



# Australian Service Excellence Standards

Acknowledgement: Maree, Highwire  
for assistance with this PowerPoint  
presentation





# The Regulatory Environment

**Compulsory**



**Incentivised**



# Application



The NSW Department of Family and Community Services now requires that all funded Specialist Homelessness Services become accredited under the ASES standards.



# About ASES

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- The Australian Service Excellence Standards (ASES) is an internationally accredited quality improvement program based around a set of approved quality standards.
- ASES is an achievable accreditation and quality framework for Community Service Organisations.
- Quality accreditation helps your organisation develop a culture of quality and continuous improvement and provides a level of confidence to your staff, stakeholders, partners and funders.

# Structure of the Framework

2

Levels

3

Sections

8

Categories


18

Standards

98

Criteria

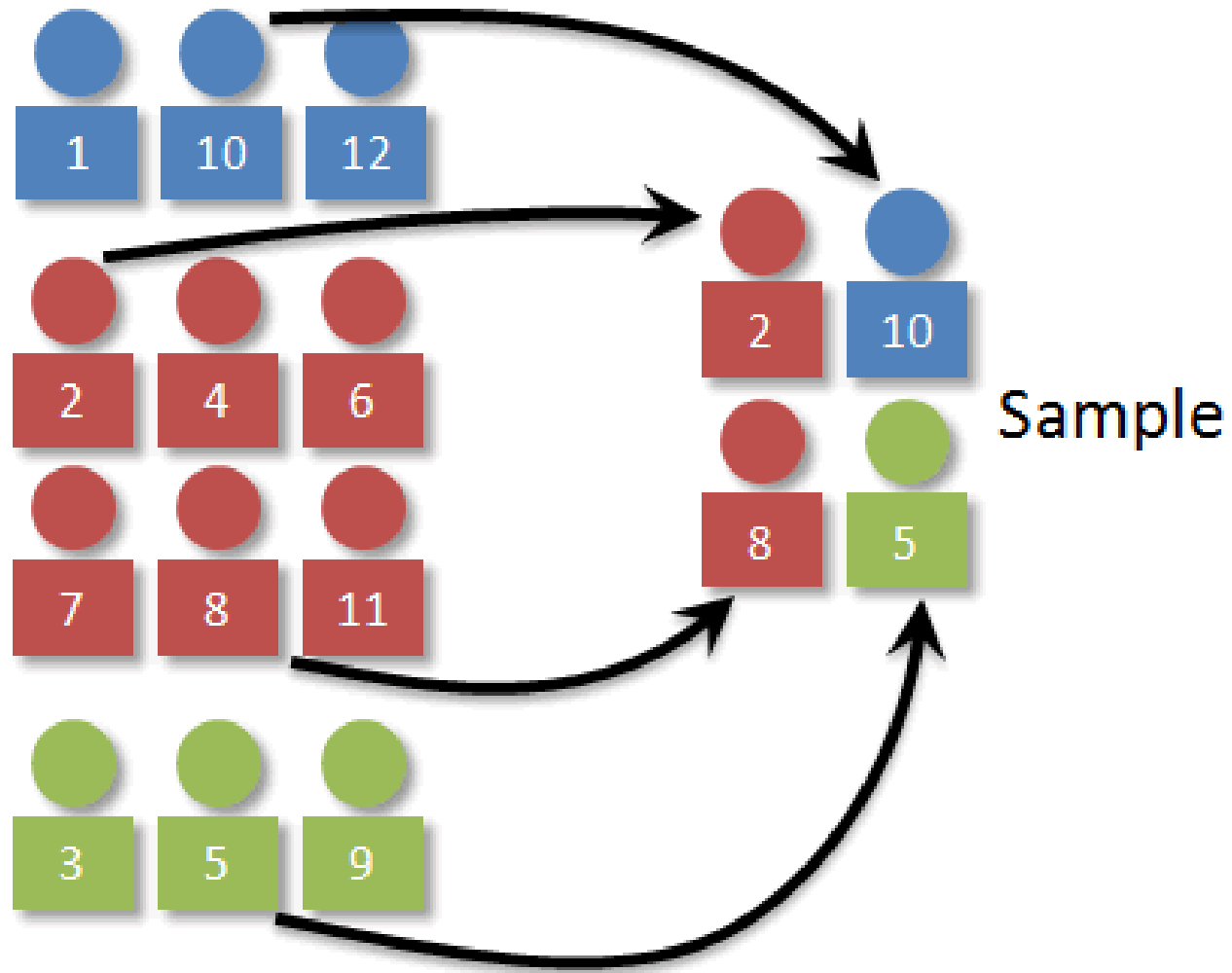




# Audit objective and scope

The audit ***objective*** defines the goals for the audit and what is to be verified.

The audit ***scope*** describes the extent and boundaries (depth & breadth) of the audit, e.g. Physical location, organisational units, activities, processes, management system components and reporting methods.



## Scope of Assessment

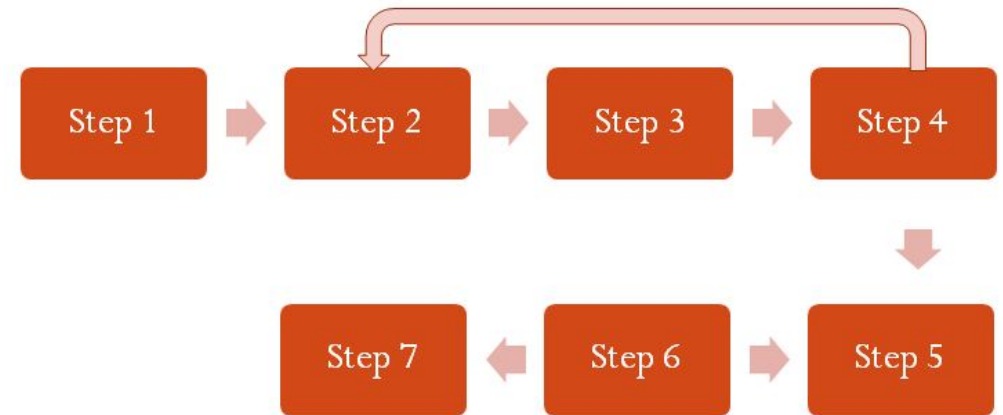
- Size
- Sites
- Sampling
- Multiple Frameworks

# The Process

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Key Steps

Before – During - After







# Stages of an Audit

Guided by: ISO Quality Management Systems Standard  
Clause 8.2 Monitoring and measurement, 8.2.2 Internal audit

Stage 1. Program  
or schedule

Stage 2. Planning  
and preparation

Stage 3. Opening  
meeting

Stage 4. Auditing &  
recording findings

Stage 5. Closing  
meeting


Stage 6. Writing  
reports & raising  
non-compliance  
issues

Stage 7. Following  
up corrective  
actions



Before the  
Assessment





During the  
Onsite  
Assessment



# Gathering the Evidence

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## What is Evidence:

“A ground for belief; that which tends to prove or disprove something; to make evident or clear; show clearly; manifest”

(The Macquarie Dictionary, 3rd Edition, 1997).



# Evidence-

## What are we looking for?

- Objective evidence
- Proof that there is control over the activity being audited
- That the policy and/or procedures are implemented consistently
- Compliance with the relevant Standard
- Compliance with the relevant Act/legislation/funding agreement that applies to the organisation
- That planned outcomes are achieved.



# | Types of Evidence

- Policy documents
- Manuals
- Registers
- Reports
- Interviews
- Observations
- Audit results
- MoU's and agreements
- Evaluations
- Feedback and survey results
- Training records and documents
- Meeting records



# Evidence must be:

- **Relevant** – relates to the practice under examination
- **Current** – recent enough to confirm the practice still exists
- **Reliable** – delivers consistent results over time
- **Corroborated** – supported by more than one source
- **Systematic** – part of a demonstrable system of work
- **Sustainable** – not reliant on skills of one staff member or a fad in thinking

# Recording Findings and Ratings

**FIP's**

**PIP's &  
NIP's**

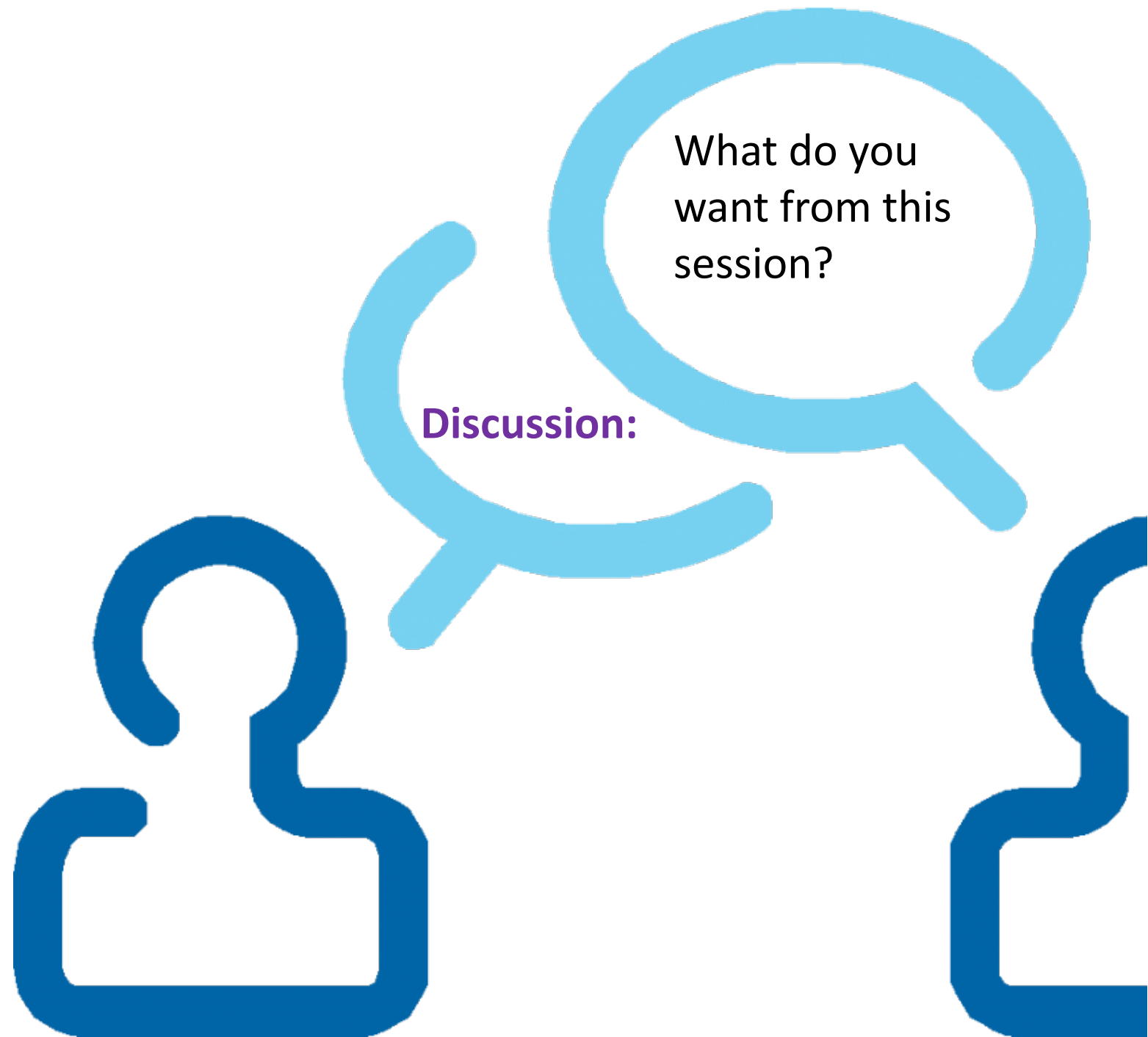






# The Closing Meeting

## Providing Feedback





# Reporting

- Commentary
- Notifiable issues
- Essential Requirements
- CQI Recommendations



After the  
Assessment

# The Quality Action Plan

## Sample

Item No.	Identified improvement	Planned action(s) to be taken	Progress/Outcomes 10.08.18	Evidence submitted
1	<b>C.1.1.3 Essential requirement</b>  <b>Complete Strategic planning process</b>	<ul style="list-style-type: none"><li>• Ratify and implement Strategic Plan</li><li>• Set timeframes for the regular review of progress against the strategic objectives</li></ul>	<p>The Committee has ratified the new strategic plan and implemented a reporting framework for the new Manager to report on progress. This includes monthly verbal reports and quarterly written reports including:</p> <ul style="list-style-type: none"><li>• Update on action plan</li><li>• What's happening with funding</li><li>• How are we going managing <u>risk</u></li><li>• Big improvements/ opportunities</li></ul> <p>This process has been included in the Governance Manual – Planning Framework.</p>	<ul style="list-style-type: none"><li>• PAYC Strategic plan 2018 - 2021</li><li>• <b>Committee meeting minute approving the new Strategic plan</b></li><li>• Annual action plan</li><li>• <b>Copy of Managers quarterly report</b></li><li>• <b>Board meeting minute discussing and accepting the report</b></li><li>• Updated Planning Framework</li></ul>



# Tips and Resources

A systems view

Embedding CQI

Getting everyone involved

Building capability

Project planning