

Topic:	The Self-Assessment and ASES Workplan
Document type:	How-to Guide

MODULE 3: THE SELF-ASSESSMENT AND ASES WORKPLAN

1. INTRODUCTION

The first two Modules (*Orientation* and *Planning ASES*):

- Introduced ASES content and steps to accreditation
- Emphasised the importance of client, staff and stakeholder engagement
- Outlined a framework for planning for accreditation and sharing the work, and
- Provided a guide to developing an ASES Project Plan.

By working through the first two Modules, you will have:

- Informed and engaged the staff and governing body about the ASES and the steps to accreditation
- Developed a strategy about how the work involved in ASES will be managed and shared
- Delegated broad areas of responsibility for ASES
- Developed an ASES Project Plan with strategies for client and stakeholder engagement
- Developed a filing system for collecting and storing your evidence.

In this Module, we will cover how to:

1. Assess your current practices, systems and documentation against the Standards and requirements by undertaking your self-assessment
2. Develop and complete your ASES Workplan to address any areas where your practices and processes are not yet fully in place
3. Implement your Workplan, putting new practices, policies and systems in place
4. Revise and update your self-assessment, and
5. Gather evidence that will demonstrate how you have met the Standards and implemented all the requirements.

Where are we in the process?

In Module 1, we presented a number of flow charts that describe the process of ASES accreditation.

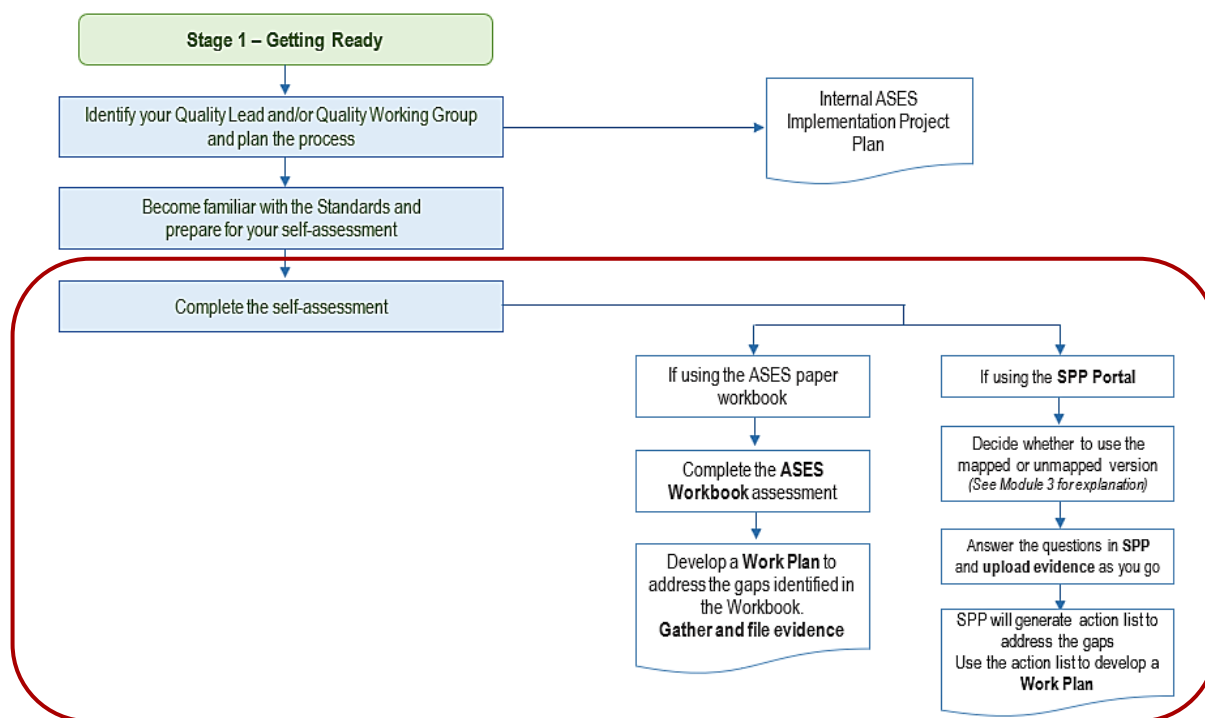
The first page of *Flowchart number 2: Overview with Documentation* is shown here with a red border that indicates that, in this Module, we will be covering the self-assessment and ASES Workplan.



Steps to ASES Accreditation Certificate Level: Overview with Documentation

Steps

Documentation



2. THE RESOURCES PROVIDED IN THE SELF-ASSESSMENT AND WORKPLAN MODULE

Table 1: List of resources for *Module 3: Assessment and the ASES Workplan*







Resource	Description
Handout: ASES Principles	As the ASES Principles apply to all aspects of quality and accreditation, this handout should be widely used and is suitable for all audiences. It can also be used as a poster.
PowerPoint Presentation: <i>What Does ASES Mean for Us? Let's Start the Conversation</i>	This PowerPoint presentation has been developed for managers, quality managers and other ASES project leaders to use with staff to start developing your organisation's shared understanding of how the ASES Standards and requirements apply to your service setting. It introduces the key concepts of each Standard with questions for team discussion. It can be used with staff, the Board and any committees associated with ASES implementation.
Handout: Reflective Questions for Teams	A set of reflective questions developed for managers, quality managers and other ASES project leaders to use in team discussion for each of the 8 Standards. Whereas the PowerPoint presentation referred to above is designed to get the conversation about ASES implementation started, these questions are aimed at progressing that discussion and enhancing the organisation's approach to quality. It can be used with staff, the Board and any committees associated with ASES implementation.
ASES Workplan Template	This Workplan template has been developed for organisations using the ASES Certificate Level Workbook for their self-assessment. Its purpose is to: <ul style="list-style-type: none">capture the areas where you need to improve your practices, processes and documentation in order to meet the Standards, anddocument how this will be done within time frames and responsibilities that you can then monitor.

Table 2: List of resources from other Modules that are also relevant to this Module

Resource	Description
Introductory Webinar 2: The ASES Accreditation: Standards, Certificate Level Location: Module 1	This webinar and the accompanying PowerPoint provide an overview of the contents of the ASES Certificate Level Standards. The PowerPoint of the webinar is also provided and can be used as a handout . You may want to show this webinar at a team meeting before starting this Module.
ASES Process Flowcharts Location: Module 1	These four high-level flow charts walk you through the steps to accreditation and the key documents for each stage.

3. KEY MESSAGES

The key messages for undertaking a self-assessment and developing an ASES Workplan are:

-  Become **familiar** with the **Standards** and requirements as a **team**
-  Use the official Certificate Level **Evidence Guide** to establish a **knowledge** base of the Standards and requirements within the organisation. Do this as a team effort to reflect on everyday practices and areas for improvement through discussions and sharing self-assessment ratings and evidence.
-  Assess each requirement **methodically** – **record** and **file evidence** as you go
-  **Clarify** areas of **uncertainty** – if you don't understand how a requirement applies to your organisation, talk to team members, a mentor, the Service Excellence Team, the Industry Partnership or, if you have already engaged them, your External Assessor
-  **Know when you have met a requirement** – by reflecting on the guidance provided in the ASES Evidence Guides and through discussion and reflection
-  Use **inclusive approaches** when developing **strategies** to address gaps in your Workplan – consider how you can include the voices of clients, advocates, staff and other stakeholders.

4. DEFINITIONS

Self-assessment: “...an internal assessment in consultation with service users, staff and other stakeholders as applicable, to determine whether the service provider’s performance and delivery meet the Service Excellence Standards. The self-assessment provides an opportunity to identify your organisations’ strengths and to prioritise areas for system improvement”¹.

Ratings: (in the self-assessment) are a score that you give your organisation against all the requirements of ASES. There are three options:

- FIP (Fully in Place),
- PIP (Partly in Place), or
- NIP (Not in Place).

In a later stage of the process when your organisation is assessed by an External Assessor, they will also, use this same ratings system.

To qualify for an ASES Certificate of Accreditation, an organisation must reach the FIP rating against all requirements.

ASES Workplan: (as we covered in *Module 1*) is an internal working document that is generated by your self-assessment. In this Plan, you will identify each of the ASES requirements that you have assessed as being not in place (NIP) or partly in place (PIP) and develop strategies to bring your organisation up to being fully in place (FIP).

You are not required to submit your Workplan to anyone outside of the organisation as it is your working document. Note that the Workplan is different from the Quality Action Plan that is developed a later stage of the process with your External Assessor that is submitted to the Service Excellence Team in the South Australian Department of Human Services (SA DHS) for a final check before accreditation is approved.

¹ South Australia. Dept. for Communities and Social Inclusion (now the Department of Human Services). Australian Service Excellence Standards: A road map to an excellent organisation, 3rd Edition, version 7, 2019, Page 82.

5. THE CERTIFICATE LEVEL ASEs OVERVIEW

In this section, we will revisit and summarise the content of the ASEs, Certificate Level which we first looked at in *Module 1: Orientation* in the *Introductory Webinar 2: The ASEs Accreditation: Standards, Certificate Level*.

5.1 Principles

ASEs have eight key principles.

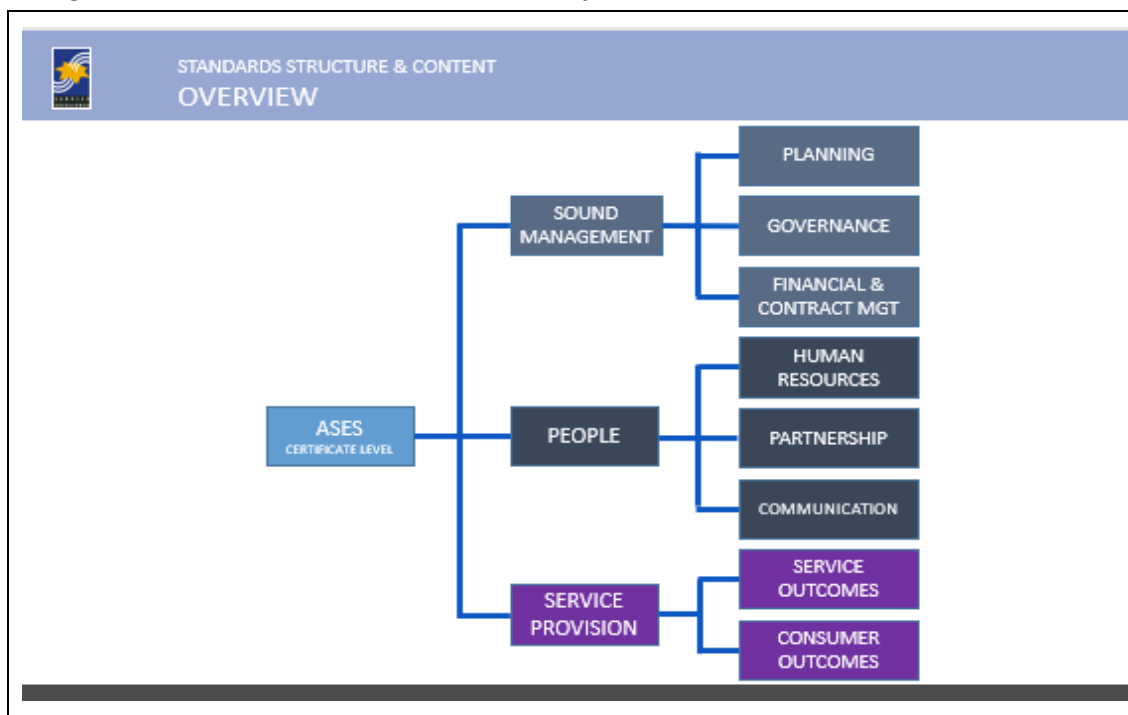
1. Consumer-focus	Reflecting, or respecting and understanding of our consumers' rights e.g. confidentiality, information and choice, consumer satisfaction and safe and appropriate care.
2. Outcomes-focus	Achieving the best possible outcomes in the most efficient, effective and sustainable way.
3. Clear direction with accountability	Inspirational leadership with a strong governance structure.
4. Continuous learning and innovation	Establishing quality systems and putting mechanisms in place for continuous improvement which adds value to the organisation.
5. Valuing people and diversity	How your organisation encourages and supports a flexible work environment and provides opportunities for all staff to fulfil their potential.
6. Collaborative work practices	Ways in which your organisation strengthens and develops relationships with staff, customers and stakeholders.
7. Evidence-based decision making	Making clear the rationale and analysis of data.
8. Social, environmental and ethical responsibility.	How you meet the community's needs and add value to that community.

A handout of these principles is included as part of the resources for this Module.

5.2 The Standards

To recap on the introductory webinars, the Certificate Level of the ASES has 8 Standards which are grouped into three broad streams as indicated by the diagram below.

Diagram 1: ASES Certificate Level Standards by streams.



The 8 high-level Standards further branch out into 18 specific Standards, as indicated in the table below.

Table 3: Certificate Level Standards Structure

SOUND MANAGEMENT	PEOPLE	SERVICE PROVISION
1. Planning	4. People	7. Service Outcomes
1.1 Strategic Planning 1.2 Business Planning	4.1 Human Resources 4.2 Work, Health and Safety 4.3 Cultural Inclusion	7.1 Outcomes Monitored
2. Governance	5. Partnerships	8. Consumer outcomes
2.1 Sound Governance 2.2 Policy and Procedures 2.3 Data and Knowledge Management 2.4 Risk Management	5.1 Working Collaboratively 5.2 Teamwork	8.1 Consumer Participation 8.2 Consumer Feedback and Complaints
3. Financial and Contract Management	6. Communication	
3.1 Financial Management 3.2 Asset and Physical Resource 3.3 Partnering and Contract Management	6.1 Communication	

Each of the 18 specific Standards outlined above includes:

- An explanatory statement
- An outcomes statement from the perspective of stakeholders including clients, and
- Several requirements that make up the Standard.

For example, the first Standard, Strategic Planning, is expressed as follows:

C.1.1 Strategic Planning Standard

Standard: Strategic planning is undertaken to further organisational and service development

Outcome: Stakeholders are confident in the planning for service development and future directions of the organisation.

Requirements:

1. The role and values of the organisation are clearly identified and communicated.
2. Environmental scanning is considered to identify threats; explore opportunities for innovation and potential alliances.
3. A current Strategic Plan has been developed in consultation with key stakeholders.
4. The organisation identifies opportunities where early intervention and prevention will improve outcomes.
5. The organisational objectives, strategies and strategic outcomes have been communicated to relevant stakeholders.
6. There is a defined process and timeline for reporting and review against the Strategic Plan².

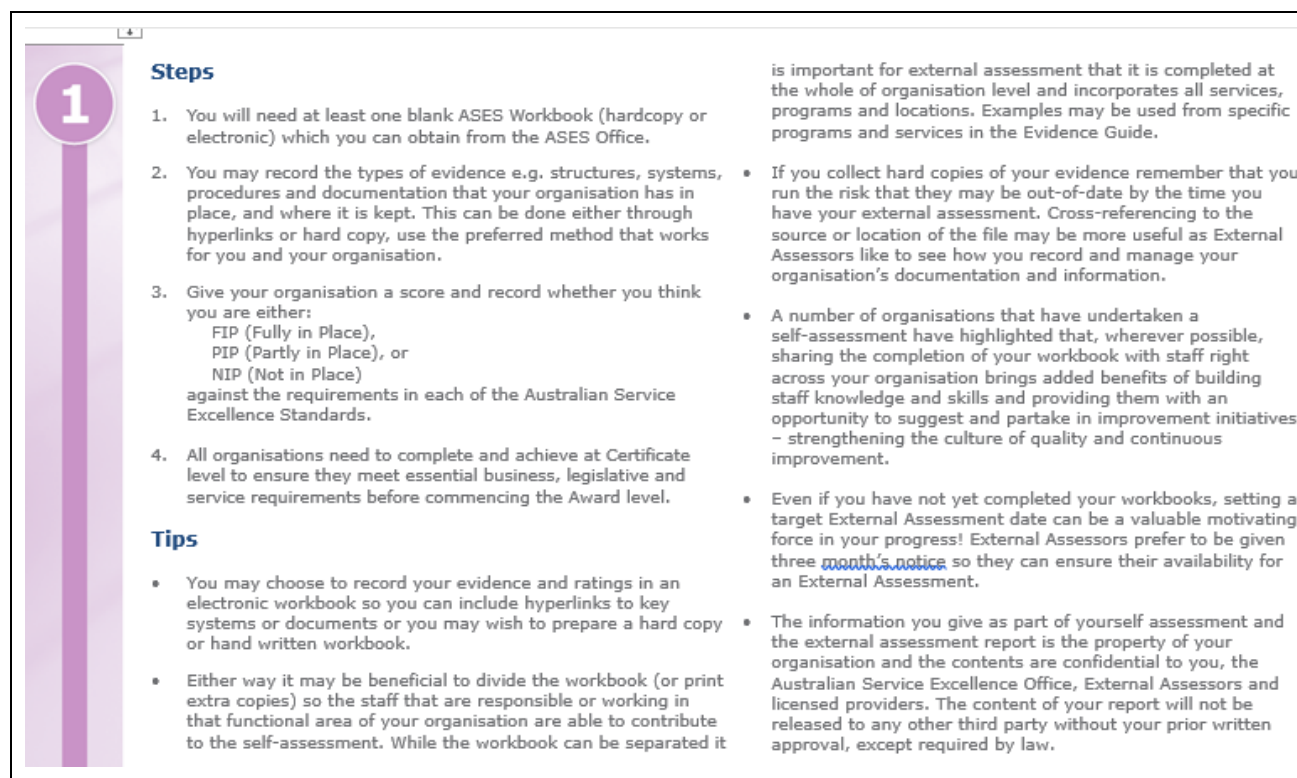
² South Australia Department of Human Service Australian Service Excellence Standards: A road map to an excellent organisation, Evidence Guide Certificate Level, Third Edition 2011, Pages 1-5

6. THE ASES CERTIFICATE LEVEL EVIDENCE GUIDE

The ASES Certificate Level Evidence Guides provide comprehensive information and guidance on the Standards and Requirements that are essential to developing a good understanding of the Standards. It is recommended for organisations to become familiar with the contents of the Evidence Guide before starting the self-assessment. This section highlights key areas to note.

The Steps page on page 6 (featured here as a screenshot) provides practical tips on the steps involved in undertaking a self-assessment.

Diagram 2: Screenshots of the ASES Certificate Level Evidence Guide, page 6



1 Steps




1. You will need at least one blank ASES Workbook (hardcopy or electronic) which you can obtain from the ASES Office.
2. You may record the types of evidence e.g. structures, systems, procedures and documentation that your organisation has in place, and where it is kept. This can be done either through hyperlinks or hard copy, use the preferred method that works for you and your organisation.
3. Give your organisation a score and record whether you think you are either:
FIP (Fully in Place),
PIP (Partly in Place), or
NIP (Not in Place)
against the requirements in each of the Australian Service Excellence Standards.
4. All organisations need to complete and achieve at Certificate level to ensure they meet essential business, legislative and service requirements before commencing the Award level.

Tips

- You may choose to record your evidence and ratings in an electronic workbook so you can include hyperlinks to key systems or documents or you may wish to prepare a hard copy or hand written workbook.
- Either way it may be beneficial to divide the workbook (or print extra copies) so the staff that are responsible or working in that functional area of your organisation are able to contribute to the self-assessment. While the workbook can be separated it is important for external assessment that it is completed at the whole of organisation level and incorporates all services, programs and locations. Examples may be used from specific programs and services in the Evidence Guide.
- If you collect hard copies of your evidence remember that you run the risk that they may be out-of-date by the time you have your external assessment. Cross-referencing to the source or location of the file may be more useful as External Assessors like to see how you record and manage your organisation's documentation and information.
- A number of organisations that have undertaken a self-assessment have highlighted that, wherever possible, sharing the completion of your workbook with staff right across your organisation brings added benefits of building staff knowledge and skills and providing them with an opportunity to suggest and partake in improvement initiatives – strengthening the culture of quality and continuous improvement.
- Even if you have not yet completed your workbooks, setting a target External Assessment date can be a valuable motivating force in your progress! External Assessors prefer to be given three month's notice so they can ensure their availability for an External Assessment.
- The information you give as part of yourself assessment and the external assessment report is the property of your organisation and the contents are confidential to you, the Australian Service Excellence Office, External Assessors and licensed providers. The content of your report will not be released to any other third party without your prior written approval, except required by law.

A page on each the three broad streams of the standards (which we covered in the previous sections) describes the focus and intention of the streams. It is important to understand this overview information as a context for the individual Standards and requirements.

Table 4: Screenshots from the ASES Certificate Level Evidence Guide explaining the three Standards Streams: Sound Management, People and Service Provision

<p>See the full section on Sound Management on page 7 of the Introductory Section of the Certificate Level Evidence Guide</p>	<div data-bbox="592 533 699 981">  </div> <h3 data-bbox="710 566 973 600">Sound Management</h3> <p data-bbox="710 640 1233 703"><i>The Sound Management category focuses on the importance of setting a clear vision and strategic direction for the organisation and driving the supporting operational plans to implement this.</i></p> <p data-bbox="710 719 1244 817">Sound Management requires effective <u>decision making</u> processes to optimise the use of resources in achieving identified goals; and the best outcomes for clients. This category is primarily directed to the Sound Management areas of:</p> <ul data-bbox="710 837 1139 916" style="list-style-type: none"> • Planning • Governance, (Policies and Procedures, Data and • Knowledge Management and Risk Management) • Financial and Contract Management. <p data-bbox="710 934 1181 974">Strategic Plans and Business Plans differ greatly between organisations.</p>
<p>See the full section on People on page 35 of the Certificate Level Evidence Guide</p>	<div data-bbox="592 1021 699 1496">  </div> <h3 data-bbox="724 1037 1260 1070">People, Partnerships and Communication</h3> <p data-bbox="724 1090 1260 1131"><i>Human resource systems ensure that staff and volunteers have a safe, fair and supportive work environment.</i></p> <p data-bbox="724 1149 1267 1209">Your organisation supports the wellbeing of your staff to enable effective and competent services. The workforce may include paid staff, volunteers and students.</p> <p data-bbox="724 1227 1260 1326">The process for recruitment, selection and induction of staff and volunteers adheres to the <i>Equal Opportunity Act 1984</i> and gives new staff and volunteers a good foundation and understanding of their roles and responsibilities so that they are well equipped to undertake their new role.</p> <p data-bbox="724 1344 1249 1482">Occupational Health Safety and Welfare (Workplace Health and Safety) procedures ensure staff and volunteers have a safe, fair and supportive work environment. Outcomes from WorkCover audits and rehabilitation systems are important to inform evidence to compliance with the legislative requirements. Proactive support for a health environment for staff and volunteers is encouraged.</p>
<p>See the full section on Service Provision on page 57 of the Certificate Level Evidence Guide</p>	<div data-bbox="592 1541 699 1966">  </div> <h3 data-bbox="702 1543 925 1576">Service Provision</h3> <p data-bbox="702 1617 1240 1677"><i>All services will have consumers. Consumers can be internal (e.g. a finance or accounts section providing a service to other areas of an organisation), or external to the organisation.</i></p> <p data-bbox="702 1695 1240 1736"><i>Consumers can be referred to as service users, customers, patients or clients of a service, and can be child, parent or family.</i></p> <p data-bbox="702 1753 1227 1832">How consumers get to know about the service, how they see its value to them, how they participate in the development of the service, and their satisfaction with the service delivered are all key elements of this category.</p> <p data-bbox="702 1850 1161 1870">Evidence of consumer outcomes must be demonstrated.</p> <p data-bbox="702 1888 1217 1948">If your systems in relation to these set of standards are to be effective, the consumer experience will be able to demonstrate this.</p>

Each of the 18 specific standards requirements (there are 98 in total at the Certificate Level) have a section in the Evidence Guide. This section lists the requirement, the evidence guide which explains the standard in practice and a list of documentation that you could use to demonstrate how your organisation meets the requirement. The documentation column is **not prescriptive**, and you are not required to have all of the documents that this column contains. It is to be used for an example only. Any evidence that you think fits the requirement and is alignment with the information provided in *Module 4: A Guide to Good Evidence* is what you should use.

If you have a lot of evidence that fits a requirement, go back to the wording of it and ask yourself which evidence is enough to demonstrate compliance. In that instance, ask yourself – what evidence do we have that will reasonably establish that the role and values of our organisation are clearly identified and communicated? It may be only one or a few documents or a page on your website that is enough to satisfy the requirement. For more information about what constitutes quality evidence, refer to *Module 4: A Guide to Good Evidence*.

Diagram 3: Screenshot of Standard 1.1.1 from the ASES Certificate Level Evidence Guide, page 1 after the Introductory Section

Australian Service Excellence Standards Certificate Level Evidence Guide			
<div>1</div> <div>Planning</div> <div>C.1.1 Strategic Planning Standard</div> <div>Standard: Strategic planning is undertaken to further organisational and service development.</div> <div>Outcome: Stakeholders are confident in the planning for service development and future directions of the organisation.</div>			
REQUIREMENTS	CLIENT RATING	EVIDENCE GUIDE	DOCUMENTATION
1. The role and values of the organisation are clearly identified and communicated.	<input type="checkbox"/> NIP <input type="checkbox"/> PIP <input type="checkbox"/> FIP	<p>The role and purpose of the organisation is expressed within its certificate of incorporation (ie objects of association, constitution) and articulated through its vision and mission statements, as signed off by the Board of Management.</p> <p>There is a clear sense of purpose and inclusive language (includes the values for prevention of stigma, discrimination and social exclusion) that reflects the organisational focus and communicated to the organisation's stakeholders (eg annual report, website, social media, contracts, consumer literature, staff and volunteer induction literature) and actioned through the strategic directions.</p>	<ul style="list-style-type: none"> • Constitution • Certificate of Incorporation • Vision and Mission Statement • Organisational Chart • Strategic plan • Business Plan • Annual Report • AGM minutes and agendas • Newsletters • Brochures • Website • Program Booklet • Course information • Board handbook • Staff handbook • Volunteer handbook

7. EXAMINE HOW THE STANDARDS APPLY TO YOUR ORGANISATION

Once your organisation has developed a basic understanding of the Standards and requirements, it is time to examine how they apply to your organisation as preparation for your self-assessment. Developing a shared understanding of the practical application of ASES to your service setting is best done as a team effort. Two resources are provided as part of this Module to support organisations with this step.



A PowerPoint presentation - What Does ASES Mean to Us? Let's Start the Conversation

This Presentation has been developed to support your organisation to start examining how the ASES and requirements apply to your service setting. It introduces the key concepts in each Standard with questions to stimulate team and group discussions about how your current practices and documentation align with or depart from the requirements. Group discussions on these topics can be helpful in not only doing the 'spadework' for the self-assessment but also to promote ideas for quality improvement.

The presentation is divided into 8 sections that reflect the 8 Standards.



Handout – Reflective Questions for Teams by Standard

This set of reflective questions for each of the 8 Standards has been developed to promote further discussion and reflection on the application of ASES.

Whereas the PowerPoint presentation was designed to get the conversation about ASES implementation started, these questions are aimed at progressing that discussion and enhancing the organisation's approach to quality.

Both of these resources can be used with staff, the Board and any committees associated with ASES implementation. Some options for promoting the 'ASES discussion' are:



You may have a person or small groups assigned to each Standard and keep the discussion to that Standard in that group, or everyone may be involved in the discussions.



You may choose to cover one Standard at each team meeting, or you may prefer to set aside a whole day or two half days to cover more ground. External Assessors can provide an information session to your organisation as part of their role based on your organisation's needs.



If you like, you can also develop your own tools and resources to use in promoting an understanding of how you measure up to ASES that you can use instead of or in addition to the materials provided in this Module.



For each Standard, it is best to clarify the meaning, so everyone has an equal understanding of its application in your organisational context.



Discuss what you do to demonstrate all of the requirements of the 8 Standards - the processes you undertake, your documentation and output. (This may be challenging as you may take a lot of what you do for granted.)



Start making notes of your strengths and gaps in readiness for your self-assessment.

8. UNDERTAKE THE SELF-ASSESSMENT

8.1 Choice of self-assessment tools

Before you undertake the self-assessment, it is best that you make a decision about the tool you will use for this purpose as early as possible because this decision can affect how you approach how you reference your evidence to the self-assessment. Use the tools that best suits the circumstances and needs of your organisation.

With some exceptions³, there are three options for undertaking a self-assessment for ASES as follows:

1. **Work offline using the ASES Certificate Level Workbook and provide your evidence to your External Assessor on a flash drive or on document-sharing software.**

A number of organisations have found this to be the simplest and fastest way to do the self-assessment. It is the 'low tech' solution and is good for organisations who do not have to meet other standards and/or those who prefer not to work on software.

The Workbook reflects the content and structure of the Evidence Guide which is also repeated in the format of the ASES Assessment Report and the Quality Action Plan so this option provides for continuity of processes involved in accreditation.

In this option, you will be answering 98 questions, one for each requirement.

2. **Use the 'unmapped' version of the Breaking New Ground Standards and Performance Pathways (BNG SPP) Portal.**

This is a new self-assessment option that has been developed specifically for NSW Specialist Homelessness Services (SHSs) and tested by a number of organisations that participated in the ASES Resource Pilot Project. It arose out of the feedback from those services that the standard self-assessment tool, which is mapped to many other standards, does not follow the structure and language of the ASES Certificate Level Evidence Guide.

The term 'unmapped' refers to the fact that it is a stand-alone self-assessment not integrated with other standards on the platform.

This option provides some of the benefits of working offline using the Workbook in that the questions reflect the language, structure and order of the Evidence Guide. It is good for organisations who do not have to meet other standards and would like to use the Evidence Guide to directly inform their self-assessment. As in the previous option, in the unmapped option, you will be answering 98 questions, one for each requirement.

The added bonus of this option is that your evidence is electronically uploaded and maintained and your External Assessor will have access to it with your permission. It also

³ Note that one External Assessor organisation Quality, Innovation, Performance (QIP) has its own portal for self-assessment called AccreditationPro. It is available via the BNG portal for organisations choosing to be assessed by QIP.

provides access to the various tools, resources and reports offered by the BNG SPP Platform.

Note, however, that any evidence you may have uploaded in the past using the standard 'mapped' version will not transfer across to the unmapped version. Similarly, any evidence you upload onto it now will not transfer across to any standards that you may wish to self-assess against in the future as it is a stand-alone tool.

3. Use the 'mapped' version of the BNG SPP Portal.

The 'mapped' version of the BNG SPP self-assessment is the standard version on the Platform. 'Mapped' means the self-assessment tool is integrated with multiple other standards. Most SHSs are already familiar with this option as all SHSs that undertook any previous assessments on the BNG SPP Portal were using this version of the self-assessment.

This option is good for organisations that are required to (or wish to) comply with multiple sets of standards. It also offers all the benefits of the unmapped version in terms of access to BNG's various tools and resources and also for storing evidence.

The mapped version does not follow the structure or the language of the official ASES Certificate Level Evidence Guide, so you will not be able to sit with your Evidence Guide in front of a screen and follow it as you undertake this version of the self-assessment. The sequencing of the questions does not follow the sequencing of the ASES themes and Standards. However, all the ASES components are covered. The 98 ASES requirements are effectively broken down into their various components that are expressed as separate questions so you will be answering multiple questions for each of the 98 requirements.

8.2 Applicability of the ASES Workbook to BNG SPP Self-Assessments

In some cases, organisations use both the ASES Workbook and one of the BNG self-assessment tools, often making notes in the Workbook before starting the electronic self-assessment on BNG. This is a good option to use in principle and will not pose challenges if you intend to use the unmapped version. However, this approach has limits if you intend to use the mapped version due to the differences in the structure and language between the ASES Certificate Level Evidence Guide (which is reflected in the Workbook) and the mapped self-assessment format.

One SHS that participated in the ASES Resource Pilot Project used the Workbook extensively not only to make notes but to reference the location of their evidence on SharePoint for each requirement. As a large provider with multiple accreditations, it was their intention to use the mapped version on the BNG SPP Portal. However, once they started their self-assessment on SPP, they could not match the questions on the Platform to their completed Workbook at all, leading them to abandon that option and work offline using the Workbook. If you intend to use the mapped version, it is best not to enter the details of your evidence in the Workbook but, rather, enter your evidence directly onto the BNG SPP portal.

8.3 Complete the self-assessment and develop an ASES Workplan

Undertake the self-assessment using your chosen tool and in line with your ASES Project Plan, which you will have developed by following *Module 2: Planning ASES*.

If you are working offline using the Workbook you can use the ratings which we covered in Section 4 which are:

- FIP (Fully in Place),
- PIP (Partly in Place), or
- NIP (Not in Place).

you can enter your ratings directly into the Workbook.

If you are using the BNG SPP Portal, you will only be offered two options as a rating – met and not met.

For each requirement that you rate as PIP or NIP (or not met in BNG), you need to develop strategies to address the gaps. Enter those strategies onto the ASES Workplan provided as part of this Module or another plan format of your choice. You can also enhance the Workplan if you would like to add quality improvements to those requirements where you have self-assessed as already meeting the Standards.

If you are using the BNG SPP self-assessment (either the mapped or unmapped version), the software will generate a task list which is effectively a Workplan aimed at addressing the gaps. You can add custom actions if you wish to improve any elements even if you already meet the Standard.

The allocation and timing of tasks should be realistic and achievable. Once you have completed the Workplan, check its timing against your ASES Project Plan and make any adjustments to either plans to ensure consistency and clarity. Obtain any necessary approvals for the Workplan in line with your organisation's structure and delegations. Share the Workplan with your whole organisation and any working groups and steering committees.

9. IMPLEMENT THE WORKPLAN, RE-ASSESS AND UPGRADE YOUR EVIDENCE

As you implement your Workplan, three things will happen in relation to your self-assessment:

1. Your ratings against each of the requirements not fully in place will improve if your strategies were effectively designed
2. There will be additions to the evidence supporting your new ratings as you develop new practices, documents and systems that were listed in your Workplan, and
3. Parts of your original evidence may become outdated.

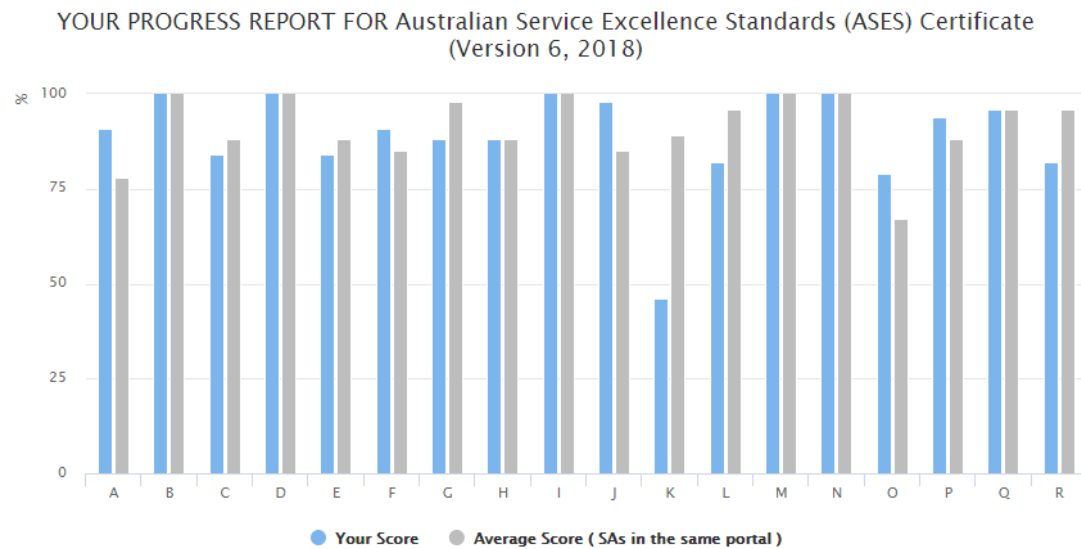
It is up to you whether you re-assess your ratings and add evidence as you go along in implementing the Workplan or if you prefer to complete your whole Workplan and then re-assess and revise your evidence at the end. Remove any original pieces of evidence that are no longer current from your evidence base.

As with any plan, it is important to monitor progress, motivate and support staff and overcome any barriers that arise. Sharing progress reports, sharing learnings and celebrating achievements along the way are effective strategies to keep things moving. If you are using BNG SPP, the Portal provides a visual progress report with bar charts as pictured below. SHSs that participated in the ASES Pilot Resource Project commented positively on the usefulness of this report in tracking progress and motivating staff. A screenshot of the report is provided on the next page.

Diagram 4: Screenshot of BNG SPP *My Progress Report*

MY PROGRESS

Australian Service Excellence Standards (ASES) Certificate (Version 6, 2018)



Column	Standard	% Complete
A	1.1: Strategic Planning (ASES Certificate)	91
B	1.2: Business Planning (ASES Certificate)	100
C	2.1: Sound Governance (ASES Certificate)	84
D	2.2: Policy and Procedures (ASES Certificate)	100
E	2.3: Data and Knowledge Management (ASES Certificate)	84
F	2.4: Risk Management (ASES Certificate)	91
G	3.1: Financial Management (ASES Certificate)	88
H	3.2: Asset and Physical Resource (ASES Certificate)	88
I	3.3: Purchasing and Contract Management (ASES Certificate)	100
J	4.1: Human Resources (ASES Certificate)	98
K	4.2: Occupational Health Safety and Welfare (ASES Certificate)	46
L	4.3: Cultural Inclusion (ASES Certificate)	82
M	5.1: Working Collaboratively (ASES Certificate)	100
N	5.2: Teamwork (ASES Certificate)	100
O	6.1: Communication (ASES Certificate)	79
P	7.1: Outcomes Monitored (ASES Certificate)	94
Q	8.1: Consumer and Community Engagement (ASES Certificate)	96
R	8.2: Consumer Feedback and Complaints (ASES Certificate)	82

10. SUBMIT YOUR SELF-ASSESSMENT AND EVIDENCE TO YOUR EXTERNAL ASSESSOR

Once you have updated your self-assessment and compiled and linked your evidence, you are ready to provide it to your External Assessor so that they can commence the desktop review of your submission.

To check that your evidence is of a high standard, you can work through *Module 4: A Guide to Good Evidence*.