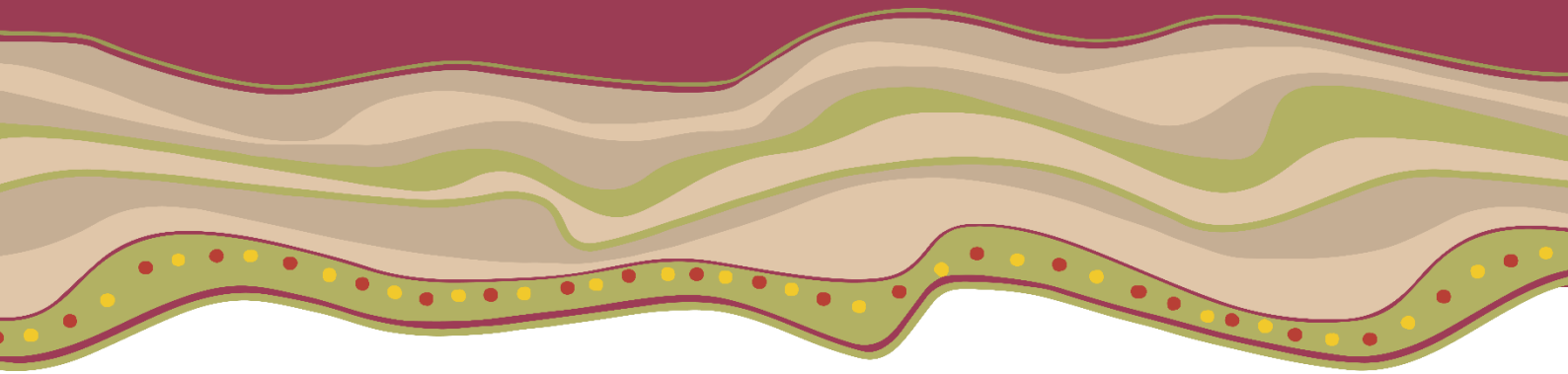


Scheme Requirements

Human Services Quality Framework (HSQF)



Scheme Requirements

Human Services Quality Framework Scheme

Name of scheme

The name of this scheme is Human Services Scheme (HS Scheme) and it includes:

- Part 1 - Common requirements for bodies certifying Human Services.
- Part 2 - Additional requirements for bodies certifying Human Services in Queensland.

The following is a summary of aspects of the Human Services Scheme and the additional requirements for certification bodies in Queensland further detail is included in the scheme procedures and these documents outline the requirements of the assessment process and are available from us on request.

Process requirements

The evaluation program shall include an initial assessment and periodic maintenance and recertification assessments of the client's policies, procedures, and practices relating to its services.

There shall be documented procedures for: (a) conducting certification, maintenance, and recertification assessments of a client (including reporting), in accordance with the provisions of ISO 19011; (b) identifying and recording nonconformities and the need for appropriate corrective action by clients.

Assessments shall be planned to allow enough time and resources for the assessment activities to fully comply with the reporting requirements in this scheme.

HDAA shall (a) begin assessment planning; (b) communicating the support needs of the selected consumers with the client; and (c) will send the client the list for consumer participation as early as possible. HDAA will aim to provide the client with adequate time to arrange for consumer participation, consents to access files, and prepare for the assessment.

HDAA shall consider the culture and capacity of organisations and sites and/or outlets in remote communities, including indigenous and multi-cultural communities when planning assessments.

HDAA shall follow up at assessment any matters referred to it by the responsible body that relate to conformity with the standards or to a potential notifiable issue and provide any further information on them to the responsible body if requested.

HDAA shall inform the client of the names of the members of the assessment team who will carry out the assessment, with enough notice to appeal against the appointment of any team member.

HDAA shall take into consideration any information provided by the Department prior to and during an assessment, including any concerns of the Department that may require special attention during the assessment. HDAA will also notify the Department in writing within twenty working days of contracting to provide certification services to the client and notify the Department twenty working days prior to the assessment of the assessment date. HDAA will also immediately notify the Department if a client puts a person accessing its services at risk of significant harm or if it suspects, has evidence of, or receives a complaint or allegation about a Notifiable Issue. HDAA is required to share with the Department any information acquired about the client in order to assist the Department to assess the performance of the client under its service agreement and against the standards.

HDAA shall perform the initial certification assessment in a two-stage process and document Stage 1 assessment findings and communicate them to the client before the Stage 2 assessment.

The Stage 2 and recertification assessments shall take place at the client's site(s) and/or outlet(s) as applicable. During the Stage 2 assessment, HDAA shall at least evaluate the following: (a) information and evidence of conformity with all requirements of the standards, (b) links between the requirements of the standards and the client's policies and performance

At all on-site assessments, the assessment team shall hold a closing meeting with the client's management and any consumers who wish to be involved, prior to concluding the on-site assessment.

Written reports of on-site assessments shall also include: (a) a brief description of the client; (b) an executive summary of the overall findings (conclusions) of the assessment, including comments on the effectiveness of the client's policies, procedures and practices to ensure conformity with the standards and a summary of major nonconformities and nonconformities; (c) positive and negative observations; (d) times allocated for Stage 1 and stage 2, maintenance or recertification assessments; and (e) a description of the number and type of interviews with consumers (if applicable).

Where applicable, reports of maintenance, recertification, or follow-up assessments shall document: (a) close out of each major nonconformity and nonconformity revealed previously.

HDAA shall prepare stand-alone reports of any follow-up assessments outlining any major nonconformity or nonconformity and documenting the evidence provided to support decisions to close them out or downgrade them.

HDAA shall ensure that all relevant standards (or KPIs or indicators) are assessed by assessment teams conforming to all the relevant requirements of this scheme.

Assessment planning and sampling

The minimum number of non-central office sites and or outlets to be visited per assessment is: (a) initial assessment and recertification assessment: not less than the square root of the total number of full-time and part-time sites and/or outlets ($y=\sqrt{x}$), rounded to the upper whole number; and (b) maintenance assessment: not be less than the square root of the total number of full-time and part-time sites and/or outlets with 0.6 as a coefficient ($y=0.6\sqrt{x}$), rounded to the upper whole number.

In all assessments, the central office shall be visited at least once, in addition to the sites and/or outlets sampled.

A multiple site and/or outlet human service organisation may deliver different service types across the same or multiple service streams. Different service streams and service types are separate populations. HDAA shall sample all service streams and types at every assessment.

Child protection placement Services (non-family based and family-based care) are classed as separate populations and shall be sampled separately. HDAA shall ensure that the sample adequately represents each of the different service models and service types delivered by the human service organisation.

HDAA shall assess 100% of outlets within the scope of non-family based (residential) child protection placement services at certification and recertification assessments and may sample the square root of outlets at maintenance audits.

The size of the sample shall be increased where there are special circumstances such as might apply to any of the site and/or outlet selection criteria.

Where a certified client with multiple sites and or outlets wishes to include new sites and/or outlets in the scope of its certification, each new group of sites and/or outlets should be considered as an independent set to determine the sample size for assessment during the next scheduled assessment activity.

The sample of people using services shall include people receiving each different type of support service delivered. Where a single site service provider (or any site of a multi-site service provider) delivers multiple service types, HDAA shall always sample consumers from every service type. The number of consumers sampled per service type should be commensurate with the number of consumers for each service type. Noting that consumers have the right not to be involved, HDAA will aim for a minimum of 5, and a maximum of 20 consumers per site. Where HDAA deems the total number of consumers receiving services at an organisation to be excessive an appropriate sampling approach will be adopted and recorded.

Children and young people residing in child protection placement services or their families shall not be directly approached for feedback. For foster/kinship care services, the carers are the people using services and shall be included for feedback.

HDAA shall be able to justify how consumers are sampled for any assessment. Any reduction in the sample size must be justified and documented in each case.

HDAA will aim to review a minimum of the square root of the number of files for consumers (where files exist) at each outlet, rounded to the upper whole number at every assessment and include a sample files from each service type and these shall be proportional to the number of consumers for each service type. For children and young people placed in a child protection placement service, HDAA shall sample files to ensure that the service currently meets, and will meet in the future, the Statement of Standards.

File access shall be by written consent of the consumer and shall comply with the provisions of the Privacy Act and any relevant state legislation.

Sampling strategies shall be sufficiently documented for each assessment to be able to trace compliance with all the requirements.

Information and Communication Technology Auditing (MD4:2018)

HDAA is authorised to complete assessments to MD4:2018 which enables a greater use of information and communication technologies (ICT) in the auditing activities. ICT is the use of technology for gathering, storing, retrieving, processing, analysing and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others. The use of ICT may be appropriate for auditing both locally and remotely. The use of ICT during audits may include but is not limited to:

- a) Meetings; by means of teleconference facilities, including audio, video and data sharing,
- b) Audit of documents and records by means of remote access, either synchronously (in real time) or asynchronously (when applicable),
- c) Recording of information and evidence by means of still video, video or audio recordings,
- d) Providing visual/audio access to remote or potentially hazardous locations.

The use of ICT shall be mutually agreed upon with you by HDAA prior to the audit commencing. HDAA and the service provider shall ensure that security and confidentiality is maintained throughout audit activities and activity is in accordance with information security and data protection measures and regulations before ICT is used for audit purposes. In the event systems to be used, security and or data protection measures are not able to be fulfilled or agreed the assessment will be conducted on site.

Assessment sample

Sampling will be determined based on the Service Description provided to us by you and the Scheme sampling rules. In establishing this agreement for services, it is very important that the Service Description directly aligns with scope of services to be assessed as this directly influences the number of sites to sample and the numbers of your participants or clients to involve. Services not included in the Service Description may adversely affect the sampling and result in services or sites being omitted from the scope of certification.