



COMPLIANCE CHECKLIST (Standards 30 to 32, 33, and 43)



SERVICE PROVIDER'S NAME: _____

PREPARED BY: _____

DATE PREPARED: _____

Standard 30	Description of Indicator	Look for policy stating:	Positive Approaches		Restrictive Approaches		Comments
			Yes	No	Yes	No	
Indicator 1	The service provider's policy outlines the type of positive or restrictive approaches that may or may not be used in response to unanticipated situations or behaviours of concern, and policy includes: a. examples of situations in which they may be used b. the follow-up and documentation that is required (Attachment A23)	May be used					
		May not be used	NA	NA			
		Examples of when may be used					
		Examples of positive and restrictive approaches used					Not necessary but helpful
		Follow up required					
		Documentation required					
Standard 31	Description of Indicator	Look for:	Yes	No	Comments		
Indicator 1	The service provider's policy demonstrates its commitment to the use of planned positive procedures in response to anticipated situations or behaviours of concern. (Attachment A24)	Policy regarding stand-alone planned positive procedures					

Compliance Checklist continued...

Standard 31	Description of Indicator	Look for:	Yes	No	Comments
Indicator 3	There is written documentation that describes: (Attachment A25)	Documentation attached as an example			
	<ul style="list-style-type: none"> the situation or behaviour of concern 	Description of behaviour			
	<ul style="list-style-type: none"> a basic functional assessment that explains, minimally, what possibly led up to the behaviour of concern and the behaviour's consequences for the individual 	Basic functional assessment			
		What led up to the behaviour of concern			
		Behaviour's consequence for the individual			
	<ul style="list-style-type: none"> positive procedures to be included in the plan to support the behaviour change 	Positive procedures included			
	<ul style="list-style-type: none"> an implementation plan 	Plan for implementation included			
	<ul style="list-style-type: none"> staff training requirements necessary to carry out the plan 	Staff training requirements noted			
<ul style="list-style-type: none"> a strategy for evaluating effectiveness 	Strategy to determine plans effectiveness (how not just when)				
Indicator 5	A review process with timelines is in place to determine the effectiveness of the planned positive procedure, or whether it is required to continue, discontinue, or change. (Attachment A26)	Review process with timelines			

Compliance Checklist continued...

Standard 32	Description of Indicator	Look for policy stating:	Yes	No	Comments
Indicator 1	The service provider's policy describes how and when planned restrictive procedures will be used, including the use of planned positive procedures prior to, or in conjunction with, the use of planned restrictive procedures. If restrictive procedures are not permitted, the service provider's policy indicates this. (Attachment A27)	How and when planned restrictive procedure will be used is described			
		Planned positive procedures are used prior to implementing restrictive procedure			
		IF restrictive procedures are NOT permitted			
		WHICH restrictive procedures are NOT permitted			
Indicator 2	The service provider's policy describes how and when documentation takes place with respect to the implementation of planned restrictive procedures, if planned restrictive procedures are permitted. (Attachment A28)	How and when documentation takes place			
Indicator 6	There is written documentation describing any planned response that includes: (Attachment A29)	Documentation attached as an example			
	<ul style="list-style-type: none"> a description of the situation or behaviour of concern 	Description of the situation or behaviour of concern			

Compliance Checklist continued...

Standard 32	Description of Indicator	Look for policy stating:	Yes	No	Comments
Indicator 6 continued	<ul style="list-style-type: none"> positive procedures to be included in the plan to support the behaviour change 	Positive procedures included			
	<ul style="list-style-type: none"> restrictive procedures to be included in the plan 	Restrictive procedures included			
	<ul style="list-style-type: none"> an implementation plan 	Plan for implementation included			
	<ul style="list-style-type: none"> a strategy to reduce or eliminate the (need for the) planned restrictive procedure (as much as possible) 	Strategy to reduce or eliminate			
	<ul style="list-style-type: none"> termination criteria for the planned restrictive procedure 	Termination criteria			
	<ul style="list-style-type: none"> staff training requirements necessary to carry out the plan 	Staff training requirements			
	<ul style="list-style-type: none"> a review process exists whereby information is collected, and the impact, effectiveness and implementation of the plan is evaluated 	Review process to assess the impact, effectiveness and implementation of the plan			
	<ul style="list-style-type: none"> a process for the amendment of approve plans and approval of those amendments 	Process to amend and approve amendments			

Compliance Checklist continued...

Standard 33	Description of Indicator	Look for policy stating:	Yes	No	Comments
Indicator 1	The service provider's policy outlines it's commitment to the investigation and use of AT-EI in any situation where its use would improve independence in daily living, help the individuals gain control over their environment, and promote inclusion in community settings. (Attachment A 30)	Commitment to investigate and use AT-EI to help gain control, promote inclusion in community settings			
Indicator 2	The service provider has policy and documentation procedures that require the appropriate qualified professional to assess and authorize any AT-EI that have the potential to limit autonomy. Guidelines are in place that reflect the interventions' intent and use. (Attachment A31)	Policy and documentation stating:	Yes	No	Comments
		Procedures to support assessment of AT-EI interventions that may limit autonomy			
		Authorization by appropriate qualified professional			
		Guidelines available that show the intent and use of the AT-EI			

Compliance Checklist continued...

Standard 43	Description of Indicator	Look for policy stating:	Yes	No	Comments
Standard 43 Indicators 1-6	The service provider facilitates continuous quality improvement and outcome evaluation. (Attachment 101)	Continuous quality improvement and outcome evaluation addressed			
		Data collection system			
		Staff training on monitoring and measuring outcomes			
		Plan implementation			
		Regular monitoring and annual review			

This is a preliminary review of the compulsory standards (30 to 32) and indicators that can be verified through the information provided in the Self-Study Guide. (The other indicators will be verified on site.)

As Standards 33 and 43 are relatively new concepts and standards, they have been added to this review as well.

Any indicators marked as “No” or “?” have corresponding comments that show what is missing.

Addressing these deficiencies prior to the survey team arriving on site should improve your chances of being certified.

Please feel free to call the person identified on this form if you require any additional information.