

## **Assessment Matrix Reference Guide on Standards, Criteria, Assessment Indicators and Assessment Steps for Service Quality Standards (SQSs)**

### ***Explanatory Notes :***

#### **1. Overall Note :**

This reference guide sets out the requirements of the 16 SQSs and their associated Criteria (stipulated as Assessment Indicators), as well as the Assessment Steps and Actions. Service units are required to implement the policies, procedures, mechanisms, plans, etc. accordingly. . The The guide will be used in the external assessments to determine whether the service unit meets the required level of performance.

#### **2. Notes on Assessment Steps and Actions :**

The assessment may be conducted through interview with staff, interview with service users, observation, document review and other methods as appropriate as stated in the Assessment Steps and Actions.

##### ***Interview with Staff / Interview with Service Users***

In addition to interviewing staff, there will be separate interviews with the management or service unit managers who will be required to give elaboration or clarification on policies and procedures and the implementation of the SQSs.

Service users stated in all criteria means service users and/or their family members and significant others according to service specific situations.

For the steps of interview, if implementation cannot be ascertained from interviewees, observation and review of implementation records may be used as supplementary evidence. Telephone contacts instead of interview may also be adopted.

##### ***Review Document***

Document review will include the examination of documented policies and procedures as required and the written work generated from and proving the implementation of SQSs and criteria such as records, minutes of meetings and documents arising from the work process.

## Assessment Matrix Reference Guide on Standards, Criteria, Assessment Indicators and Assessment Steps for Service Quality Standards (SQSs)

### Standard 1: Service Information

*The service unit ensures that a clear description of its purpose, objectives and mode of service delivery is publicly available.*

Criteria	Assessment Indicator	Assessment Steps and Actions
1.1. The service unit has an up-to-date handbook, information leaflet or brochure to include the service description, including for example its purpose, objectives, target group, approach to service delivery and service entry and leaving mechanisms.	Service description must be available and cover up-to-date information on: <ul style="list-style-type: none"> <li>- purpose,</li> <li>- objectives,</li> <li>- target group,</li> <li>- mode of service delivery,</li> <li>- service entry and leaving mechanisms.</li> </ul>	<i>Review document</i> to check that the required information can be obtained in the service description (in the form of leaflet, brochure or handbook).
1.2. The service description is in a user-friendly language and is accessible to potential service users, staff and members of the community (depending on the nature of the service and its target service users, this may necessitate the information being available in more than one language; being in audio or visual format and/or being explained to service users on an individual basis).	Format matches the communication needs of service users.  Procedures are in place to ensure that information is accessible.  * Service description under this criterion should be made accessible to the public.	<i>Observe</i> to see if service unit description is readily and easily available to all.  <i>Interview with staff and service users</i> to confirm that the formats meet service users' needs, and establish staff and service users' knowledge of the existence of the description.  <i>Review document</i> to ensure that the format and mode of communication of the service unit description is appropriate to meet the needs of its service users.
1.3. Where appropriate, the service unit should make available its service description to potential service users, staff, and relevant local services or community groups.	Where appropriate, process exists for circulating the service description.	<i>Interview with staff</i> to confirm evidence that the descriptions have been made available as appropriate.

## Standard 2 : Review and Update Policies & Procedures

*The service unit should review and update the documented policies and procedures describing how it will approach key service delivery issues.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>2.1 The service unit has a mechanism to review and update its policies and procedures.</p>	<p>The service unit has a document spelling out mechanism to review for each of the policies and procedures related to key service delivery issues stipulated under the SQSs. SQSs 6, 10, 11, 12, 13, 14, 15 and 16 must be included:</p> <ul style="list-style-type: none"> <li>- whether it would be reviewed regularly and for how often, and/or under what circumstances it would be reviewed</li> <li>- the person or post or committee responsible for the review when the policies and procedures last reviewed and updated.</li> </ul>	<p><i>Interview with staff</i> to ascertain if such reviews and updating have taken place.</p> <p><i>Review document</i> to ascertain if such document exists.</p> <p><i>Review document</i> to examine samples of current policies and procedures recently reviewed and updated.</p>
<p>2.2 The service unit has a mechanism for obtaining service users and staff input in the process of reviewing and updating policies and procedures, as appropriate.</p>	<p>The service unit has spelt out how input from service users and staff can be obtained in the process of reviewing and updating policies and procedures.</p>	<p><i>Interview with staff</i> to ascertain if their views have been obtained in the relevant reviews.</p> <p><i>Review document</i> to ascertain if such mechanism exists.</p>

### Standard 3 : Records

*The service unit maintains accurate and current records of service operations and activities.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>3.1 Accurate and current records of service operations and activities of the service unit are maintained.</p>	<p>Records of service operations and activities are current and maintained covering the information related to the performance standards as stipulated in the service unit's agreement with SWD, Funding and Service Agreement (FSA) or Service Document (SD).</p> <p>Mechanism is in place to ensure that the records are kept updated and as accurate as possible with consistent format of information collection (such as use of standard forms) and record keeping.</p>	<p><i>Interview with staff</i> to establish that the mechanisms for information collection and record keeping is in place.</p> <p><i>Review document</i> to check if records of service unit's operations and activities are current, collected and kept in a consistent manner as and when required.</p>
<p>3.2 Accurate and current statistical reports are produced for reporting to SWD.</p>	<p>Accurate and updated statistical reports on service unit's performances and operations covering the information related to the performance standards as stipulated in the service unit's agreement with SWD, FSA or SD are produced and submitted in accordance with the SWD requirements.</p> <p>A quality checking mechanism or strategies, such as a schedule of supervision, record audits or training, are in place to ensure that statistics and reports produced and submitted to SWD are as accurate as possible.</p>	<p><i>Interview with staff</i> to establish that procedures or some form of routine quality assurance are in place to ensure that information collected and provided is reliable, valid and consistent.</p> <p><i>Review document</i> to check that accurate and current reports on service statistics are produced in accordance with the SWD requirements.</p>
<p>3.3 Periodical statistics and reports on the service unit's performance are accessible to the public.</p>	<p>An approach is in place to make the service statistics, reports and other related information on the service unit's performance accessible to service users and the public.</p> <p>* Periodical statistics and reports should be made accessible to the public.</p>	<p><i>Interview with staff</i> to confirm the process by which the service statistics, reports and related information on the service unit's performance are made accessible to service users and the public.</p> <p><i>Interview with service users</i> to confirm that the information is accessible to them.</p>

## Standard 4: Roles and Responsibilities

*The roles and responsibilities of all staff, managers, and governing board should be clearly defined.*

Criteria	Assessment Indicator	Assessment Steps and Actions
4.1 Job description and duty statements which define roles, responsibilities and accountabilities in respect of all positions within the service unit are available.	Accurate and current job descriptions and duty statements exist for all service unit staff which clearly set out their duties, responsibilities, and accountability relationships.	<i>Review document</i> on staff job description and duty statements to establish that the service unit has clearly defined roles, responsibilities and accountability relationships for all positions.
4.2 Job description and duty statements form part of the information accessible to all staff, service users and other interested parties.	An appropriate process exists for making job descriptions and duty statements available to all staff, service users and other interested parties.  * Job description and duty statement should be made accessible to the public.	<i>Interview with staff</i> to establish details of the process involved in making this information available to all staff, service users and other interested parties.  <i>Interview with service users</i> to establish that job descriptions and duty statements are accessible to them.
4.3 The roles and responsibilities and membership of governing board are clearly defined and documented.	The roles, responsibilities and membership of governing board are documented and clearly set out.	<i>Review document</i> to establish that the service unit has clearly defined roles, responsibilities and membership of governing board.
4.4 The service unit has an organisation chart on notice board and/or websites, which depicts its overall structure, accountability relationships, and staffing establishment of LSG-subvented regular posts.	An updated organisation chart on notice board and/or websites, which depicts overall structure, accountability relationships, and staffing establishment of LSG-subvented regular posts (i.e. non-temporary or non-short-term posts) of the service unit.  * Organisation chart should be made assessable to the public.	<i>Review document</i> to ensure that the service unit has an organisation chart.

## Standard 5: Human Resources

*The service unit/agency<sup>1</sup> implements effective staff recruitment, contracting, development, training, assessment, deployment and disciplinary practices.*

Criteria	Assessment Indicator	Assessment Steps and Actions
5.1 The service unit / agency has policies and procedures on staff (including part-time staff) recruitment, deployment and promotion, employment contracting and disciplinary actions, and such policies and procedures are accessible to staff.	<p>The service unit / agency has document(s) spelling out the policies and procedures of</p> <p>(a) staff recruitment, deployment and promotion, specifying</p> <ul style="list-style-type: none"> <li>- selection criteria,</li> <li>- time frames,</li> <li>- responsible persons and their roles,</li> <li>- measures to avoid conflict of interest,</li> </ul> <p>(b) establishing employment contracts with employees,</p> <p>(c) taking disciplinary actions related to staff matters, specifying</p> <ul style="list-style-type: none"> <li>- criteria for action,</li> <li>- responsible persons and their roles,</li> <li>- measures to avoid conflict of interest.</li> </ul> <p>Staff have access to the related policies and procedures.</p>	<p><i>Interview with one new regular<sup>2</sup> staff, if available, to ascertain if the policy and procedures on recruitment, deployment and/or promotion are implemented, if applicable.</i></p> <p><i>Interview with staff to ascertain if the policies and procedures related to staff matters are implemented or to establish that they are aware of the policies and procedures.</i></p> <p><i>Review document to ascertain if the policies and procedures exist and contain the required elements.</i></p>
5.2 The service unit / agency has induction policies and procedures for new staff.	<p>The service unit / agency has document(s) spelling out the policies and procedures on induction for new regular staff.</p>	<p><i>Interview with staff to ascertain if the induction procedures are implemented.</i></p> <p><i>Review document to ascertain if the policy and procedures exist.</i></p>

<sup>1</sup> The existence of policies and procedures implemented at unit and/or agency level is required. For those policies and procedures applicable to the unit, unit-based assessment on implementation will be made, and for policies and procedures implemented at agency-level, accessibility of them to unit staff is needed.

<sup>2</sup> "New" means a staff member who has joined the service unit (including newly recruited or existing staff of the agency) in the previous year. "Regular" means a staff member who is not recruited as a relief worker.

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>5.3 The service unit / agency provides on-going supervision for staff and conducts regular performance reviews / appraisals for identifying areas for performance improvement and needs for ongoing training and development.</p>	<p>The service unit / agency has document(s) spelling out the policy for conducting regular staff supervision and formative performance appraisals, specifying</p> <ul style="list-style-type: none"> <li>- when and by whom regular staff supervision and appraisal are to be conducted,</li> <li>- identification of areas for performance improvement,</li> <li>- identification of on-going training and development needs.</li> </ul> <p>Staff supervision responsibility should be specified in the respective job description.</p>	<p><i>Interview with staff</i> to ascertain if the supervision and appraisal practices are implemented.</p> <p><i>Review document</i> to ascertain if the policy exists and contain the required elements.</p> <p><i>Review document</i> to ascertain if staff supervision responsibility is specified in the respective job description.</p>
<p>5.4 The service unit / agency has a training policy and a plan for staff training and development.</p>	<p>The service unit / agency has document(s) spelling out the policy on staff training and development.</p> <p>The service unit / agency has a current plan for staff training and development.</p>	<p><i>Interview with staff</i> to ascertain if the policy and plan are implemented.</p> <p><i>Review Document</i> to ascertain if the policy and current training plan exist.</p>

## Standard 6 : Planning, Evaluation and Feedback

*The service unit regularly plans, reviews and evaluates its own performance, and has an effective mechanism by which service users, staff and other interested parties can provide feedback on its performance.*

Criteria	Assessment Indicator	Assessment Steps and Actions
6.1 The service unit develops and documents appropriate plans to guide its operations and provide a basis for evaluating its performance.	<p>The service unit has overall plan(s) on its operation spelling out</p> <ul style="list-style-type: none"> <li>- its services / work planned ahead,</li> <li>- objectives to be achieved,</li> <li>- tools for evaluation, and</li> <li>- timeframe for evaluation.</li> </ul> <p>The service unit evaluates its performance in relation to the overall operation plans developed.</p>	<p><i>Review document or interview with staff to ascertain if the service unit has evaluated its performance according to the overall plans developed.</i></p> <p><i>Review document to ascertain if the plans exist and contain the required elements.</i></p>
6.2 The service unit has policies and procedures for obtaining feedback from service users, staff and other interested parties on its performance and for responding to such feedback, and such policy and procedures are accessible to them.	<p>The service unit has document(s) spelling out the policies and procedures for obtaining feedback from service users, staff and other interested parties on its performance, and responding to such feedback.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public.</p>	<p><i>Interview with staff they are aware of the policy and procedures, and the policy and procedures are implemented.</i></p> <p><i>Interview with service users to ascertain if they have access to the policies and procedures, and feedback has been collected from them according to the policy and procedures.</i></p> <p><i>Review document to ascertain if the policy and procedures exist.</i></p> <p><i>Review document on feedback collected and responses given, if applicable.</i></p>
6.3 Action is taken in response to performance / quality issues identified during review and evaluation processes.	<p>Performance / quality issues and action to be taken are identified during review and evaluation processes and follow-up work is taken and documented.</p>	<p><i>Interview with staff to ascertain that action is taken in response to the issues identified in the review and evaluation process.</i></p> <p><i>Review document to ascertain that action is taken in response to performance/quality issues identified during review and evaluation process.</i></p>



## Standard 7 : Financial Management

*The service unit implements policies and procedures to ensure effective financial management.*

Criteria	Assessment Indicator	Assessment Steps and Actions
7.1 The service unit has procedures for developing and endorsing budgets.	The service unit has document(s) spelling out the procedures for developing and endorsing budgets for service unit and individual activities within service unit.	<p><i>Interview with staff</i> to ascertain if the procedures are implemented.</p> <p><i>Review document</i> to ascertain if the procedures exist.</p>
7.2 The service unit has policies and procedures to manage financial resources and monitor financial performance.	<p>The service unit has document(s) spelling out the policies and procedures for managing financial resources and monitoring financial performance, specifying:</p> <ul style="list-style-type: none"> <li>- Personnel responsible for managing financial resources (including authorisation / delegation / approval level of use of financial resources) and monitoring financial performance,</li> <li>- Measures to avoid conflict of interest,</li> <li>- Measures to handle resources obtained from other funding bodies, donation proceeds and gift-in-kind.</li> </ul>	<p><i>Interview with staff</i> to ascertain if the policy and procedures are implemented.</p> <p><i>Review document</i> to ascertain if the policy and procedures exist and contain the relevant elements.</p>
7.3 The service unit has procedures to regularly consider opportunities for introducing efficiencies / containing cost.	The service unit has the procedure(s) to regularly consider opportunities for introducing efficiencies / containing cost.	<p><i>Interview with staff</i> to ascertain that such procedures are implemented.</p> <p><i>Review document</i> to ascertain if the procedure(s) is available, such as quotation guidelines on supply of service or products, etc.</p>

## Standard 8 : Legal Obligations

*The service unit complies with all relevant legal obligations.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>8.1 The service unit is aware of all legislation which governs its operations and service delivery (including health and safety legislation, etc.).</p>	<p>The service unit has checklist(s) of all legislation governing its operation and service delivery. <i>(The Appendix to Assessment Matrix for SQS 8 uploaded to SWD Website forms the basic requirement for assessment)</i></p> <p>Staff have access to the relevant legislation.</p>	<p><i>Interview with staff</i> to ascertain if they are aware of the relevant legislation and they can gain access to them.</p> <p><i>Review document</i> to ascertain such checklist(s) of relevant legislation exists.</p>
<p>8.2 The service unit has procedures to monitor its performance ensuring that it complies with relevant legislation and seeks legal advice if and when required.</p>	<p>The service unit has document(s) spelling out the procedures for monitoring its performance and ensuring it complies with relevant legislation.</p> <p>The service unit has a document showing that free or paid legal advice is available.</p>	<p><i>Review document</i> to ascertain if the procedures governing its performance in compliance with the relevant legislation exist.</p> <p><i>Review document</i> to ascertain if such document on the appointment and/or the contact information (channel) of seeking legal advice exists.</p>

## Standard 9: Safe Physical Environment

*The service unit takes all reasonable steps to ensure that it provides a safe physical environment for its staff and service users.*

Criteria	Assessment Indicator	Assessment Steps and Actions
9.1 Fire, and other necessary safety equipment, is available and effectively maintained.	<p>Fire and other necessary safety equipment (e.g., first aid box) is available.</p> <p>Procedures are in place for regular (e.g., annual) maintenance of the equipment.</p> <p>Record showing that the equipment has been effectively maintained is available.</p>	<p><i>Interview with staff</i> to establish that maintenance procedures for safety equipment are in place.</p> <p><i>Observe</i> to check that all necessary safety equipment is available.</p> <p><i>Review document</i> to check for evidence that the safety equipment has been regularly maintained.</p>
9.2 Staff and service users are made aware of procedures for responding to an emergency and fire drills are conducted on a regular basis, at least annually.	<p>Fire drills are conducted on, at least, an annual basis, and records are kept.</p> <p>Written procedures for responding to an emergency are available.</p> <p>Staff and service users are trained in how they should respond in an emergency situation.</p> <p>Staff are well aware of the roles and responsibilities of various individuals in an emergency situation.</p>	<p><i>Interview with staff and service users</i> to establish that they have received training in implementing safety procedures.</p> <p><i>Interview with staff</i> to establish that they are well aware of various individuals roles and responsibilities in an emergency situation.</p> <p><i>Review document</i> to check that there are procedures for responding to an emergency and fire drills have been conducted at least annually.</p>
9.3 The service unit regularly reviews its immediate and broader environment to identify safety issues and ensures that appropriate strategies for managing them are developed and implemented.	<p>The service unit provides a safe physical environment for service users and staff.</p> <p>Safety assessments on immediate and broader environment are conducted on a regularly basis, and appropriate strategies for managing safety issues identified are developed and implemented.</p> <p>The results of safety assessments, actions taken to rectify problems and outcomes achieved are recorded.</p>	<p><i>Interview with staff</i> to establish and review safety management mechanisms.</p> <p><i>Observe</i> to check that the service unit is free from hazards and is a safe physical environment for service users and staff.</p> <p><i>Review document</i> to check for evidence that safety assessments are conducted on a regular basis, and the results, actions taken to rectify problems and outcomes achieved are recorded.</p>

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>9.4 A record is kept of any accidents or injuries involving staff and/or service users at the service unit and the manner of responding to such incidents.</p>	<p>The service unit has a written record of all accidents or injuries involving staff and/or service users at the service unit.</p> <p>The service unit has a written record of how it responded to any such incidents.</p>	<p><i>Review document</i> of accident records and service unit's response.</p>
<p>9.5 If the service unit is involved in transporting service users, all relevant road and traffic safety precautions are taken.</p>	<p>In transporting service users, irrespective of whether the vehicles used being owned by the service unit or not, all relevant road and traffic safety precautions are taken including appropriate supervision of service users during transit.</p> <p>For service units having drivers and vehicles, precautions are taken which include:</p> <ul style="list-style-type: none"> <li>- use of qualified drivers, and</li> <li>- maintenance of roadworthy vehicles.</li> </ul>	<p><i>Interview with staff</i> to establish safety procedures in relation to transporting service users.</p> <p><i>Interview with service users</i> to establish whether traffic safety precautions are taken including appropriate supervision of service users during transit.</p> <p><i>Review document</i> on driver's license and vehicles' maintenance records, where applicable.</p>
<p>9.6 The service unit ensures that any service equipment is properly maintained and, where appropriate, is used under proper supervision.</p>	<p>For service equipment used for direct service delivery, the service unit has written procedures in place for:</p> <ul style="list-style-type: none"> <li>- their regular maintenance,</li> <li>- their use under proper supervision where appropriate.</li> </ul>	<p><i>Interview with staff</i> to establish service equipment maintenance and supervision procedures.</p> <p><i>Review document</i> to establish that there are procedures for maintaining service equipment and supervision.</p>

**Standard 10: Entry and Exit**

*The service unit ensures that service users have clear and accurate information about how to enter and leave the service.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>10.1 The service unit has policies and procedures in relation to entering and leaving the service and they are accessible to service users, staff or other interested parties.</p>	<p>The service unit has document(s) spelling out the policies and procedures on entry and exit specifying the criteria for entering and leaving the service.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public.</p>	<p><i>Interview with staff</i> to ascertain if the policies and procedures are implemented.</p> <p><i>Interview with service users</i> to ensure that they have access to the entry and exit policies and procedures.</p> <p><i>Review document</i> on entry and exit policies and procedures.</p> <p><i>Review service users' files</i> to verify entry and exit procedures.</p>
<p>10.2 The entry policy is non-discriminatory and clearly identifies the target group for service delivery and the criteria for determining priority for entry.</p>	<p>Service unit's policy should show that entry criteria are not discriminatory (other than on the basis of relative needs or in compliance with the basis on which funding is provided).</p> <p>The entry policy clearly identifies the target group and the criteria for determining priority for entry.</p>	<p><i>Interview with staff</i> to identify if there was any discrimination in the entry to the service unit.</p> <p><i>Review document</i> to ensure that entry policy is not discriminatory and the target group and criteria for determining priority for entry are clearly identified.</p>
<p>10.3 Where an applicant is refused entry to a service, the service unit provides the applicant with reasons for the decision and, where appropriate, refers the applicant to an alternative service unit.</p>	<p>Where an applicant is refused entry to a service, the service unit has established mechanisms for:</p> <ul style="list-style-type: none"> <li>- providing the applicant with reasons for the decision, and</li> <li>- referring applicant to alternative service units where appropriate.</li> </ul>	<p><i>Interview with staff</i> to establish that refused applicants are provided with reasons for the refusal.</p> <p><i>Review document</i> to check for evidence that refused applicants have been referred to other service units, if applicable.</p>

## Standard 11 : Needs of Service Users

*The service unit has a planned approach to assessing and meeting service users' needs (whether the service user is an individual, family, group or community).*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>11.1 The service unit has policies and procedures in relation to assessing and meeting service users' needs, and they are accessible to service users, staff or other interested parties.</p>	<p>The service unit has document(s) spelling out the policies and procedures for assessing and meeting service users' needs which incorporate:</p> <ul style="list-style-type: none"> <li>- designated responsibilities for assessment, planning and review, parties to be involved,</li> <li>- regular review and updating,</li> <li>- methods of assessment,</li> <li>- maintenance of records,</li> <li>- communicating decisions to relevant people.</li> </ul> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public.</p>	<p><i>Interview with staff</i> to establish that the policy and procedures for assessing and meeting service users' needs are in place and implemented.</p> <p><i>Interview with service users</i> to ascertain if they have access to the policies and procedures.</p> <p><i>Review document</i> to ascertain the existence and relevance of the policies and procedures.</p>
<p>11.2 Service users, relevant staff, family members or other relevant personnel are consulted and, where appropriate, their views are incorporated in all stages of the assessment and planning process.</p>	<p>A mechanism exists for involving appropriate individuals (e.g. service users, staff members, family members, medical personnel) in needs assessment, planning, monitoring and review.</p> <p>Service users have been informed of their right to be involved, or to involve significant others, in the assessment and planning process.</p> <p>Service users involved in needs assessment recognise that their views will be considered and where appropriate, incorporated.</p>	<p><i>Interview with staff</i> to establish that the mechanism for consulting and incorporating the views of appropriate individuals in the assessment and planning process are in place.</p> <p><i>Interview with service users</i>-to confirm that their views are consulted and, where appropriate, incorporated in the assessment and planning process.</p> <p><i>Review document</i> to check evidence, if applicable, that appropriate individuals have been consulted and their views, where appropriate, incorporated.</p>

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>11.3 The service unit records assessment of service users' needs and plans as to how they will meet their needs, including goals, action identified and timeframes for achieving or reviewing plans.</p>	<p>The service unit has a mechanism for recording:</p> <ul style="list-style-type: none"> <li>- needs assessment of service users</li> <li>- plans to meet these needs, including goals, action identified, and timeframes for achieving or reviewing plans.</li> </ul> <p>Information to show that needs assessments and plans are documented.</p>	<p><i>Interview with staff</i> to establish that procedures in relation to needs assessment and service planning incorporate the maintenance of appropriate records and are adhered to.</p> <p><i>Review document</i> to check that appropriate records of needs assessment and service plans of service users are kept.</p>
<p>11.4 Service users' records are regularly updated to reflect changing circumstances.</p>	<p>Service unit has a mechanism to regularly update service users' records.</p> <p>Information to show that service users' records are regularly updated to reflect their changing circumstances on at least an annual basis.</p>	<p><i>Interview with staff</i> to establish that mechanism for updating service users' records is adhered to.</p> <p><i>Review document</i> to ensure that the service users' records are regularly updated on at least an annual basis.</p>

## Standard 12 : Informed Choices

*The service unit respects the service users' right to make informed choices of the service they receive as far as practicable.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>12.1 The service unit has policies and procedures to provide service users with timely information about operations which affect the services received by them.</p>	<p>The service unit has document(s) spelling out the policies and procedures specifying under what circumstances, the timing required and how to provide service users with the information about operations that affect them.</p>	<p><i>Interview with staff</i> to ascertain that timely information about the service unit's operations is available.</p> <p><i>Review document</i> to ascertain if such policies and procedures exist.</p> <p><i>Review document</i> to examine samples of notices or records of information about operations given to service users, if applicable.</p>
<p>12.2 The service unit has policies and procedures for providing service users with opportunities, if appropriate, to make informed choices and decisions about the services they receive, and such policies and procedures are accessible to them.</p>	<p>The service unit has document(s) spelling out the policies and procedures specifying how and when the service users will be informed of the choices that are available and their decisions are sought.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be made accessible to the public.</p>	<p><i>Interview with staff</i> to ascertain if they are aware of the policies and procedures and if the policies and procedures are implemented.</p> <p><i>Interview with service users</i> to ascertain if they can gain access to such policies and procedures, if opportunities are actually given and if decisions are autonomous.</p> <p><i>Review document</i> to ascertain if the policies and procedures exist.</p> <p><i>Review document</i> to examine samples of document related to informing users of the opportunities to make choices and decisions, if applicable.</p>



## Standard 13 : Private Property

*The service unit respects the service users' rights in relation to private property.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>13.1 The service unit has policies and procedures for ensuring that service users' rights in relation to private property are being respected, and the policy and procedures are accessible to service users, staff or other interested parties.</p>	<p>The service unit has document(s) spelling out the policies and procedures to protect service users' personal belongings and, where applicable, to ensure that their personal belongings are not used as communal property.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>Service users have been informed of their rights in relation to private property.</p> <p>* Documents under this criterion should be make accessible to the public</p>	<p><i>Interview with staff</i> to ensure that the policies and procedures are adhered to.</p> <p><i>Interview with service users</i> to establish that they are explained of their rights in relation to private property and they can gain access to such policy and procedures.</p> <p><i>Review document</i> to ascertain if such policy and procedures exist.</p>
<p>13.2 Where appropriate, the service unit provides service users with the opportunity to keep private property in a secure place, or informs service users of the risks to their personal property.</p>	<p>Where appropriate service users are provided with a secure place to keep private property.</p> <p>Where this is not possible, a process is in place for informing service users of the risks to their private property.</p> <p>Storage place, if available, is secure and accessible to service users.</p>	<p><i>Interview with staff</i> to ascertain arrangements for storing private property of service users or informing them of risks.</p> <p><i>Interview with service users</i> to ensure that they are well aware of the location of the place(s) to store their private property, or that they have been informed of the risk to their private property if the place(s) of storage is not available.</p> <p><i>Observe</i> to check, where appropriate, that there is (are) place(s) for service users to keep their private property and that these places are secure and accessible to service users.</p>

<b>Criteria</b>	<b>Assessment Indicator</b>	<b>Assessment Steps and Actions</b>
<p>13.3 Where the service unit has any responsibilities for collecting and/or managing the service users' money and other valuables, appropriate procedures and controls exist and are adhered to.</p>	<p>Documented procedures and control mechanisms exist which should include:</p> <ul style="list-style-type: none"> <li>- circumstances under which service users' money (including collection of subscriptions / fees) and other valuables will be collected and/or managed</li> <li>- the way money will be collected and/or stored, and the steps/procedures in controlling their use</li> <li>- appropriate record keeping and accounting controls.</li> </ul>	<p><i>Interview with staff</i> to establish that they are aware of the procedures and adhering to them.</p> <p><i>Interview with service user</i> to verify details of the established procedures and controls.</p> <p><i>Review document</i> to check for procedures and controls for collecting and/or managing service users' money and evidence that they are adhered to.</p>

## Standard 14 : Privacy and Confidentiality

*The service unit respects the service users' rights for privacy and confidentiality.*

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>14.1 The service unit has policies and procedures, where practicable, for ensuring that the privacy and dignity of individual service users are being respected, and the policies and procedures are accessible to service users, staff or other interested parties.</p>	<p>The service unit has document(s) spelling out the policies and procedures by which :</p> <ul style="list-style-type: none"> <li>- service users' needs for privacy and dignity are respected and upheld</li> <li>- service users are informed of their rights in relation to privacy and dignity.</li> </ul> <p>Service users are treated in a manner reflecting that the service unit respects these needs of service users.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public</p>	<p><i>Interview with staff</i> to determine that the policy and procedures are adhered to.</p> <p><i>Interview with service users</i> to determine how the service unit respects these needs and to ascertain if they have access to the policies and procedures.</p> <p><i>Observe</i> to check for evidence that service users are treated in a manner reflecting that the service unit respects these needs.</p> <p><i>Review document</i> to establish that the service unit has a policy and procedures on respect for service users' rights for privacy and dignity and that service users are informed of their such rights.</p>
<p>14.2 The service unit ensures that any personal care activities which may be required are conducted, where practicable, in a manner which respects the privacy and dignity of individual service users.</p>	<p>Where applicable, written guideline on aided personal care activities is in place to ensure that the needs for private and dignified care of service users are respected.</p> <p>Service users are treated in a manner reflecting that the service unit respects these needs.</p>	<p><i>Interview with staff and service users</i> to ascertain that guideline on personal care activities is adhered to.</p> <p><i>Observe</i> to establish that service users' needs for private and dignified care are respected.</p> <p><i>Review document</i> to establish that the service unit, where applicable, has guideline for aided personal care activities.</p>

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>14.3 The service unit has policies and procedures for ensuring that service users' rights on confidentiality are being respected, and the policy and procedures are accessible to service users, staff or other interested parties.</p>	<p>The service unit has document(s) spelling out the policies and procedures to ensure that all information collected about service users, both written and verbal, is treated as confidential (except where there is legal requirement to disclose information).</p> <p>Due care is taken and procedures are in place to ensure that service users' files and personal information are accessible to staff on a need-to-know basis.</p> <p>A mechanism for obtaining consent before requesting from, providing or transferring any service users' information to another agency exists.</p> <p>Files and personal information relating to service users are stored in a secure manner.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties, and service users are aware of the treatment of their personal information as confidential.</p> <p>* Documents under this criterion should be make accessible to the public</p>	<p><i>Interview with staff</i> to establish that the policy, procedures and mechanism are adhered to.</p> <p><i>Interview with service users</i> to establish that they are aware that their information is treated as confidential, the consent mechanism is adhered to, and they have access to the policies and procedures.</p> <p><i>Observe</i> to check that files and personal information relating to service users are stored in a secure manner.</p> <p><i>Review document</i> to establish that service unit has policy and procedures on confidentiality of service users' information.</p>

## Standard 15: Complaints

*Each service user and staff member is free to raise and have addressed, without fear of retribution, any complaints he or she may have regarding the agency or the service unit.*

Criteria	Assessment Indicator	Assessment Steps and Actions
15.1 The service unit has policies and procedures in relation to handling complaints and they are accessible to service users, staff or other interested parties.	<p>The service unit has document(s) spelling out the policy and procedures in relation to handling complaints.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public</p>	<p><i>Interview with staff</i> to determine whether policies and procedures are adhered to.</p> <p><i>Interview with service users</i> to ascertain if they have access to the policy and procedures.</p> <p><i>Review document</i> to ascertain the existence of policies and procedures.</p>
<p>15.2 The service unit's procedures for handling complaints:</p> <ul style="list-style-type: none"> <li>- include timeframes within which action will be taken in response to any complaints raised,</li> <li>- identify necessary staff actions and specify who will be responsible for dealing with the complaints, and</li> <li>- indicate how/when feedback will be provided to the service users.</li> </ul>	<p>Documented procedures are in place, which include:</p> <ul style="list-style-type: none"> <li>- establishment of reasonable timeframes (based on the corrective action involved) for the review and progress of complaint resolution,</li> <li>- designating responsibility for dealing with the complaint,</li> <li>- how/when feedback will be provided to the service users.</li> </ul>	<p><i>Interview with staff</i> to obtain evidence that complaints are answered within set timeframe, dealt with by the designated staff, and with feedback to the service users.</p> <p><i>Interview with service user</i> to establish details of the complaint system.</p> <p><i>Review document</i> to check for appropriate details in the complaint handling procedures.</p>

Criteria	Assessment Indicator	Assessment Steps and Actions
<p>15.3 Service users are informed of their rights to, and procedures involved in, raising complaints and having these addressed.</p>	<p>An appropriate mechanism exists for informing service users of their rights and procedures in this area.</p>	<p><i>Interview with staff</i> to establish mechanisms for informing service users their rights and complaint procedures.</p> <p><i>Interview with service users</i> to establish that they have been informed of their rights to raise complaints and the complaint procedures.</p>
<p>15.4 The service unit encourages and provides opportunities for service users to discuss service delivery issues and to freely raise any concerns they may have.</p>	<p>The service unit encourages and supports service users to raise issues and concerns.</p> <p>Service users have been informed that if they raise any concerns or complaints, they will not be disadvantaged and their concerns will be treated with respect and as confidential.</p>	<p><i>Interview with staff</i> to establish how service users are encouraged and provided with opportunities to raise issues and concerns.</p> <p><i>Interview with service users</i> to establish that they are provided with opportunities to raise any concerns or complaints, and have been informed that they will not be disadvantaged for doing so.</p>
<p>15.5 Any complaints raised and actions taken to resolve complaints are documented.</p>	<p>Written record of complaints raised and actions taken to resolve them is kept.</p>	<p><i>Review document</i> to establish that record of complaints raised and actions taken to resolve them is kept.</p>

## Standard 16 : Freedom from Abuse

*The service unit takes all reasonable steps to ensure that service users are free from abuse.*

Criteria	Assessment Indicator	Assessment Steps and Actions
16.1 The service unit has policies and procedures for ensuring that service users' rights to freedom from verbal, physical and sexual abuse are being respected, and the policy and procedures are accessible to service users, staff or other interested parties.	<p>The service unit has document(s) spelling out the policies and procedures on the prevention and handling of abuse to ensure that service users' rights to freedom from verbal, physical and sexual abuse are being respected.</p> <p>The policies and procedures are accessible to service users, staff and other interested parties.</p> <p>* Documents under this criterion should be make accessible to the public</p>	<p><i>Interview with staff</i> to establish that the relevant policies and procedures are adhered to.</p> <p><i>Interview with service users</i> to ascertain if they have access to the policies and procedures.</p> <p><i>Review document</i> to check for the existence of relevant policies and procedures.</p>
16.2 Staff of the service unit are aware of its policies and procedures on protecting service users' rights to freedom from abuse.	<p>The service unit has appropriate mechanism such as training, guidance and supervision, to inform staff of protecting service users' rights in this area.</p> <p>Service delivery practices promotes respect for service users and seeks to safeguard them from any risks of verbal, physical or sexual abuse.</p>	<p><i>Interview with staff</i> to establish that the mechanism for informing staff about the policies and procedures with regard to the protection of service users' rights to freedom from abuse is in place.</p> <p><i>Interview with staff</i> to confirm that they are aware of the need and ways to protect service users' rights in this area.</p> <p><i>Observe</i> to see if service users' right in this area is respected.</p>
16.3 Staff and service users are encouraged to raise any concerns about verbal, physical or sexual abuse and are given appropriate opportunities to do so.	<p>An appropriate mechanism exists for encouraging, supporting and providing staff and service users with opportunities to raise issues and concerns about verbal, physical or sexual abuse.</p> <p>Service users have been informed that they can raise complaints and that they will not be disadvantaged if they do so.</p>	<p><i>Interview with staff</i> to establish how they and service users are encouraged and provided with opportunities to raise issues and concerns about verbal, physical or sexual abuse.</p> <p><i>Interview with service user</i> to establish that they have been informed of the right to raise complaints and that they will not be disadvantaged if they do so.</p>

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