

Template for document review

Criteria	Document Required	Meets Criteria Y/N	Remarks
1.1	Having a service unit description covering up-to-date information on: <ul style="list-style-type: none"> ● purpose ● objectives ● target group ● mode of service delivery ● service entry mechanisms ● service leaving mechanism 		
1.2	The format and mode of communication of the service unit description is appropriate to meet the needs of the service users		
2.1	Having a document spelling out for each of the policies and procedures stipulated under SQSs 6, 10, 11, 12, 13, 14, 15 & 16 : <ul style="list-style-type: none"> ● whether it would be reviewed regularly and for how often, and/or under what circumstances it would be reviewed ● the person or post or committee responsible for the review ● when the policies and procedures last reviewed and updated 		
	Having two samples of current policies and procedures recently reviewed and updated		
2.2	Having a documented mechanism spelling out that in the reviewing and updating process: <ul style="list-style-type: none"> ● how input from service users can be obtained ● how input from staff can be obtained 		
3.1	Having records of the unit's service operations and activities which are current, collected and kept in a consistent manner, and covering the information related to the performance standards as stipulated in the unit's agreement with SWD, FSA or SD		
3.2	Having two samples of accurate and current statistical reports most recently produced and submitted in accordance with the SWD requirements covering the information related to the performance standards as stipulated in the unit's agreement with SWD, FSA or SD		
4.1	Having accurate and current job descriptions and duty statements for all service unit staff which clearly set out their duties, responsibilities, and accountability relationships		
4.3	Having documents which clearly set out the roles, responsibilities, and membership of the management committee, board members, and other decision-making bodies		

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4.4	Having a current organisation chart which depicts overall structure and accountability relationships of the service unit		
5.1	Having documented policies and procedures on staff recruitment, deployment and promotion specifying: <ul style="list-style-type: none"> ● selection criteria ● time frames ● responsible persons and their roles ● measures to avoid conflict of interest 		
	Having documented policy and procedures on establishing employment contracts		
	Having documented policy and procedures on taking disciplinary actions specifying: <ul style="list-style-type: none"> ● criteria for action ● measures to avoid conflict of interest ● responsible persons and their roles 		
5.2	Having documented policies and procedures on induction for new regular staff		
5.3	Having documented policy for staff supervision and performance appraisals, specifying: <ul style="list-style-type: none"> ● when and by whom regular staff supervision and appraisals are to be conducted ● identification of areas for performance improvement ● identification of on-going training and development needs 		
	Staff supervision responsibility is specified in the respective job descriptions		
5.4	Having documented policy for staff training and development		
	Having a current plan for staff training and development		
6.1	Having a document on overall plan(s) on its operation spelling out its: <ul style="list-style-type: none"> ● service/work planned ahead ● objectives to be achieved ● tools for evaluation ● timeframe for evaluation 		
6.2	Having documented policy and procedures for: <ul style="list-style-type: none"> ● obtaining feedback from service users, staff and other interested parties on the service unit's performance ● responding to feedback from service users, staff and other interested parties on the service unit's performance 		

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	Having documentation on feedback collected (if applicable)		
	Having documentation on response given to the feedback (if applicable)		
6.3	Having documentation on action taken in response to performance/quality issues identified during review and evaluation processes		
7.1	Having documented procedures for developing and endorsing: <ul style="list-style-type: none"> ● budgets for the service unit ● budgets for individual activities within service unit 		
7.2	Having documented policy and procedures for managing financial resources and monitoring financial performance of the service unit with the following elements: <ul style="list-style-type: none"> ● Personnel responsible for managing financial resources (including authorization/delegation/approval level of use of financial resources) and monitoring financial performance ● Measures to avoid conflict of interest ● Measures to handle resources obtained from other funding bodies, donation proceeds, gift-in-kind 		
7.3	Having documented procedures to regularly consider opportunities for introducing efficiencies/containing costs such as quotation guidelines on supply of service or products, etc.		
8.1	Having a checklist of all relevant legislation governing the unit's operations and service delivery, which includes the legislation on the list developed by SWD and HKCSS for the service type		
8.2	Having documented procedures to ensure compliance with the relevant legislation		
	Having a document showing that free or paid legal advice is available (such as document on the appointment and/or the contact information or channel of seeking legal advice)		
9.1	Having records showing that the fire and other necessary safety equipment has been effectively maintained		
9.2	Having documented procedures for responding to an emergency		
	Having records showing that fire drills have been regularly held on at least an annual basis		

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9.3	Having records on regular safety assessments recording the: <ul style="list-style-type: none"> ● results of the assessments ● actions taken to rectify problems ● outcomes achieved 		
9.4	Having records of all accidents or injuries involving staff and/or service users at the unit, including how the unit responded to any such incidents		
9.5	For unit having drivers and vehicles, copy of driver's license and vehicles' maintenance records are available		
9.6	For service equipment used for direct service delivery, having documented procedures for: <ul style="list-style-type: none"> ● their regular maintenance ● their use under proper supervision where appropriate 		
10.1	Having documented policy and procedures on entry specifying the criteria for entering the service		
	Having documented policy and procedures on exit specifying the criteria for leaving the service		
	Having 2 current service users' files or programme files to show that the service users meet the service criteria and the entry procedures are adhered to		
	Having 2 former service users' files or programme files to show that the exit procedures are adhered to		
10.2	The entry policy : <ul style="list-style-type: none"> ● is non-discriminatory ● clearly identifies the target group ● clearly identifies the criteria for determining priority for entry 		
10.3	Having records on 2 refused applicants who have been referred to other agency/unit (if applicable)		
11.1	Having documented policy and procedures for assessing and meeting the service users' needs which incorporate : <ul style="list-style-type: none"> ● designated responsibilities for assessment, planning and review ● parties to be involved ● regular review and updating ● methods of assessment ● maintenance of records ● communicating decisions to relevant people 		

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11.2	Having 2 current service users' files or programme files to show that appropriate individuals have been consulted and their views, where appropriate, incorporated (if applicable)		
11.3	Having 2 current service users' files or programme files to show that the needs assessments are recorded		
	Having 2 current service users' files or programme files to show that the plans to meet service users' needs are recorded which include the: <ul style="list-style-type: none"> ● goals ● action identified ● timeframes for achieving or reviewing plans 		
11.4	Having 2 current service users' files or programme files to show that service users' records are regularly updated on at least an annual basis		
12.1	Having documented policy and procedures spelling out : <ul style="list-style-type: none"> ● under what circumstances and how to provide service users with the information about operations that affect them ● timing required and how to provide service users with such information 		
	Having two samples of notices or records of information about operations given to service users in the preceding year (if applicable)		
12.2	Having documented policy and procedures specifying: <ul style="list-style-type: none"> ● how and when the service users will be informed of choices that are available ● how and when their decisions about the services they receive are sought 		
	Having two samples of document related to informing users of the opportunities to make choices and decision (if applicable)		
13.1	Having documented policy and procedures to protect service users' personal belongings and, where applicable, to ensure that their personal belongings are not used as communal property		

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13.3	Having documented procedures and control mechanisms which cover : <ul style="list-style-type: none"> ● circumstances under which service users' money (including collection of subscriptions / fees) and other valuables will be collected and/or managed ● the way money will be collected and/or stored, and the steps/procedures in controlling their use ● appropriate record keeping and accounting controls 		
	Having records showing that the above procedures are adhered to		
14.1	Having documented policy and procedures by which : <ul style="list-style-type: none"> ● service users' needs for privacy and dignity are respected and upheld ● service users are informed of their rights in relation to privacy and dignity 		
14.2	Having written guideline on aided personal care activities to ensure that service users' needs for private and dignified care are respected (if applicable)		
14.3	Having documented policy and procedures to ensure that all information collected about service users, both written and verbal, is treated as confidential		
15.1	Having documented policy and procedures in relation to handling complaints		
15.2	Having documented procedures for handling complaints which include: <ul style="list-style-type: none"> ● establishment of reasonable timeframes for the review and progress of complaint resolution ● designating responsibility for dealing with the complaint ● how/when feedback will be provided to the service users 		
15.5	Having written record of complaints raised and the actions taken to resolve them		
16.1	Having documented policy 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		

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