

HDAA Certification Process for the Human Services Quality Framework

Initial meeting and proposal

We conduct the initial visit to gain a good understanding of your operation, team, quality approach and your certification requirements. We will be able to talk through your specific needs, considerations of timeframes and answer questions that you might have. We will also be able to talk through the certification process.

Once we understand your requirements we will provide you with a no obligation proposal detailing the assessment approach and other details such sampling of sites and people using your service, assessment duration and pricing.

Application

Once you have reviewed and accepted and signed the proposal it becomes The Agreement and we can begin planning with you for your certification assessment.

The Agreement is a formal contract between your organisation and HDAA Australia Pty Ltd, and outlines your acceptance of the certification process, the rules governing certification and related certification marks as well as the appeals and contractual terms and conditions.

Consumer Participation

Consumers will be offered information about the assessment process and independent support (arranged by the relevant service) to engage in the process prior to any consent being obtained

Participation by consumers in assessments is at all times voluntary and shall be based on the principle of consent. Where possible, a consumer's consent to participate in an assessment shall also grant permission for the assessors to review that consumer's file. It is desirable to obtain consents in writing. Where the capacity of a consumer to provide consent is uncertain, an independent advocate (arranged by the service provider) should be involved to determine that capacity and to support an appropriate level of involvement by the consumer. Where written consent is not obtained, the reason for this, and evidence supporting the assumption that consent was sought and has been obtained, should be recorded in file notes.

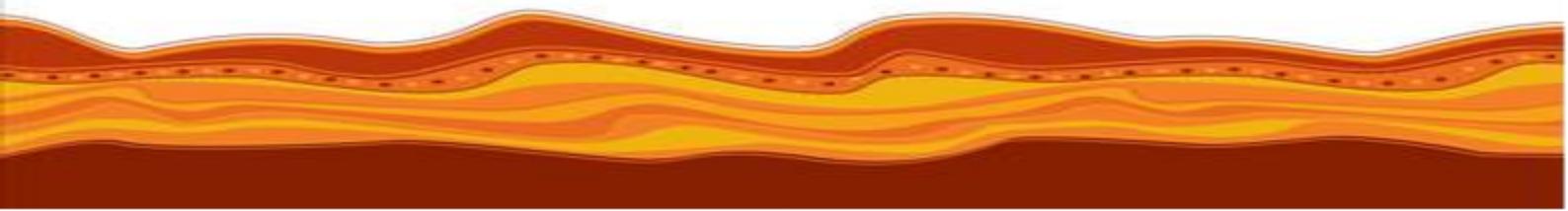
Consumers shall be invited to the opening and closing meetings of all assessments (if appropriate)

Pre-certification Stage 1 assessment

A Stage 1 assessment is carried out on-site at your central office. It assesses your policies and procedures and other documentation associated with your quality management system.

The aim of the Stage 1 assessment is to ensure that your organisation is likely to be ready for the certification assessment (also known as Stage 2 assessment).

At the conclusion of the Stage 1 assessment you will receive a Report that includes a plan of action for development should this be required. It will include your Improvement Action Plan, describe what is working well and note the Assessors observations and outline what will be assessed at the



Stage 2 assessment.

Certification assessment – Stage 2 assessment

The certification assessment is carried out at your central office and a sample of sites. Its purpose is to determine whether your service meets the Human Services Quality Standards. The length of time that it takes to carry out the certification assessment will depend on your organisation complexity based on the range of services provided, number of sites, number of people accessing your services and the number of staff.

The assessment visit detail will be planned with you well in advance of the assessment. The visit will include at a minimum:

- Opening meeting for all parties - consumers, staff, management and Board;
- Discussions with management;
- Review of policies and procedures against the Commonwealth Disability Service Standards;
- On-site observations;
- Interviews and discussions with staff;
- Interviews and discussions with service users and families;
- Discussion with Board of Governance members;
- File review of a sample of service user files;
- Summary discussion of any improvements;
- Closing meeting for all appropriate parties - consumers, staff, management and Board.

At the completion of the Stage 2 certification assessment the assessor holds a closing meeting with you at which time an overview of the results of the assessment are discussed.

After the on-site assessment a draft report is sent to you and this details any improvements that are required to meet the standards, an observations table that may be helpful in your quality development, and importantly a description of a sample of those processes, systems and activities that you have that achieve the requirements of the standards.

The report is sent to you as a draft so that, if required, any points can be clarified or responded too.

Once we receive the report back from you the report and auditor recommendation is sent to a Certification Panel that will confirm (or may not) the auditors recommendation. The role of the Certification Panel is to independently assesses the assessors recommendation and if supported to confirm that you have been successful and issue your Certification.

After that the report is finalised and sent to you in your own personalised certification folder.

Your organisation will then be granted the use of the HDAA Mark and the JAS-ANZ mark which can be used on stationery and marketing material. Your organisation will also be listed on HDAA's Register of Certified Organisations and the JAS-ANZ Register of Certified Organisations.

Post-certification assessments or Surveillance

Surveillance assessments are required at 18 months (the midpoint of the Certification cycle). This assessment is carried out in the same manner as the Stage 2 certification assessment and is a necessary requirement of certification so that there is assurance that your system continues to

assessments

meet the standard and is maintained.

Surveillance assessments are generally shorter in duration because only some of the standard are being assessed.

Re-certification assessment

Once every 3 years after the certification assessment a further full assessment needs to be completed. The aim is to confirm that the systems in their entirety are working well and that they continue to align with the requirements of the standards. The duration of the re-certification assessment is similar to the initial Stage 1 and Stage 2 assessment.

Based on the result of the assessment, the assessor will recommend to the Certification Panel that certification be renewed, withheld or suspended. Generally, though, a new Certificate is issued at this point.

Follow up or Progress assessment

A progress assessment is needed if after an assessment visit:

- There are a large number of improvements required to meet the standards.
- There are non-conformities that are of a moderate to high risk.
- There are substantial changes to your organisation.
- A substantial complaint has been raised with HDAA or a breach of certification has been reported to HDAA or a related stakeholder and this is communicated to us.
- other conditions as determined by HDAA where the integrity or compliance of the system, process or product needs to be verified
- if you wish to extend the scope of your certification.

