

Standards of Good Governance
Quality Assurance Program for Regulator Performance

DOMAIN: GENERAL		
#	Standard	Evidence-Expected Outcome
1.0	The regulator maintains accurate and accessible information that is publicly available about its registrants, regulatory requirements, guidance, processes, and decisions.	Information about registrants is directly accessible from the regulator’s website.
		Information about the regulator’s governing board and statutory committees, including the names of the respective members, are displayed on the regulator’s website.
		Information on how the public can make a complaint and the investigation processes is publicly available on the regulator’s website.
		Information posted on a regulator’s website where appropriate is presented in a plain language format.
		All bylaws are published and made available to the public and registrants in an easily accessible format on regulator's website.
2.0	The regulator demonstrates the principles of EDIRA (equity, diversity, inclusion, reconciliation, and accessibility) and ensures that its registrants, the public, and other affected parties do not experience unnecessary barriers or otherwise be disadvantaged.	The regulator has a position statement that reflects the principles of EDIRA which is publicly available and easily accessible on the regulator’s website.
		The regulator has a code of conduct on how it operates for staff and committee members. The policy is reviewed at least every three years to ensure it reflects current legislation, practices, public expectations, issues, and emerging initiatives (e.g. diversity, equity, and inclusion).
		The regulator demonstrates commitment/efforts to achieving diversity and inclusion on board, committee, and staff composition.
DOMAIN: GOVERNANCE		
#	Standard	Evidence-Expected Outcome
3.0	The regulator’s governing board governs according to governance best practices.	The board has a governance model/structure and follows governance best practices.
		Board members participate in an orientation to governance best practices.
		Policies/procedures for the board are provided to board members and staff.
		Processes for review of standards are documented.
		Policies and/or standards of the governing board have measurable outcomes. Policies have a review schedule and evaluation process.
		The board has and undertakes a self-evaluation process

		The regulator has a risk management framework and policies and/or processes are in place to address risks: - Financial; - Information technology;- Comprehensive liability insurance (including cyber security); - Legal (privacy, confidentiality); - Governance vs operational authority; - Operations - Human Resources (volunteer committees/employed staff)
		The board and board committee structures or processes are in place that are appropriate (provide some examples such as composition of governance committees, finance committee, appointment committee, statutory committee).
		The regulator demonstrates adherence to a code of conduct, conflict of interest, and confidentiality policies.
		The regulator articulates a vision and strategic directions/desired outcomes for the organization.
4.0	The regulator's governing board has appropriate oversight of operations.	The board monitors progress in meeting the strategic directions and adherence to policies.
		The board monitors that the regulator's operations are compliant with applicable federal and provincial laws, and its governing legislation.
5.0	The board and statutory committee members have the knowledge, skills, and commitment needed to effectively execute their fiduciary role and responsibilities pertaining to the regulator's mandate.	The board identifies and communicates eligibility and suitability criteria for registrants to stand for election/appointment to the board and statutory committees.
		The board and statutory committee candidates, once appointed, are trained about the regulatory mandate and expectations pertaining to their roles and responsibilities.
		Training is ongoing (at least annually) for board and committee members.
DOMAIN: STANDARDS (Including Policies & Guidelines)		
#	Standard	Evidence-Expected Outcome
6.0	The regulator maintains up-to-date practice standards that are regularly reviewed and prioritize patient/client centered care and safety.	Practice standards are reflective of current practice environment and consideration is given to collaborative practice teams and cultural competence.
		Feedback from registrants and impacted parties about practice standards is gathered and considered for incorporation into revisions.
		An evaluation strategy is in place.

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7.0	The regulator provides guidance to assist registrants to interpret and apply the practice standards and addresses new and developing areas of risk in practice.	The regulator communicates with academic programs to promote awareness of practice standards and inform the development/revision of those standards.
		Registrants are informed about revisions to practice standards and new standards.
		Communication strategy is in place to inform registrants about expectations pertaining to standards, policies, renewal, and registration requirements. Communication strategies to consider: - Learning modules for licensure- Newsletters, webinars, sessions with new graduates.
DOMAIN: INVESTIGATIONS, PROFESSIONAL CONDUCT, AND FITNESS TO PRACTICE		
#	Standard	Evidence-Expected Outcome
8.0	The regulator enables anyone to submit a complaint about a registrant.	The different stages of the complaints and fitness to practice processes are clearly communicated and set out on the regulator’s website.
		Information is communicated directly to complainants and respondents who are engaged in the complaints process, including what can be expected at each stage.
		The relevant supports available to complainants and respondents are clearly and directly communicated.
9.0	The regulator’s processes for examining and investigating complaints is fair, transparent, and timely.	The regulator is compliant with applicable legislation pertaining to the professional conduct and fitness to practice processes.
		Policies and procedures are developed that define processes and timelines that meet legislative requirements.
		Regulatory processes are clearly written and publicly accessible (as appropriate).
10.0	The regulator’s decisions are consistent, fair, and prioritize public protection mandate.	Decisions and the evidence supporting each decision at each stage of the process are well documented.
		Decisions that are publicly accessible reflect the regulator’s consideration of relevant legislation/standards for example: - The regulator’s statutory objectives - The regulator’s practice standards
		Discipline decisions are reported in a timely manner in accordance with legislation and are posted publicly.

11.0	The regulator implements interim orders in cases where there is a risk to public safety.	The process for interim orders is documented in policies and procedures.
		The regulator has an established process to identify and prioritize high risk cases.
		Interim orders are reported on the regulator's website.
12.0	The regulator supports all parties during the complaint process.	Process for communication to all parties is documented in policies and procedures: when, how, and frequency of communication to all parties.
		Timelines are communicated to all parties and parties are kept informed on the progress of their case.
DOMAIN: INFORMATION MANAGEMENT		
#	Standard	Evidence-Expected Outcome
13.0	Information collected by the regulator is protected from unauthorized disclosure.	The regulator has developed and implemented policies and processes that govern the collection, use, disclosure, and protection of information.
		The regulator has developed and implemented policies and processes that govern the destruction of records.
DOMAIN: SUITABILITY TO PRACTICE/CONTINUING COMPETENCE		
#	Standard	Evidence-Expected Outcome
14.0	The regulator ensures the continued competence of all active registrants.	The regulator has a continuing competence program that is developed and implemented that supports competency, professionalism, ethical practice, and quality of care.
15.0	The regulator has processes and procedures in place to assess the competency, safety, and ethics of the people it registers.	For the assessment of applicants or registrants, based on return to practice, unrecognized international credentials, practice review, or complaint processes and procedures are developed and implemented that outline: <ul style="list-style-type: none"> • The competency domains in need of evaluation • Right touch evidence informed approach used to identify who will undergo an assessment activity. • The criteria used to identify remediation activities a registrant must undergo are based on the practice review assessment, where necessary.

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DOMAIN: EDUCATION		
#	Standard	Evidence-Expected Outcome
16.0	The regulator has a transparent mechanism for assuring that the education programs it authorizes meet regulator’s requirements.	The regulator has established standards to those programs accepted by the board to assess the quality of education programs.
		The regulator has an established process to assess the quality of education programs (e.g., accreditation).
		The regulator has an established monitoring process for the performance of assessment/accreditation body. The regulator ensures that the selected assessment/ accreditation body continues to meet the standards required for assessing/accrediting programs, by providing feedback to the accrediting body directly or through a review process led by the nationally organized table for that profession.
DOMAIN: MEASUREMENT, REPORTING, AND IMPROVEMENT		
#	Standard	Evidence-Expected Outcome
17.0	The regulator monitors, reports on, and improves its performance.	The regulator has performance indicators or metrics that include a clear rationale for why each is important.
		The board uses performance and risk information to regularly assess the regulator’s progress against stated strategic objectives and regulatory outcomes.
		Where relevant, performance and risk review findings are translated into improvement activities.