

Review Area 1: Governance

Categories	Lead	Dates (tentative)	Specific components	What will be looked at (will include interviews, documents review, physical inspection)	Indicators of Readiness for mandate
1.1 Corporate			<ul style="list-style-type: none"> • Corporate structure • Liability insurance • Conflict of interest • Agreements • Strategic Plan • Organizational structure • Operational Plan / budget 	<ul style="list-style-type: none"> • Written By-laws • Incorporation papers • Minute Book • Insurance policy/ coverage • Conflict of interest policies • Funding agreements • Operational and/or strategic plan • Any current work plans / operational plans and current status of the activities • Budget • If and how these are put into practice • Organizational chart 	<p>Agency has by-laws that are consistent with the Authorities Act and other requirements (relevant statutes)</p> <p>AGENCY has a conflict of interest policy that is acceptable to the Authority and that meets the requirements of funding bodies</p> <p>Acknowledgement / recognition in the by-laws that AGENCY has accountabilities and reporting requirements to the Southern Authority / Province of Manitoba</p> <p>Recognition in the by-laws that the CFS Act, the Adoptions Act, and the Authorities Act applies to AGENCY</p> <p>All legal documents are up to date (i.e. incorporation, insurance, agreements,</p> <p>Staffing and organizational structure are suitable, appropriate, and consistent with the requirements of AGENCY</p> <p>Organization of staff and programs show how the resources of AGENCY will be organized to carry out its functions as an Agency</p> <p>Organizational summary of the key roles of the various parties of AGENCY</p> <p>There is ideally a 3-5 year Strategic Plan, but a minimum of a yearly operational plan and budget for AGENCY that is approved by management, Board, Southern Authority</p> <p>Agency has an established planning cycle</p>
1.2 Board of Directors			Board Operations	List of names of Board members / positions	Appointment of Board members must be free from conflict of interest and establish a process that will ensure a Board that meets

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				<p>How Board members are appointed, on what basis and process, and if due diligence is / has been done</p> <p>Copy of minutes of Board meetings and review of the resolutions / actions of the Board</p> <p>Executive Director’s reporting to the Board</p> <p>Copy of the Board Handbook / Manual that includes relevant information / policies</p> <p>A written Board training plan, a record of training to date, a schedule of planned training, a review of the content / curriculum for training, and the upcoming schedule</p> <p>Board orientation plan and plan for training new members</p> <p>Clear policy of what payments are made to Board members / how they are approved / what the limitations are</p>	<p>transitional requirements for representation</p> <p>There are criteria that Board members must meet to be eligible for the Board (i.e. criminal checks, abuse checks, prior contact, etc.)</p> <p>Clear indication that Board has adopted and is following a policy governance model</p> <p>Board has an executive</p> <p>Board roles and responsibilities are clearly defined and are appropriate</p> <p>Clear process is outlined for how the Board will do its work</p> <p>Board is established at arms lengths from the politics and there is evidence that all parties cooperate in ensuring this</p> <p>Evidence that the Board operates according to the defined roles / responsibilities and according to legislation and by-laws</p> <p>Agency has a functioning Board of Directors (meets regularly, keeps records, carries out the Board functions)</p> <p>Board manual / handbook is in place and each Board member has a copy</p> <p>There is a Board training plan in place which includes content and timelines. There is evidence that the current Board has received training</p> <p>Board has a way to complete orientation / training with new Board members</p> <p>Board composition is consistent with legislation and other government / Authority requirements (provincial and federal)</p>

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					(addresses the on / off reserve constituency) Policies re. payments to Board members are transparent and appropriate
1.4 Supervision of the Executive Director				ED Job description Reporting formats that ED uses to report to the Board Copies of performance reviews (if applicable) OR copy of the performance review policy and procedures ED Handbook / manual (policies) Board minutes / policies that deal with the relationship between the Board and the ED	There is a job description for the executive director, approved by the Board There is a described method for completing the performance reviews of the Executive Director There are clearly spelled out policies for the Executive Director within which the ED operates (executive limitations) and evidence that the Board delegates the day to day management of the Agency to the Executive Director Stability in the relationship between the Board and the Executive Director/ good working relationship exists The reporting requirement of the ED to the Board are clearly established and there is evidence that they are maintained by both parties

Review Area 2: Service Delivery

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
2.1 Insert each program area DISCUSSION			Resource organization to handle the volume / work Record keeping Appropriateness of actions taken	Written service delivery model / program descriptions Record of calls; statistics, Relevant Program reviews / evaluations Service protocols	AGENCY has a written service delivery model / program descriptions <ul style="list-style-type: none"> • Written description of the services and programs (consistent with legislation/regulation/ standards/community needs / community mandate) • Identifies the human resources required in each program area, and a plan for the recruitment / retention of the human resources (human resources include those needed to deliver a range of programs, including admin and supervisory staff) • Identifies the collaterals that the Agency is / will be working with

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			Transfer out policies and procedures	<p>Service agreements</p> <p>Program files and financial records</p> <p>Written service delivery model / program descriptions</p> <p>Files</p> <p>Staff scheduling</p> <p>Stats on Hotel usage / shelter usage / Emergency foster home usage</p> <p>Agency interviews</p> <p>Licensing procedures</p> <p>Supervision and monitoring of resources</p> <p>Staff scheduling, training</p> <p>Policies and procedures for investigation of abuse allegations</p> <p>Review of cases where the centralized abuse team has been involved</p> <p>Interviews with agencies, polices, hospital</p> <p>Records and files</p> <p>Abuse committee membership</p> <p>Abuse committee terms of reference</p> <p>Minutes of abuse committee meetings</p>	<p>and has a plan for networking</p> <ul style="list-style-type: none"> • Identifies the collateral programs and/or funding sources that the Agency uses to deliver programs • Identifies the roles / responsibilities of the following in service delivery: <ul style="list-style-type: none"> ○ AGENCY ○ Other mandated agencies ○ Authorities ○ Child Protection Branch / Director of Child Welfare ○ Collateral programs / agencies • Protocols for dealing with child advocate, the police, the schools, health services • Quality assurance plan for programs / services <p>Agency keeps proper records of service provided</p> <p>Clearly assigned staff / manageable workloads</p> <p>Protocols and procedures for provision of services, including length of time</p> <p>Clear evidence that the Agency is following the protocols and procedures</p> <p>Indicators of service satisfaction from users and providers</p> <p>Clear policies / procedures / guidelines for apprehension / placement of children</p> <p>There are written policies / procedures for how AGENCY relates to the agencies, including how cases are transferred/accepted</p> <p>Agency keeps proper records of the services provided, including disposition of the case</p> <p>AGENCY has established referral and case management protocols with the agencies that spell out the roles / responsibilities for managing abuse cases</p>

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					<p>There are clear policies / guidelines / procedures for how the abuse teams work cooperatively with the case managers on abuse cases</p> <p>There are clear and enforced record keeping policies / procedures</p> <p>There are functioning abuse committees</p> <p>AGENCY is able to respond to cases in appropriate time frames</p> <p>AGENCY has established communication and working relationships with key collaterals</p> <p>AGENCY has communicated with key collaterals and has an ongoing plan for the communication of its services</p> <p>AGENCY has a method for updating Agency contact information</p> <p>Services are available to all (appropriate)community members and reasonable accommodation is made by AGENCY to ensure that all community members can access services, including transportation needs</p> <p>There is an established and written complaint procedure and clients are made aware of this</p> <p>AGENCY has a clear process to advise each child of the services of the child advocate</p> <p>Appeal procedures available are clearly communicated to clients and are posted in the office(s)</p> <p>There is a written description of AGENCY’s services and programs (consistent with legislation/regulation/ standards/community needs / community mandate)</p> <p>There is a written description of how referrals are made, eligibility criteria, etc.</p> <p>Identifies the collaterals that AGENCY is / will be working with and has a</p>

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					plan for networking Identifies the collateral programs and/or funding sources that AGENCY uses to deliver programs Evaluation and Quality assurance plan for programs / services

Review Area 3: Practice Standards

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
<p>3.1 For each program area</p>				<p>File review</p> <p>Contact with families</p>	<p>Agency files are appropriately set up and Agency has guidelines for staff for the maintenance of case files</p> <p>Agency provides all mandated services in accordance with legislation and provincial and community standards.</p> <p>Quality of case plans (assessments, case plans, etc)</p> <p>Clear process for tracking of children in care, including procedures for transfer, section 28 transfers, guardianship transfers</p> <p>Use of emergency placements is monitored and appropriateness enforced by AGENCY</p> <p>Response times are appropriate</p> <p>Evaluation is planned for.</p> <p>Statistics are kept on program use</p> <p>Programs are relevant to the issues of families receiving services</p> <p>Recordkeeping is appropriate and up to date</p>

Review Area 4: Agency Administration

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
4.1 Clerical and Administration			<p>Client Confidentiality and Information sharing</p> <p>Caseloads / work distribution</p> <p>Contracted services</p> <p>Records Management</p> <p>Legal services</p> <p>Office systems/procedures</p>	<p>Copy of policy regarding client confidentiality and information sharing</p> <p>Copy of current case lists for all Agency workers (including support workers)</p> <p>Discussion with Agency management re: process for case assignment and workload management</p> <p>Discussion with Agency management re: plan for contracted services</p> <p>Review of existing / past contracts and reports from contractors</p> <p>File reviews (random)</p> <p>Copy of Agency Records Management policies and procedures</p> <p>Copy of Agency computer security policy</p> <p>Review of billings / correspondence</p>	<p>AGENCY has a written policy regarding client confidentiality and information sharing</p> <p>Evidence that staff operate within this policy</p> <p>AGENCY has procedures for managing workloads</p> <p>AGENCY has policies and procedures re: contracting services, including payment policies</p> <p>AGENCY has internal mechanisms to ensure that monitoring of services occurs on a regular basis and that services are consistent with applicable law, regulations, and standards</p> <p>AGENCY has internal processes in place: <ul style="list-style-type: none"> to deal with issues that arise to ensure proper approval limits </p> <p>AGENCY records are “in good shape” (file review will be done)</p> <p>AGENCY has a clear policy and plan for records management that includes but is not limited to: content / maintenance / secure storage / access / destruction</p> <p>AGENCY has a computer security policy in place to protect confidential information</p> <p>AGENCY has adequate legal services in place for both corporate and case related matters</p>
4.2 Management			Intake Module	Compliance	AGENCY has capacity to use / maintain Intake Module / CFSIS and complies with mandatory use policies

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Information System			CFSIS IT maintenance / planning	Inventory of Agency IT capacity / needs assessment Level of knowledge / use of IT	AGENCY has a plan for development of an IT system (training, needs assessment, inventory of current resources) AGENCY demonstrates a plan and budget that includes IT needs
4.3 Finances				Financial policies / procedures manual Review of Financial statements Review of G/L, AP, payroll records, audits, etc. Computerized accounting procedures	There is a written Financial Policies and Procedures Manual that demonstrates an understanding to establish a financial administration system consistent with generally accepted accounting principles and ensures financial accountability. This includes: <ul style="list-style-type: none"> • All budgeted resources are used exclusively for the purpose for which they were intended / no part of the budget, including temporary surplus funds, may be allocated / spent, even temporarily, for non-child welfare expenditures • The person responsible for managing child and family service program controls the administration of the entire child welfare budget (Executive director) • No person who is not an employee of the Agency shall have signing authority and/or access to any funds of the Agency • There are clear signing and spending authorization • There are expenditure controls • There is a separate budget for each program area and accounting codes • The budget reflects the service / strategic plan of the Agency • There is provision for financial audits • There is a policy for the use of surplus funds AGENCY has an auditor appointed by the Board There is a separate bank account for AGENCY Agency has the capacity for computerized accounting Payroll is done by the Agency or by a payroll service directly contracted by the Agency

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					<ul style="list-style-type: none"> - staff delivering mandated services must be Agency staff and directly paid by the Agency <p>AGENCY has the capacity to do emergency and maintenance payments</p>

Review Area 5: Human Resources

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
5.1 Personnel Management and practice standards			Recruitment / hiring / discipline / termination Supporting / developing personnel Handling conflicts / grievances Clear roles / responsibilities for personnel	Copy of Human Resource policies manual Personnel Files / Payroll Records / GL Staff grievances and how they were handled Job descriptions, hiring policies, discipline policies, etc. and how these are carried out in the Agency	AGENCY must have a written human resources policies manual that includes but is not limited to: <ul style="list-style-type: none"> • Recruitment/ hiring / termination / discipline policies • reimbursement of expenses • screening mechanisms (i.e. checks, references, interviews) • qualifications / job description for each position / reporting relationships for each position • hours of work • conflict of interest guidelines • code of ethics • probations / annual performance reviews • sexual harassment policy • grievance procedures • employee benefits • leave provisions (holidays, bereavement, special leave) • maintenance of personnel files • Policies re. files (access to files / changes to files / content of files / liability insurance coverage for staff/ WCB for staff) AGENCY ratio staff to supervisor is within acceptable limits Written policies re. roles / responsibilities / authorities of staff and of supervisor Identifies the human resources required in each program area, and a plan for the recruitment / retention of the human resources (human resources include those needed to deliver a range of programs, including admin and supervisory staff)
5.2 Competency /				Copy of list of current staff qualifications	AGENCY has a policy with respect to training and staff development; AGENCY can identify their training needs and has a plan to do so

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Training/ Staff development				<p>Copy of current Agency training activities</p> <p>Copy of Agency training needs and plan for addressing these needs</p>	<p>AGENCY maintains a listing of all staff qualifications / staff meet hiring criteria</p> <p>AGENCY tracks staff development; AGENCY manages workloads while staff are in training</p>

Review Area 6: Communication

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
5.1 Communication			<p>Conflict Resolution</p> <p>Community consultation</p> <p>Annual reporting</p> <p>External communication policy</p> <p>Compliant process</p>	<p>Copy of written conflict resolution policy</p> <p>Records of conflict resolution (if any)</p> <p>How is community consultation done? Is there a plan? Is there evidence of activity?</p> <p>Annual reports / meetings</p> <p>Written communication plan / policy for dealing with requests for information, media, etc.</p> <p>Written complaint process (appeal process); records of complaints and how they were dealt with</p>	<p>AGENCY has a written conflict resolution policy in place (for staff and for clients), including procedures / policies for ADR</p> <p>AGENCY has a plan for regular input from community members to assist Agency in the following:</p> <ul style="list-style-type: none"> • a community education program • annual public reporting process <p>AGENCY keeps proper stats and records, does appropriate reporting, and submits quality reports in a timely manner</p> <p>AGENCY has a written plan and process to respond to queries about cases or files from parties who are not directly involved in the care of a child (media, politicians). This plan must address the confidentiality provisions and Agency liability issues</p> <p>AGENCY has clear procedures re. responding to the media</p> <p>AGENCY has a written complaint process (for staff / for clients)</p>

Review Area 7: Infrastructure

Categories	Lead	Dates (tentative)	Specific components	What will be looked at	Indicators of Readiness for mandate
Sites			Location Office Furniture Phone system	Copy of list of site addresses and phone numbers Discussion with Agency management re: plans to develop sites / acquire new sites (if applicable) Staffing and other Resources available / Services provided at each site Copy of written document outlining the geographic boundaries for each site and areas to be covered by service contracts with other Authorities and/or agencies	AGENCY has physical office spaces/ furnishings that will accommodate their plan service delivery Site has appropriate phone system capacity AGENCY demonstrates that its facility is adequate Each site can provide the core AGENCY services Each site is sufficiently staffed to provide the services that it plans to do AGENCY has clarified the geographic boundaries for each site (if applicable)