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# Global-Mark P/L

Management Document G-100

Title: **Human Services Victoria Scheme**

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Document Information and Revision History

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1	2/04/2009	Ben Wong	Original Release
2	12/5/2011	Herve Michoux	Updated after JASANZ audit and trial Clients
3	20/8/2012	Herve Michoux	Updated to reflect the new DHS Standards
4	26/6/2013	Herve Michoux	Updated based on JASANZ procedure Part 4
5	17/07/2013	Vanessa Mostyn	Updated Periodicity of Post Certification Reviews in table
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## 1 Why do we have this document?

This document describes the certification program offered by Global-Mark Pty Ltd to clients seeking certification to the DHS Human Services Standards in Victoria. This document is subject to change without notice. The latest version is on our web site: [www.Global-Mark.com.au](http://www.Global-Mark.com.au).

This document represents Global-Mark’s commitment to fully explaining and clarifying requirements to the service provider during all stages of the certification process from application, to pre-audit (Stage 1 or Pre-Certification Review), during the audit (Certification Review), and post-audit stages including surveillance (Post Certification Reviews).

## 2 Overview

Global-Mark’s program is designed to meet the requirements of the Department of Human Services Standards (DHSS) in Victoria.

Services establishing a management system which meets the Standards and Evidence Indicators can expect to see benefits of increased efficiency, added staff moral and the delivery of a quality service to consumer and advocates.

Organisations that are successfully certified to the DHSS by Global-Mark receive an electronic Certificate of Approval which is downloaded from our website. They are also entitled to use and display the Global-Mark® on marketing and promotional materials as an indication of their achievement. The organisations details are also listed on Global-Mark’s register of certified organisations at [www.global-mark.com.au](http://www.global-mark.com.au)

Appendix A provides an overview of the Certification process

## 3 In simple terms

In essence DHSS certification reflects an organisation’s commitment to providing fair, transparent and equitable support services to achieve planned personalized outcomes for the consumers.

The certification process is extensive and may involve a consumer representative, Technical Expert on the Global-Mark team), in consumer interviews and management interviews. We need to confirm that your service works well, and has all the “safety nets” in place to ensure consumers will have good outcomes.

Acceptable Governance Standards are:

- ISO9001, Full Certification (with minimum annual audits)
- DSS Standards 8 and 11 (with minimum annual audits)
- NSQHS Standards 1 to 10 (with mid cycle audit)

Program summary card	
Issue	Program rules/comments
Standard (s)	Department of Human Services Standards Victoria (DHSS) + Governance requirements)
Any other relevant document	Nil
Target audience	DHS Funded organisations or services in Victoria
Global-Mark output document	Certificate of Approval
Other Global-Mark output document	Certification schedule (used if all the information does not fit on the Certificate of Approval)
Certificate validity period	On-going certification is based on conforming with the DHSS at periodical Surveillance Audits, Certification to be renewed every 3 years (in accordance with Service Agreement).
Certification mark that can be used by the client	Global-Mark® Human Services Standards
Can this mark be used on product?	No
Periodicity of post certification reviews?	Post Certification Reviews: at least 1 mid-cycle maintenance audit (during the service agreement cycle) + surveillance of governance standards (based on applicable requirements)
Periodicity of re-certification review	NA
<b>Steps to and post certification</b>	
Application	✓
Document review	✓
Pre-certification review	✓ (Optional)
Certification review	✓
Technical file review	Nil
Follow-up review	✓
Post certification review	✓
Re-certification review	Nil



## 4 Important definitions

**Continuous improvement** a detailed program of improvement resulting from activities that may include, but are not limited to, internal review, internal or external audit or assessment, service user feedback, complaints and other service delivery issues.

**Department** the responsible body applicable to the Victorian government Department of Human Services

**DHSS** the standards applicable to HSV Scheme (Part 4); specifically, the Department of Human Services Standards (DHSS). The DHSS include:

- a) any applicable performance standards determined by the Minister to be met by community services pursuant to section 58 of the Children, Youth and Families Act 2005 (Vic)
- b) any standards determined by the Minister to be met by disability services providers pursuant to section 97 of the Disability Act 2006 (Vic)
- c) any standards developed or endorsed by the department.

**Dignity of risk** dignity of risk is about supporting people's rights to make choices that may involve uncertainty or risk.

**Governance standards** the governance and management standards approved for use by the department. Within the scope of the HSV Scheme (Part 4), the approved governance standards are:

- Disability Service Standards, FaHCSIA, 2007, Standards 8 & 11 or
- ISO 9001:2008, Quality management systems - Requirements, or
- National Safety and Quality Health Service (NSQHS) Standards 1 to 10.

**Notifiable issue** evidence or allegations of significant harm to a person accessing a service; risk of abuse; serious health, safety or, financial impropriety; potential insolvency and/or professional misconduct.

**Out of home care** out of home care is defined by the Children Youth and Families Act 2005 (Vic).

**Performance measure** the performance measures in respect of the DHSS determined by the DHS Secretary to the department.

**People accessing services** has the same meaning as 'consumer'.

**Police check** a check which complies with the department's policy on pre-employment / pre-placement safety screening.

**Policy and Funding Plan** outlines the Victorian government's policy framework, the department's budget and strategic initiatives and provide detailed information on funded service activities, including performance measures, data collection requirements and service standards and guidelines.

**Register** the DHS Register of Disability Service Providers kept by the DHS Secretary under the *Disability Act 2006*; or the Register of Community Service Organisations kept by the DHS Secretary under the *Children, Youth and Families Act 2005*.

**Registration policy** refers to the DHS policy, procedures and forms for the registration of disability service providers and community services. These documents outline the procedures and requirements for agencies registered under the Disability Act 2006, or the Children, Youth and Families Act 2005.

**Residential service** a residential service is defined by the Disability Act 2006 (Vic) and includes a Community Residential Unit (CRU).

**SAMS** the department's electronic Service Agreement Management System, including SAMS2.

**Service** a service funded by the department, as defined by the Department of Human Services *Policy and Funding Plan* as being required to comply with the DHSS.

**Service agreement** any agreement, contract or other instrument between the department and a service provider, administered through SAMS2. Service provider the 'client' applicable to HSV Scheme (Part 4); specifically, any organisation that is provided with funding by the department pursuant to a service agreement.

**Service stream:** specific groups of services as defined by the *Policy and Funding Plan*. These include children and family services, youth justice services, disability services, homelessness assistance services, and family violence support services.

**Working With Children Check:** the process under the *Working with Children Act 2005 Victoria* to assess and reassess whether a person is suited to child-related work. An audit team member must have a Working With Children Check prior to auditing services provided for children or young people.



## 5 Specific program conditions

### Privacy Applicable Legislation

Global-Mark shall ensure that all confidential information about a service provider in accordance with the Information Privacy Act 2000 (Victoria), the Health Records Act 2001 (Victoria), the Children, Youth and Families Act 2005, and other relevant legislation.

### Consumer Participation

Participation by consumers in audits is at all times voluntary and shall be based on the principle of consent. Where possible, a consumer's consent to participate in an audit shall also grant permission for the audit team to review that consumer's file. It is desirable to obtain consents in writing. Where the capacity of a consumer to provide consent is uncertain, an independent advocate should be involved to determine that capacity and to support an appropriate level of involvement by the consumer.

### Document review to be completed by Global-Mark prior to certification

Documentation provided by the service provider for review prior to the on-site audit must include:

- a) general information concerning the DHSS system and the activities it covers, and relevant human and technical resources
- b) a description of the services to be certified
- c) a copy of the documentation of the core processes of the DHSS system
- d) results of the latest (last 12 months) self-assessment, management review and internal audits against the DHSS and current quality plan.

### Review Findings and Non-Conformances

Global-Mark review findings are rated as: Non-conformance, improvement requests and observations.

Where a service provider does not meet a DHSS, the Global-Mark Client Manager shall raise a non-conformance and inform the service provider that there is a requirement under the DHS Service agreement to:

- immediately resolve any nonconformities with the DHSS that place a person accessing services at significant risk
- within six months resolve any other nonconformities with the DHSS

For a certified service provider, evidence of a corrective action plan shall be presented to the Global-Mark within 5 working days of the date of issue of the major nonconformity, and close out shall normally require a follow-up visit by the Global-Mark within three months.

Nonconformities shall be closed out or downgraded to nonconformities within three months of the date of issue. For a certified service provider, failure to close out a major nonconformity within six months shall result in automatic suspension of certification. DHS will be notified of these.

Non-conformities shall be closed out prior to certification being awarded.

### Access to electronic files

Global-Mark review team must be given access to your electronic files, information systems and records. This may also include access to DHS SAMS system as it relates to the service and clients being audited.

### How we will deal with a "notifiable issue"

If during any audit, evidence is found or allegations are made regarding a notifiable issue, we will:

- record the details of the disclosure, allegation or witnessed event;
- immediately notify the service provider's management;
- notify the DHS Victoria immediately.

We are not responsible for resolving a notifiable issue, but certification cannot proceed until the DHS, Victoria advises us that the notifiable issue has been resolved.

### Scope of certification

The scope your of certification negotiate with providers and based on the Funding Arrangement and Agreement between the DHS, Victoria and your organization Our audit must also always include the audit of your head office.

### Continuous Quality Improvement

Global-Mark encourages service providers to embed continuous quality improvement through self-assessment processes.



### Acceptance Governance Standards

The governance and management standards approved for use by the department are:

- Disability Service Standards FaHCSIA, 2007, Standards 8 & 11 or
- ISO 9001:2008, Quality management systems - Requirements, or
- National Safety and Quality Health Service (NSQHS), Standards 1 to 10.

Organisations shall select on Governance Standard which shall be listed on the Client Agreement Form, and assessed as part of the Global-Mark reviews. A Certificate of Approval shall not be issued against the Governance Standards (when the whole Standard(s) is not fully audited and certifiable), however the specified Governance Standard shall be referenced in the Business Review Report: ex: "Housing Services (using NSQHS 1 to 10 as Governance Standards)". If compliance with "full" ISO9001 or NSQHS 1 to 10 a Certificate of Approval will be issued by Global-Mark.

### Post Certification Reviews/Audits

Global-Mark may conduct an out of cycle audit at any time if requested by the DHS.

Global-Mark shall also conduct at least one mid- cycle maintenance audit (post certification review), to ensure that the service provider continues to comply with the DHSS and governance standards during the service agreement cycle.

If certification is suspended, and subsequently restored, Global-Mark must ensure that surveillance reverts to a mid- cycle maintenance audit.

If certification is (or has been) withdrawn (ed), Global-Mark shall treat a request to reinstate certification as an initial/new certification.

### Renewal of Certification

Global-Mark shall undertake a detailed audit of all the DHSS and governance standards before the end of the three-year service agreement cycle between the department and the service provider.

### Global-Mark's undertaking and obligations

The following requirements are conditions set for Global-Mark to be a participant within the program;

- we shall provide a copy of the written review reports and findings to the Department, or its representative(s).
- we will contact and report to the Department any health, safety or abuse risk, professional misconduct, financial improprieties found or suspected during our review.
- information about your service may be disclosed to the Department without your consent.
- once you have achieved certification our surveillance reviews (post certification reviews) will be held according to the Post Certificate Plan, or more often.
- if nonconformities are detected a follow-up review(s) will be needed to verify that these have been addressed.
- during our review, we will be contacting and communicating with a number of consumer advocate groups and we ask that you to provide us with of their details, and provide them with the following in order to brief them of our visit and purpose:
  - the opportunity to meet with us, or ring us before the Global-Mark reviews, and
  - copies of our Global-Mark reports and findings.
- if an appeal is lodged to our organisation in regard to the DHSS program, we will involve an independent Service User in the processing and decision making process of this appeal.
- we do not discriminate against any service, person, or group.
- our certification procedures are available to our client or potential clients on request (and in our office or with one of our officers) and subject to their availability.
- All audit team members shall have current police check and Working with Children check.

### Your service undertaking and obligations

As part of this agreement you must ensure that;

- your service maintains a documented management system which conforms and continues to conform with the DHSS.
- consumers are made aware of our visit. Consumers must be offered the opportunity to participate and meet with us.
- we can interview a sample of your consumers. In order to facilitate these interviews, we will need your support and assistance to provide us with relevant consumer details. Interviews may be done face to face individually, as part of a focus group (or via telephone or written surveys).
- consumer consent forms have been completed. We will require seeing a signed copy of this form by all participating consumers, prior to their files being accessed or interviews proceeding. If requested we can sign a confidentiality agreement.
- we have access and are made aware of the details and contacts of consumer advocate groups or committees, as appropriate.
- a representative of the consumers is involved throughout the review (including opening and closing meetings).
- Self assessments, internal audits and management reviews are completed, scheduled and there are records to demonstrate this. It is important that these records provide evidence of consumer participation in these processes.



- your service is registered with the DHS, Victoria.
- upon request, you make available to Global-Mark records of all communications and actions, including complaints in relation to the services you provide to consumers in compliance with the Standards.
- Provide access to Global-Mark to electronic files and information systems.

If more than one site is offering funded services, please contact us and we will inform you about the eligibility criteria for multi-sited certification.

## **6 Department of Human Services Standards incorporating requirements of ISO9001 or other Governance Standards**

The Human Services Standards in Victoria consist of:

- Standard 1- Empowerment
- Standard 2 - Access and Engagement
- Standard 3 - Wellbeing
- Standard 4 - Participation

As per of its Certification progress, Global-Mark also includes the following all the requirements of ISO9001 with specific focus on:

- 4.1. General requirements
- 4.2 Documentation requirements (covering Quality Manual, control of documents and control of records)
- 5 Management responsibility (covering management commitment, customer focus, quality policy, planning, responsibility, authority and communication, management review)
- 6.2 Human resources
- 7. Product/Service Realization (or delivery)
- 8. Measurement, analysis and improvement (covering customer satisfaction, internal audit, non-conforming conditions, corrective and preventive action)

**If other Governance Standards are being used:**

The Global-Mark review process will include an assessment of compliance with the relevant Standards, and our business review report and findings will also cover these standard(s).



## 7 Code of Ethics

In delivering certification services, we commit ourselves to the following ethical and professional issues. The following applies to all audit team members and management of Global-Mark:

- Auditors, technical experts and staff of Global-Mark must abide by this code of ethics when auditing clients providing human services.
- Audit team selection, ongoing work and training should be inclusive and supportive of the unique needs and talents of individuals, and in line with legislation such as the Disability Discrimination Act.
- Auditors, technical experts and staff of Global-Mark shall adhere to and uphold all relevant legislation and regulatory requirements.
- Global-Mark is considerate of the working hours of their clients' staff when planning audits.
- Global-Mark promotes available complaint mechanisms to clients and participating consumers.
- Global-Mark shall facilitate transfer of certification if requested by a client it has certified. It shall not revoke certification simply because a client advises of its intent to change its CB.
- Global-Mark and their staff (external or internal) should promote the benefits of human services sector quality schemes to all interested parties.
- Global-Mark should actively participate in the continuous improvement of human services sector quality schemes by identifying and raising issues with the relevant funding body or JASANZ.
- Auditors, technical experts and staff of Global-Mark involved in audits within the human services sector must be free of conflicts of interest.
- Auditors, technical experts and staff of Global-Mark must, at all times, act with honesty and professionalism. They should be committed to upholding the integrity of the quality frameworks that they operate under.

## 8 What documents/records are needed to understand this program?

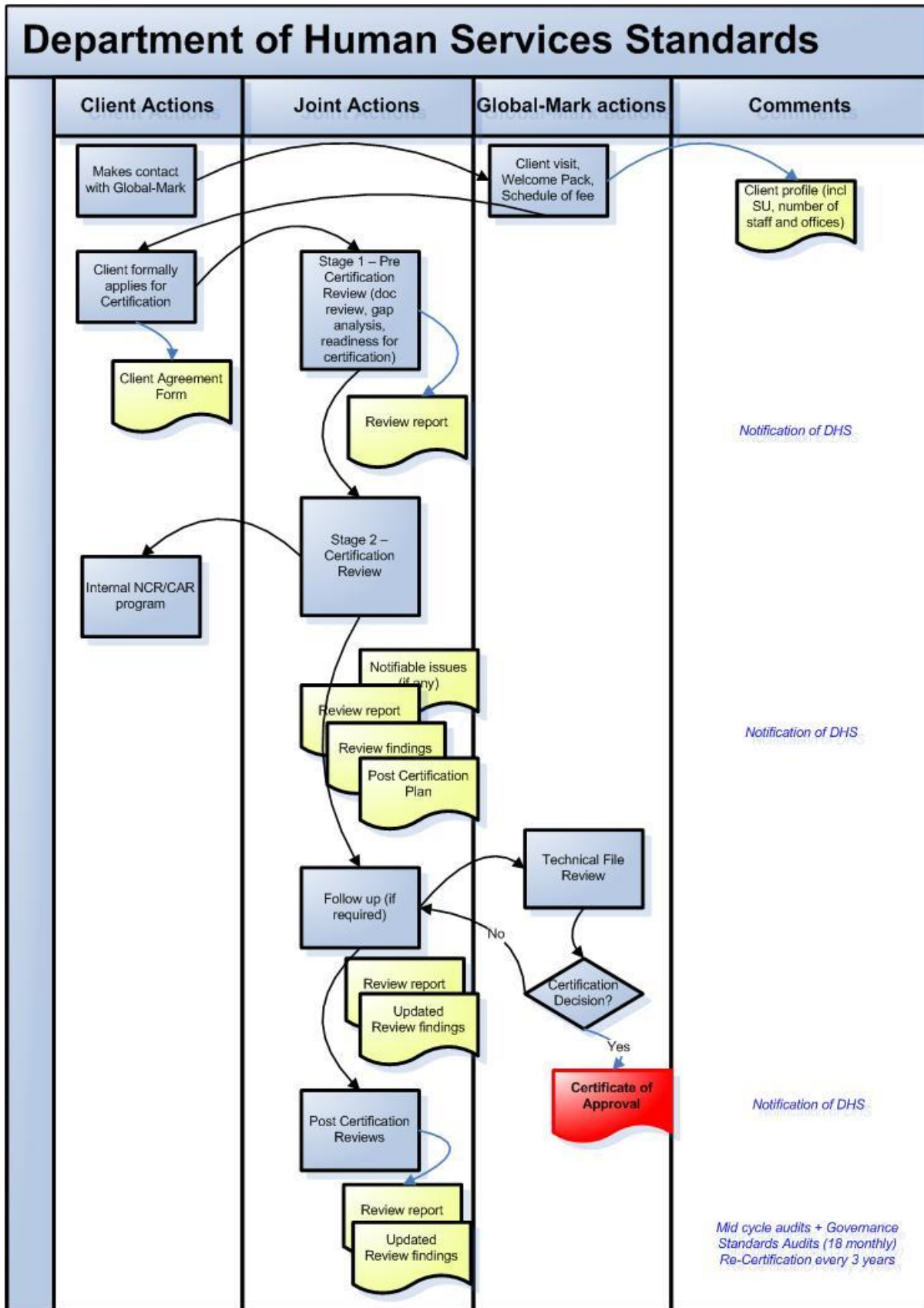
In order to understand our program, you should also access and be aware of the following documents:

- G-00: Welcome Pack
- MSP-00: Introduction to our Management Systems
- MSP-01: Nomenclature and Definitions
- MSP-24 Appeals
- G-00 Consumer sampling





9 Appendix A: Overview of Certification process



End of document