Outcome Data Collection System					
Data collection system used					
4.1.3 Measurement Tool					
Evidence of use of the tools used in the collection of outcome data					
4.1.4 Stakeholder Feedback					
Evidence of measured and annually reviewed feedback from stakeholders					
4.2 Outcome Data Analysis					
4.2.1 Analysis of Collected Data					
Evidence to support the annual analysis					
4.2.2 Awareness of Diversity					

Standards	Site 1	Site 2	Site 3	Site 4	Site 5
Practices which demonstrate respect for the diversity of the persons served					
4.4 Outcome Data Dissemination					
4.4.1 Corrective Action Process					
Evidence of the corrective action process					
4.4.2 Reporting Outcome Data to Community					
Evidence of the process to report outcome data to the community					
5.0 PROFESSIONAL CONDUCT					
5.1 Ethical Conduct					
5.1.3 Abuse					
Evidence of appropriate abuse prevention and review					
5.1.4 Harassment					
Evidence of appropriate harassment prevention and review					
5.2 Conflicts					
5.2.7 Conflict Resolution Among Personnel					
Annual review of conflict resolutions and grievances					

Standards	Site 1	Site 2	Site 3	Site 4	Site 5
6.0 SAFETY					
6.1 Management of Risk					
6.1.1 Licenses and Permits					
Copy of current licenses and permits (if not submitted with the Self-Study Submission)					
6.1.2 Emergency Response Plan					
Emergency supplies and communication methods used					
6.1.3 Working Alone					
Incidents reported relating to issues with working alone, the review process of the senior management, and evidence of how management and staff work together to develop safety procedures					
6.1.4 Workplace Safety					
Workplace risk assessment					
8.0 HUMAN RESOURCES					
8.1 Recruitment					
8.1.1 Recruitment					
Evidence to support recruitment planning					

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Standards	Site 1	Site 2	Site 3	Site 4	Site 5
8.1.2 Recruitment Reflective of Persons Served					
Recruitment materials					
8.1.3 Indigenous Staff					
Documented attempts to meet this standard					
8.1.4 Competency-Based Hiring					
Plan and progress made towards recruiting and retaining qualified personnel					
8.1.5 Position Descriptions					
Evidence that position descriptions or contracts are present and reviewed at least once every 4 years					
8.1.7 Professional Staff					
Evidence that required qualifications for all professional positions are being met					
8.1.8 Duty to Accommodate					
Efforts made to accommodate personnel with special needs					
8.1.12 Use of Contractors					
Contract (if not submitted with the Self-Study Submission)					
8.2 Records					

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Standards	Site 1	Site 2	Site 3	Site 4	Site 5
8.2.4 Access to Policy and Procedures					
Accessibility of Policy and Procedures manuals within all programs					