



### Purpose

Appendix 2 is designed to assist your organisation evidence the 11 licensing service standards by providing examples that you might use to demonstrate compliance with the criteria under each of the standards.

It is important to note, however, that unless evidence is specified as mandatory, the examples provided in the guide are examples only, and they should not limit the evidence that you might use to demonstrate compliance.

To help demonstrate compliance with the standards, your organisation may be able to draw upon evidence that is already available as a result of meeting requirements associated with your service agreement, if you have one with the department, or requirements of other government legislation relevant to your organisation.

The guide also includes references to the *Child Protection Act 1999*, the *Child Protection Regulation 2000*, and other government legislation, where relevant to licensed services, to help you to locate evidence that will help satisfy compliance with the criteria.

The guide only provides examples for process and output documentation, and not staff and management awareness, which is beyond its scope as that evidence can only be obtained directly from the people involved in providing the service.

### Use of the term ‘individual service care plan’

The term ‘individual service care plan’ used in the guide refers to the plan documenting the activities that will be undertaken by the service to meet the needs of an individual child. Terms such as care plan, individual plan, case plan or service plan might also be used to refer to this sort of plan. However, it is important to note that it is not referring to the departmental case plan, which is not your organisation’s responsibility.



## Appendix 2: Evidence guide

### Standard for accessibility of services – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>1.1.1 Procedures for making services and activities accessible within available resources</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure explaining how the service is made accessible to the target group, which includes:               <ul style="list-style-type: none"> <li>- cultural considerations</li> <li>- physical access considerations</li> <li>- where the service is delivered</li> <li>- information about the target group</li> <li>- referral processes</li> <li>- how the service makes placements available to the department</li> <li>- how barriers to access are identified and addressed.</li> </ul> </li> <li>• Agreements relating to access with the department or other agencies, including:               <ul style="list-style-type: none"> <li>- partnership agreements</li> <li>- memoranda of understanding.</li> </ul> </li> <li>• The service plan (in the service agreement) negotiated between the service and the department, which details the target group for the service and geographical coverage of the service.</li> </ul>	
<p>1.1.2 Procedures for receiving requests for services and assessing eligibility, which are designed to be culturally inclusive of people known to be part of the agreed target group</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure explaining how to respond to referrals and how to assess eligibility, including:               <ul style="list-style-type: none"> <li>- a definition of who is eligible for a service (covering factors such as age, gender, behaviour, level of support needs and disability)</li> <li>- how the referral process works, including who receives the referrals and how they are accepted</li> <li>- how an assessment of eligibility is made</li> <li>- who is responsible for assessing eligibility</li> <li>- how the service comes to agreement with the department about the eligibility of a referral</li> <li>- referral, assessment and intake forms</li> <li>- time frames in which the service will decide to accept or refuse a referral</li> <li>- how the current capacity to respond to referrals is communicated to the department.</li> </ul> </li> <li>• The service plan (in the service agreement) negotiated between the service and the department, which details the target group for the service and geographical coverage of the service.</li> </ul>	





## Appendix 2: Evidence guide

### Standard for accessibility of services – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance with the standards (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
1.3.1 <b>Records of access by people using services within the agreed target group</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Completed referral and assessment forms.</li> <li>• Completed intake forms.</li> <li>• Monthly referrals reports.</li> <li>• Quarterly service meeting minutes or reports.</li> <li>• Records of referrals that the service was unable to respond to with reasons the service was not able to respond, for example the referral was outside the target group or the service is currently at capacity.</li> <li>• The service plan (in the service agreement) covering the target group for the service and geographical coverage of the service.</li> </ul>	
1.3.2 <b>Records of linkages with other organisations to support and promote access</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Minutes or records of meeting with other agencies.</li> <li>• Operational and management team minutes showing linkages with other organisations.</li> <li>• Written agreements with other organisations describing how the service and the other organisation work together.</li> <li>• Memoranda of understanding.</li> <li>• Pamphlets, brochures, leaflets and booklets to promote access to the service.</li> </ul>	
1.3.3 <b>Records of training of staff to support cross-cultural competencies</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Staff records showing participation of staff in training or development activities that promote cross-cultural awareness and competency.</li> <li>• A service training register showing attendance at relevant training.</li> <li>• The service plan (in the service agreement) covering the target group for the service and geographical coverage of the service.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The service must have suitable methods of training for staff engaged in providing the service (S126 (f)).</li> </ul>
1.3.4 <b>Physical layout and location of services</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• The physical location of the service does not hinder accessibility.</li> <li>• Availability of physical aids, such as access ramps or hearing loops.</li> <li>• A culturally inclusive living environment.</li> <li>• The service plan (in the service agreement) covering the target group for the service and geographical coverage of the service.</li> </ul>	





## Appendix 2: Evidence guide

### Standard for responding to the needs of children, young people and their families – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance with the standards (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>2.1.1  <b>Procedures for introducing children and young people or families to the service</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure that explains how children, young people or families are introduced to the service and includes: <ul style="list-style-type: none"> <li>- how the child or young person is introduced to the service, the staff, to the rules of the service, and the layout and use of the facilities</li> <li>- who will be responsible for their introduction</li> <li>- when information will be provided and how</li> <li>- the referral process</li> <li>- the admission process</li> <li>- how the child or young person’s placement goals and support needs are identified.</li> </ul> </li> <li>• An induction kit, for children or young people covering: <ul style="list-style-type: none"> <li>- the induction process</li> <li>- strategies for involving the child in decision making</li> <li>- the child’s right to privacy and confidentiality</li> <li>- how the child or young person can give feedback about the service</li> <li>- how a child or young person makes an internal and/or external complaint</li> <li>- a check list of information to provide to the child or young person.</li> </ul> </li> </ul>	





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<p>2.1.2 <b>Procedures for identifying the strengths and needs of children, young people or families</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"><li>• A policy or procedure for identifying and assessing the strengths and needs of children, young people and their families supplementary to the departmental needs assessment. This may include assessment and planning procedures that cover:<ul style="list-style-type: none"><li>- family connections</li><li>- culture and other significant relationships</li><li>- physical care</li><li>- emotional care</li><li>- education needs</li><li>- material needs</li><li>- behaviour needs</li><li>- medical needs</li><li>- the need for participation and inclusion (allowing for the age and development of the child and the length of stay).</li></ul></li><li>• A policy or procedure which describes how to assess the needs of the child and includes:<ul style="list-style-type: none"><li>- how to identify and assess a child or young person's needs</li><li>- who will be involved in the assessment of needs</li><li>- when the assessment will take place, for example on arrival, the first week, when the child is ready, etc.</li><li>- what needs to be recorded and where to record it</li><li>- the evidence base or theory for the interventions used in the service.</li></ul></li><li>• Service referral, assessment and planning proforma.</li></ul>	





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<p>2.1.3  <b>Procedures for planning the delivery of services to children, young people or families</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which describes how to plan the delivery of a service to an individual child, including:               <ul style="list-style-type: none"> <li>- individual service care plans for the child or young person in line with the department’s case plan</li> <li>- how to develop goals for the child or young person at the service</li> <li>- strategies to reach those goals</li> <li>- strategies for working with young people</li> <li>- where the case plan developed by the department includes family involvement, how the planning by the service responds to this</li> <li>- how to record the individual service care plan on the child’s file</li> <li>- who will undertake the individual service care planning</li> <li>- how soon after the arrival of the child at the service will the individual service care plan be developed</li> <li>- how the service will manage the individual service care plan, and who will manage it.</li> </ul> </li> <li>• A cultural support plan guide and proforma.</li> <li>• Individual service care plan proforma to help manage the complex needs of a child or young person.</li> <li>• A process to respond to the needs of children or young people affected by or at risk of HIV, HCV (Hepatitis C Virus) and other STD (Sexually Transmitted Diseases).</li> <li>• Service referral, assessment and planning proforma.</li> </ul>	





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2.1.4 <b>Procedures for delivering services to children, young people or families</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure which describes how the individual service care plans are implemented and the implementation is recorded, including:<ul style="list-style-type: none"><li>- how delivery is recorded in a day book or diary or in the clients' files, and which events should be recorded</li><li>- recording progress towards goals in the individual service care plan</li><li>- how the service decides on the principal worker and their role in implementing the individual service care plan</li><li>- responsibilities of other care staff and direction for support workers</li><li>- strategies to ensure services are inclusive</li><li>- procedures for delivering services in a culturally sensitive way</li><li>- who is responsible for keeping records</li><li>- when and how frequently records should be made</li></ul></li><li>• Cultural support plan guide and proforma.</li><li>• A proforma to help manage the complex needs of a child or young person.</li></ul>	
2.1.5 <b>Procedures for reviewing plans</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure which describes how to review individual service care plans, which may include:<ul style="list-style-type: none"><li>- reporting progress against care/case plans</li><li>- staff shift handover reports</li><li>- how often the individual service care plan will be reviewed</li><li>- the staff, carers, children and others involved in reviewing the plan</li><li>- how to record the review, for example in the client file</li><li>- what information is needed for a review</li><li>- how to report reviews back to the department.</li></ul></li></ul>	





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<p>2.1.6 Procedures for transitioning children, young people or families from the service</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure for identifying the needs of children and young people exiting the service/transitioning from the service, including:               <ul style="list-style-type: none"> <li>- how to identify the child or young person’s transition needs</li> <li>- how information about the family provided to the service by the department is used to support the child or young person if they are transitioning home</li> <li>- when to begin the transition process</li> <li>- the support needs of the child or young person</li> <li>- how transition will work, for example what information to give to the child and when, when they will transition, support to the child, etc.</li> <li>- who needs to be involved in the transition process.</li> </ul> </li> </ul>	
<p>2.1.7 Procedures for working cooperatively with the department and other agencies to meet the range of relevant needs</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Existing agreements relating to working cooperatively with the department or other agencies to meet the needs of children and young people, including Indigenous children and young people, such as:               <ul style="list-style-type: none"> <li>- partnership agreements</li> <li>- memoranda of understanding</li> <li>- minutes of meetings between the service and the department or other agencies.</li> </ul> </li> <li>• A policy or procedure which describes how the service works with the department, and may include:               <ul style="list-style-type: none"> <li>- how to work together to plan individual services</li> <li>- how the service contributes to developing departmental case plans</li> <li>- the process for coordination of referrals</li> <li>- how the service monitors service capacity and reports to the department</li> <li>- when it is necessary to contact and work with the department</li> <li>- which staff need to maintain contact with departmental officers</li> <li>- who in the department should be contacted.</li> </ul> </li> </ul>	





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2.1.8 <b>Procedures for matching the needs of children and young people requiring out-of-home care with the care environment</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• A policy or procedure which describes how a child is matched to the care environment, which includes:               <ul style="list-style-type: none"> <li>- criteria for matching the child to the living environment</li> <li>- who will be responsible for matching the child with the living environment</li> <li>- how the matching process ensures the placement will meet the Statement of Standards</li> <li>- the rights of the child</li> <li>- where no match is available, recording why no suitable match is available</li> <li>- referral, assessment and planning processes and related forms</li> </ul> </li> <li>• Intake forms</li> </ul>	
2.1.9 <b>Procedures for providing positive behaviour support to children and young people in out-of-home care</b>	<b>Mandatory evidence</b> <ul style="list-style-type: none"> <li>• A policy on positive behaviour support which meets the legislated requirements and aligns to the Departmental Positive Behaviour Support Policy, including               <ul style="list-style-type: none"> <li>- excluding the use of planned reactive responses and prohibited practices, and</li> <li>- reporting and recording requirements aligned to the service's incident reporting processes.</li> </ul> </li> </ul> <b>Example</b> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- meeting the Statement of Standards</li> <li>- strategies for working with children and young people</li> <li>- implementing Departmental Behaviour Support Plans</li> <li>- defining positive behaviour support techniques and how to use them</li> <li>- what records must be kept and how/where to record them, for example day book/diary, client files, incident form to record interventions</li> <li>- how to use the incident reporting processes</li> <li>- strategies for goal setting</li> <li>- strategies for behavioural intervention</li> <li>- a review process of the child or young person's behaviour support needs</li> <li>- a process for reporting behavioural achievements, for example via staff shift handover reports, monthly reports.</li> </ul> </li> </ul>	<b>Child Protection Act 1999</b> <ul style="list-style-type: none"> <li>• The service must provide positive guidance to help a child change inappropriate behaviour that does not include corporal punishment or humiliate, threaten or frighten the child in a way which could cause emotional harm (S122 (1)(g),(2)).</li> </ul> <b>Child Protection Regulation 2000</b> <ul style="list-style-type: none"> <li>• The service must record any significant event, for example punishment received by the child at the facility, and allow the department to inspect these records (S4 (2) (f) and S4 (3) and S4 (4)).</li> </ul>





## Appendix 2: Evidence guide

### Standard for responding to the needs of children, young people and their families – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
2.3.1 Records of initial assessments of people's needs	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Child file records which include:               <ul style="list-style-type: none"> <li>- a copy of the department's case plan</li> <li>- assessment and planning forms, detailing family connections, cultural and other significant relationships, physical care, emotional care, education, material needs, behaviour, medical, and need to participate, additional to the case plan (allowing for the age and development of the child and the length of stay)</li> <li>- referral forms.</li> <li>- meetings / discussions with the child, young person and or their family</li> </ul> </li> </ul>	
2.3.2 Records of use of reactive responses and prohibited practices, and advice to the department of their use	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Completed incident reports/notification to the department of any use of reactive responses or prohibited practices.</li> <li>• Completed staff shift handover reports.</li> <li>• Records on client files of reactive responses or prohibited practices being used.</li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• The service must provide positive guidance to help a child change inappropriate behaviour that does not include corporal punishment or humiliate, threaten or frighten the child in a way which could cause emotional harm (S122 (1)(g),(2)).</li> </ul> <p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• The service must record any significant event, for example punishment received by the child at the facility, and allow the department to inspect these records (S4 (2) (f) and S4 (3) and S4 (4)).</li> </ul>





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Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
2.3.3 <b>Records of staff training in positive behaviour support and the use of reactive responses</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Certificates of training on staff files</li><li>• Quarterly service meeting minutes or notes to support the provision of training.</li><li>• Records on staff files of training in positive behaviour support</li><li>• Register of staff training which includes a list of participants in positive behaviour support training.</li></ul>	<b><i>Child Protection Act 1999</i></b> <ul style="list-style-type: none"><li>• The service must provide positive guidance to help a child change inappropriate behaviour that does not include corporal punishment or humiliate, threaten or frighten the child in a way which could cause emotional harm (S122 (1)(g),(2)).</li><li>• The service must have suitable methods of training for staff engaged in providing the service (S126 (f)).</li></ul>
2.3.4 <b>Records of service care plans</b>	<b>Example</b> <ul style="list-style-type: none"><li>• Completed individual service care plans showing strengths, needs, goals and strategies for individuals which support the departmental case plan.</li><li>• Records showing the involvement of other agencies, such as Aboriginal and Torres Strait Islander agencies, where identified in the departmental case plan.</li></ul>	
2.3.5 <b>Records of ongoing case work</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Records of case work (notes, meetings, correspondence).</li><li>• Records of ongoing assessment and review.</li><li>• Case notes showing involvement of other agencies.</li><li>• Completed daily diary recording case work.</li><li>• Staff shift handover reports.</li><li>• Notes on individual child or young person's files.</li></ul>	





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2.3.6 Records of transitional arrangements	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Records showing the needs of children or young people transitioning from the service.</li><li>• Records of assistance provided leading up to and during transition.</li><li>• Records of the arrangements for transitioning.</li><li>• Evidence of follow up to ensure assistance is being provided.</li><li>• Case notes showing the involvement of other agencies.</li><li>• Advice provided to the department in relation to transition planning.</li><li>• Completed daily diary showing the implementation of transitional arrangements.</li><li>• Staff shift handover reports.</li><li>• Case review minutes.</li><li>• Notes on individual child or young person's files.</li></ul>	
2.3.7 Records of involvement of other agencies	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Completed referral, assessment and planning forms.</li><li>• Completed notes on child files showing the involvement of other agencies.</li><li>• Minutes/records of discussions between the child safety service centre (CSSC) and the service agreeing the involvement of other agencies.</li></ul>	
2.3.8 Records of interagency cooperation	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Minutes/records of discussions between the CSSC and the service</li><li>• Completed monthly reports.</li><li>• Minutes of quarterly service meetings.</li><li>• Formal agreements, such as partnership agreements, protocols, or memoranda of understanding.</li><li>• Records of processes undertaken in line with inter-agency agreements.</li></ul>	





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Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<b>2.3.9</b> <b>Records of matching the needs of children and young people with placements</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• Copy of the departmental needs assessment on file.</li><li>• Records of foster carer places and other places considered and reasons for places being considered.</li><li>• Record of the selection of a place and the reason for the selection.</li><li>• Minutes/records of discussions between the CSSC and the service relating to the matching of a child to the living environment.</li><li>• Completed referral, assessment and planning forms on child files (all forms should be consistent with procedure).</li><li>• Foster Care Agreements.</li><li>• Child or young person's case file notes showing matching considerations.</li></ul>	





## Appendix 2: Evidence guide

### Standard for participation and choice – Process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>3.1.1 Strategies for facilitating the participation of children, young people or families in decisions that affect their lives and choice in the way that services are delivered</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A process to provide opportunities to children and young people to participate in decisions about their care and protection needs, which are consistent with the principles of the <i>Child Protection Act 1999</i>.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Policies that promote the rights and responsibilities of children, young people and families.</li> <li>• A policy or procedure that explains how the child or young person is encouraged to participate in decisions, including:               <ul style="list-style-type: none"> <li>- how the service involves children and young people in making decisions</li> <li>- how to encourage participation</li> <li>- which staff will be responsible for encouraging and supporting participation</li> <li>- which decisions are most important for the child or young person to participate in</li> <li>- age appropriate information on opportunities for children and young people to participate in decisions that affect their lives, and choice in the way services are delivered</li> <li>- information on house rules, consent to release information, client rights and responsibilities, and the “Charter of rights for a child in care”</li> <li>- how the child or young person can make a complaint or give feedback</li> <li>- admission and initial interview procedures including how the child or young person can participate</li> <li>- an individual service care plan proforma</li> <li>- how to work with children and young people</li> <li>- use of a day book or diary to record the opinions of the child or young person.</li> </ul> </li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• The service must provide opportunities for the child or young person to participate in, and be informed about, decisions regarding their care and protection needs (S5(2)(g)(h), 122, 74; Schedule 1 Charter of rights for a child in care (d)).</li> </ul>





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3.1.2 <b>Strategies for supporting children, young people or families using services to move towards self-reliance and inclusion in the community where appropriate</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure covering self-reliance and inclusion in the community, including:<ul style="list-style-type: none"><li>- how to involve children and young people in individual service care plans and goal setting</li><li>- when the service should include the child or young person</li><li>- which staff will facilitate the inclusion of the child or young person</li><li>- working with children and young people</li><li>- how to prepare monthly reports which comprise a review of community connections achieved and identifies barriers to assistance</li><li>- recording participation on client files</li><li>- use of a day book or diary showing relevant records.</li></ul></li></ul>	





## Appendix 2: Evidence guide

### Standard for participation and choice – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>3.3.1 Information provided to children, young people or families about participation in decision making and choice in the way services are delivered</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Completed individual service care plans showing how the child has participated in decisions and made choices.</li> <li>• Completed checklists detailing information given to children and young people.</li> <li>• Client files which include case notes that show a record of the child or young person having received induction material and information on their rights and responsibilities, for example how to contact their community visitor, how to make a complaint etc.</li> <li>• Pamphlets promoting participation.</li> <li>• Printed information materials about participation in decision making.</li> <li>• Minutes or notes showing children or young people participating in house meetings (for residential services).</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The service must provide opportunities for the child or young person to participate in, and be informed about, decisions regarding their care and protection needs (S5(2)(g)(h), 122, 74; Schedule 1 Charter of rights for a child in care (d)).</li> </ul>
<p>3.3.2 Records showing participation of children, young people or families in decisions directly affecting them and choices made by people about the way services are delivered</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Completed individual service care plans showing how the child has participated in decisions.</li> <li>• Daily diary records, case notes, meeting records and correspondence demonstrating that the child or young person has participated in decisions.</li> <li>• Staff shift handover reports which show client participation in activities and decisions.</li> <li>• Records of the options the service made available to the child or young person in the community to build supportive relationships.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The service must provide opportunities for the child or young person to participate in, and be informed about, decisions regarding their care and protection needs (S5(2)(g)(h), 122, 74; Schedule 1 Charter of rights for a child in care (d)).</li> </ul>





## Appendix 2: Evidence guide

### Standard for confidentiality and privacy – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>4.1.1 Procedures related to collection and secure storage of client data</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• The service must have a process to ensure the privacy of the child’s personal information.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which covers collection and storage of information, including: <ul style="list-style-type: none"> <li>- where and how information is securely stored</li> <li>- protecting against unauthorised access and use of information</li> <li>- which records are kept/information is collected</li> <li>- who will collect the information</li> <li>- how the information will be collected</li> <li>- how long information will be stored</li> <li>- who has access to information and when</li> <li>- privacy of information, and providing a privacy notice when information is collected</li> <li>- filing procedures</li> <li>- security of the computer file system</li> <li>- confidentiality of information</li> <li>- what information can be disclosed, when and by whom</li> <li>- rights and responsibilities when collecting information</li> <li>- provision for the department to inspect records.</li> </ul> </li> </ul> <p>Note: the department’s record keeping guidelines provide important guidance.</p>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• All services must ensure the child’s right to privacy, including, for example, in relation to the child’s personal information (Schedule 1 (f), Charter of rights for a child in care)</li> </ul> <p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• A licensee must keep, and allow Chief Executive to inspect, records (S4).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
4.1.2 <b>Procedures related to the transfer of client records to the department</b>	<b>Mandatory evidence</b> <ul style="list-style-type: none"> <li>The service must have a process to ensure the privacy of the child’s personal information.</li> </ul> <b>Examples of evidence</b> <ul style="list-style-type: none"> <li>A policy or procedure which includes:               <ul style="list-style-type: none"> <li>how to decide which records must be returned to the department</li> <li>when records should be returned to the department, including the transfer of client records when services to the child or young person cease.</li> <li>how records are returned to the department.</li> </ul> </li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>All services must ensure the child’s right to privacy, including, for example, in relation to the child’s personal information (Schedule 1 (f), Charter of rights for a child in care).</li> </ul>
4.1.3 <b>Procedures for informing people about confidentiality, limits to confidentiality, and for the sharing of personal information</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>A process for providing a privacy notice to people that the service collects information from (the service agreement requires this).</li> <li>A policy or procedure to inform people about confidentiality, including:               <ul style="list-style-type: none"> <li>informing people at induction and the initial interview about confidentiality</li> <li>a description of confidentiality and limits to confidentiality</li> <li>who will need to be advised about confidentiality and limits to confidentiality</li> <li>how people will be informed about confidentiality, who will inform them and when they will inform them</li> <li>confidential information obligations of staff, volunteers and management committee members.</li> </ul> </li> </ul>	





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>4.1.4 Procedures for ensuring that children, young people or families get access to their personal information when they require it</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A process that ensures accessibility of information.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure explaining how the service ensures children, young people and families can access personal information which includes:               <ul style="list-style-type: none"> <li>- who can request access to information</li> <li>- how they can request access to information held by the service</li> <li>- processes to redirect enquires, as appropriate, to the department</li> <li>- what information can be released</li> <li>- a consent form for the release personal information</li> <li>- a freedom of information (FOI) request form</li> <li>- what material is subject to FOI or a process to decide this.</li> </ul> </li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• All services must ensure that children in care are given information about decisions and plans concerning their future and personal history, having regard to their age or ability to understand (Schedule 1 (e), Charter of rights for a child in care).</li> </ul> <p><b>Other relevant requirements</b></p> <ul style="list-style-type: none"> <li>• The <i>Freedom of Information Act</i> allows a child to request information held by the department or its agents (S8 and S21) – placement services are an agent of the department and the department legally has ownership of NGO placement service files that relate to clients of the Department of Child Safety. Therefore these particular non-government organisation (NGO) files are also subject to departmental FOI and privacy provisions.</li> </ul>
<p>4.1.5 Procedures for ensuring that the living environment for children and young people in out-of-home care allows for age, development, gender and culturally appropriate privacy</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure that describes how privacy in the living environment is ensured, which includes:               <ul style="list-style-type: none"> <li>- sleeping arrangements</li> <li>- maintaining personal possessions</li> <li>- personal care.</li> </ul> </li> </ul>	





## Appendix 2: Evidence guide

### Standard for confidentiality and privacy – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
4.3.1 <b>Security and storage of client data</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Services have secure filing cabinets for client files.</li> <li>• Computer files are password protected.</li> <li>• Information is securely stored.</li> <li>• Records of information or training given to staff, volunteers and management board members about confidentiality of personal information.</li> </ul>	<b>Child Protection Act 1999</b> <ul style="list-style-type: none"> <li>• All services must ensure the child’s right to privacy, including, for example, in relation to the child’s personal information (Schedule 1 (f), Charter of rights for a child in care).</li> </ul> <b>Child Protection Regulation 2000</b> <ul style="list-style-type: none"> <li>• A licensee must keep, and allow the Chief Executive to inspect, records (S4).</li> </ul>
4.3.2 <b>Records of information provided to people using services and sharing of information</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of information being provided to the client about information collected by the service and how it is used.</li> <li>• Records of information provided to the client about confidentiality and limits to confidentiality.</li> <li>• Records of information shared in line with legislated and departmental requirements</li> </ul>	





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>4.3.3 Records of client access to information</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Records of requests for access to client information from clients or their families.</li> <li>Records of processing requests for access to information.</li> <li>Records of outcome of requests and how access was provided.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>All services must ensure that children in care are given information about decisions and plans concerning their future and personal history, having regard to their age or ability to understand (Schedule 1 (e), Charter of rights for a child in care).</li> </ul> <p><b>Other relevant requirements</b></p> <ul style="list-style-type: none"> <li>The <i>Freedom of Information Act</i> allows a child to request information held by the department or its agents (S8 and S21) – placement services are an agent of the department and the department legally has ownership of NGO placement service files that relate to clients of the Department of Child Safety. Therefore these particular NGO files are also subject to departmental FOI and privacy provisions.</li> </ul>
<p>4.3.4 Evidence of how physical space is arranged to provide privacy</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Private interview rooms.</li> <li>Appropriate personal space for each child and young person.</li> </ul>	
<p>4.3.5 Evidence of how the living environment is organised to ensure privacy</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Locks on bathroom doors.</li> <li>Appropriate (private) sleeping arrangements.</li> <li>Personal space for the child or young person.</li> <li>Personal secure storage space for the child or young person.</li> <li>Space provided for the child to young person to meet with others in privacy.</li> </ul>	





## Appendix 2: Evidence guide

### Standard for feedback, complaints and appeals – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>5.1.1 Procedures for how children, young people or families using services can provide feedback on their experiences in the service</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure explaining how the service ensures children, young people and families can provide feedback, including:               <ul style="list-style-type: none"> <li>- comments or suggestion forms to provide feedback</li> <li>- how day-to-day discussions, house meetings and other feedback is captured and recorded</li> <li>- information on how the service includes the contribution of children and young people in the development, implementation and review of the service</li> <li>- how feedback is sought, collated and used to improve services</li> <li>- when feedback will be actively sought</li> <li>- who will review the feedback provided.</li> </ul> </li> </ul>	
<p>5.1.2 Procedures for providing information to children, young people or families using services about their right to make internal complaints</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A procedure for providing a statement of consumer rights to the service users (the service agreement requires this), including who will provide the statement and when it will be provided.</li> <li>• A policy or procedure explaining how the service ensures children, young people and families know they can make complaints, (the service agreement requires a disputes resolution procedure for service users) which includes:               <ul style="list-style-type: none"> <li>- how the complaint can be made</li> <li>- what constitutes a complaint</li> <li>- who will respond to the complaint</li> <li>- how they will respond</li> <li>- timeframes for responding to a complaint</li> <li>- age appropriate verbal and written information regarding processes is given to the young person.</li> </ul> </li> </ul>	<p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• Licensee must keep records of complaints and actions taken (S 4(2) (d) (i) and (ii)).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>5.1.3  <b>Procedures for managing internal complaints from children, young people or families using services</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A procedure for providing a statement of consumer rights to the service users (the service agreement requires this), including who will provide the statement and when it will be provided.</li> <li>• A policy or procedure explaining how the service manages internal complaints, (the service agreement requires a disputes resolution procedure for service users) including:               <ul style="list-style-type: none"> <li>- how the complaint can be made</li> <li>- what constitutes a complaint</li> <li>- who will respond to the complaint</li> <li>- how quickly a response will occur</li> <li>- how the complaint is resolved or escalated</li> <li>- how complaints are recorded</li> <li>- a form for reporting complaints</li> <li>- a register for tracking the management of complaints</li> <li>- procedures for responding to an informal and formal complaint</li> <li>- how the complainant is advised of the outcome of the complaint</li> <li>- how informal and formal complaints are reviewed to improve services.</li> </ul> </li> </ul>	<p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Licensee must keep records of complaints and actions taken (S 4(2) (d) (i) and (ii)).</li> </ul>
<p>5.1.4  <b>Procedures for informing children, young people or families using the service about how to access external complaints and appeals mechanisms</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A complaints procedure that outlines external complaints and appeal processes for children, young people and/or families aligned with the department’s complaints management policy (the service agreement requires this).</li> <li>• A statement of consumer rights for service users (the service agreement requires this).</li> <li>• A policy or procedure explaining how the service informs children, young people and families about how to make external complaints, including:               <ul style="list-style-type: none"> <li>- information at induction that tells children and young people their rights to access external complaints and appeal processes, for example Community Visitors, Commission for Children and Young People and Child Guardian or Children Services Tribunal</li> <li>- information about external complaints processes from the service that is age appropriate</li> <li>- how the service can assist the child, for example making contact on the child’s behalf, advocating for the child etc.</li> <li>- how information provided is recorded.</li> </ul> </li> </ul>	<p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Licensee must keep records of complaints and actions taken (S4(2) (d) (i) and (ii)).</li> </ul> <p><b>Department Policies</b></p> <ul style="list-style-type: none"> <li>• Complaints Management Policy (295–3) – refer to matters raised in relation to non-government service providers (4.4).</li> </ul>





## Appendix 2: Evidence guide

### Standard for feedback, complaints and appeals – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
5.3.1 <b>Records of client feedback and levels of satisfaction</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Community Visitor reports showing anonymous feedback provided by clients.</li> <li>• Staff shift handover reports showing improvement made to services arising from feedback suggestions.</li> <li>• Reports showing stakeholder feedback is collated and reported to staff and management.</li> <li>• Stakeholder feedback.</li> <li>• Records of feedback made in day book or staff shift handover reports.</li> <li>• Records of suggestions made in house meetings.</li> </ul>	
5.3.2 <b>Records of client complaints and how they were managed internally</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Completed client complaint registers.</li> <li>• Completed client complaint forms.</li> <li>• Records of individual complaints and how they were managed.</li> <li>• Record of how the outcome was communicated to the child or young person.</li> <li>• Records of actions taken in response to complaints.</li> </ul>	<i>Child Protection Regulation 2000</i> <ul style="list-style-type: none"> <li>• Licensee must keep records of complaints and actions taken (S4(2) (d) (i) and (ii)).</li> </ul>
5.3.3 <b>Records of reviews of client complaints and implications for service delivery</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Completed records that show the tracking and management of complaints.</li> <li>• Records that show the review and analysis of trends of informal and formal complaints to improve services, for example minutes of meetings.</li> </ul>	<i>Child Protection Regulation 2000</i> <ul style="list-style-type: none"> <li>• Licensee must keep records of complaints and actions taken (S4(2) (d) (i) and (ii)).</li> </ul>





## Appendix 2: Evidence guide

### Standard for protecting the safety of children and young people – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>6.1.1 <b>Documented strategies for preventing and managing harm to children and young people arising out of services received</b></p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A matters of concern policy (to comply with the standards this should align with the departmental <i>Child Safety Practice Manual</i>. (Ch9)).</li> <li>• A process to report harm, (to comply with the standards this should align to the critical incidents policy in the departmental <i>Child Safety Practice Manual</i> (Ch13)) including:               <ul style="list-style-type: none"> <li>- what constitutes harm, and how to report harm to the department</li> <li>- how to record the harm.</li> </ul> </li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A risk management strategy (as required by the CCYPCG Act).</li> <li>• A policy or procedure to:               <ul style="list-style-type: none"> <li>- maintain fire exits</li> <li>- maintain fire equipment and installations</li> <li>- review the evacuation plan, and</li> <li>- for buildings with more than six people a fire management plan covering items such as the number of occupants allowed in the building.</li> </ul> </li> <li>• A policy or procedure which represents reasonable workplace health and safety precautions and reasonable diligence.</li> <li>• A policy or procedure explaining how the service proactively prevents harm, including:               <ul style="list-style-type: none"> <li>- security in the house</li> <li>- hygiene</li> <li>- use of motor vehicles</li> <li>- monitoring telephone calls for appropriate, safe usage</li> <li>- emergency situations</li> <li>- personal safety of children and young people</li> <li>- an emergency evacuation plan</li> <li>- a risk management process that sets out how risks will be proactively identified and addressed to prevent harm</li> <li>- for larger organisations, where a workplace health and safety officer is required under legislation, the role and responsibilities of the workplace health and safety officer.</li> </ul> </li> </ul>	<p><b>Child Protection Act 1999</b></p> <ul style="list-style-type: none"> <li>• All services must report harm to the department(S 148).</li> </ul> <p><b>Child Protection Regulation 2000</b></p> <ul style="list-style-type: none"> <li>• Licensee must have a policy about reporting matters of concern (S3).</li> <li>• Licensee must keep records under this section (S4 (e) and (f)).</li> <li>• All services must keep records of key particulars when reporting harm (S11).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• Services must have a risk management strategy under the <i>Commission for Children and Young People and Child Guardian Act 2000</i> (CCYPCG Act).</li> <li>• Various fire and building safety Acts and regulations apply to the safety of children in a placement:               <ul style="list-style-type: none"> <li>- The service must maintain fire exits and all fire safety installations and maintain a fire and evacuation plan and a fire management plan, <i>Fire and Rescue Safety Act 1990</i> Part 9A and <i>Building Fire Safety Regulations 1991</i> and <i>2001</i> and <i>Building Act 1975</i> S12B</li> <li>- The service must choose an appropriate method to take</li> </ul> </li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
		reasonable precautions and exercise reasonable diligence to meet obligations under the <i>Workplace Health and Safety Act 1995</i> .
6.1.2 <b>Procedures for managing outcomes of investigations of harm in partnership with the department.</b>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A matters of concern policy (to comply with the standards this should align with the departmental <i>Child Safety Practice Manual</i>. (Ch9)).</li> <li>• A process to report harm, (to comply with the standards this should align to the critical incidents policy in the departmental <i>Child Safety Practice Manual</i> (Ch13)) including: <ul style="list-style-type: none"> <li>- what constitutes harm, and how to report harm to the department</li> <li>- how to record the harm.</li> </ul> </li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which sets out processes for staff, not only in relation to reporting matters of concern but also detailed procedures for: <ul style="list-style-type: none"> <li>- working in partnership with the department</li> <li>- taking appropriate steps when it is a staff member under suspicion</li> <li>- providing support to the young person.</li> </ul> </li> <li>• A register for recording and tracking the service’s responses to critical incidents and matters of concerns, for example, date, progress of investigation, follow up actions, when actions are finalised.</li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• All services must report harm (S148).</li> </ul> <p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• Licensee must have a policy about reporting matters of concern (S3).</li> <li>• Licensee must keep records under this section (S4 (e) and (f)).</li> <li>• All services must keep records of key particulars when reporting harm (S11).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>6.1.3  <b>Procedures for responding to a disclosure of harm or potential harm, including a risk of suicide or self harm (not arising out of services received)</b></p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A matters of concern policy (to comply with the standards this should align with the departmental <i>Child Safety Practice Manual</i>. (Ch9)).</li> <li>• A process to report harm, (to comply with the standards this should align to the critical incidents policy in the departmental <i>Child Safety Practice Manual</i> (Ch13)) including: <ul style="list-style-type: none"> <li>- what constitutes harm, and how to report harm to the department</li> <li>- how to record the harm.</li> </ul> </li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which includes: <ul style="list-style-type: none"> <li>- security in the house</li> <li>- hygiene</li> <li>- confidentiality</li> <li>- disclosure</li> <li>- use of motor vehicles</li> <li>- monitoring telephone calls for appropriate, safe usage</li> <li>- emergency situations</li> <li>- personal safety of children and young people</li> <li>- an emergency evacuation plan.</li> </ul> </li> <li>• A risk management process that sets out how risks will be proactively identified and addressed to prevent harm.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• All services must report harm (S148).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Licensee must keep records under this section (S4 (e) and (f)).</li> <li>• All services must keep records of key particulars when reporting harm (S11).</li> </ul> <p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• Outlines the department’s critical incident reporting policy and procedure; services policy must align with the department’s policy (Ch13).</li> </ul>





## Appendix 2: Evidence guide

### Standard for protecting the safety of children and young people – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>6.3.1 Records of allegations or incidents of harm arising out of services provided</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>Records of report/s provided immediately to the department.</li> <li>Records of allegations or incidents of harm from services provided.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Records of immediate actions taken as necessary, for example suspending staff, moving the child to a safe place.</li> <li>Copies of letters on file from department raising a matter of concern.</li> <li>Records of action taken in view of the outcomes of the investigations e.g. review of foster care agreement, action plan to address matters of concern in relation to foster carer or staff member.</li> <li>Completed incident reports on client files.</li> <li>Completed matters of concern forms on client files.</li> <li>Case notes reflect service’s contact with the department regarding allegation or incident of harm.</li> <li>Staff files demonstrate reports if allegation concerns a staff member.</li> <li>Records showing cooperation with the department, the police or other agencies as required.</li> <li>Records of how the service followed up outstanding issues with the department where necessary.</li> </ul>	<p><i>Child Protection Act 1999</i> All services must report harm (S148). <i>Child Protection Regulation 2000</i> Licensee must have a policy about reporting matters of concern (S3). Licensee must keep records under this section (S4 (2)(e) and (f)). All services must keep records of key particulars when reporting harm (S11).</p>
<p>6.3.2 Records of disclosures of harm not arising out of services provided</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>Records of report/s of harm provided immediately to the department.</li> <li>Records of allegations or incidents of harm not arising from services provided such as an incident or concern register.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Case notes demonstrating support to the child or young person in response to a disclosure of harm.</li> <li>Copy of advice of the disclosure of harm provided to the department.</li> <li>Critical incident registers, records of actions taken in view of the outcomes.</li> <li>Completed incident report forms that contain details of an incident of disclosure of harm (including self harm).</li> </ul>	<p><i>Child Protection Act 1999</i> All services must report harm (S148). <i>Child Protection Regulation 2000</i> Licensee must keep records under this section (S4 (2)(e) and (f)). All services must keep records of key particulars when reporting harm (S11).</p>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>6.3.3 Records of learning and training aimed at protecting people using services from harm and reporting harm</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Record of participation of staff, carers and other volunteers in training or other learning processes aimed at protecting people using services from harm.</li> <li>Record of participation of staff, carers and other volunteers in training or other learning processes aimed at identifying, recording and reporting harm.</li> <li>Quarterly service meeting minutes indicate information presented on this topic.</li> </ul>	<p><b>Child Protection Act 1999</b></p> <ul style="list-style-type: none"> <li>All services must report harm (S148).</li> <li>Services are required to use suitable methods for the selection, training and management of staff (S126(f)).</li> <li>Services ensure staff, carers and other volunteers are aware of their rights for protection from liability for giving information (S159Q).</li> </ul> <p><b>Child Protection Regulation 2000</b></p> <ul style="list-style-type: none"> <li>The service supports staff in reporting matters of concern and provides the address and contact details for reporting harm (S3).</li> </ul>
<p>6.3.4 Evidence of safety of the buildings and physical environment in which services are delivered</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Certification of registration of a workplace.</li> <li>Maintenance records of fire safety equipment.</li> <li>Fire evacuation plan.</li> <li>Fire exits are clearly marked and not obstructed.</li> <li>Fire alarm has been tested (records showing tests).</li> <li>Fire management plan for services with more than six occupants.</li> <li>Risk management strategy.</li> <li>Dangerous items, such as chemicals and knives, are stored safely.</li> <li>Completed internal audits of workplace health and safety.</li> <li>Minutes of workplace health and safety committee meetings.</li> </ul>	<p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>The risk management strategy required under the CCYPCG Act must assess the risk of harm and prevent it.</li> <li>Various fire and building safety Acts and regulations apply to the safety of children in a placement:             <ul style="list-style-type: none"> <li>The service must maintain fire exits and all fire safety installations and maintain a fire and evacuation plan and a fire management plan, <i>Fire and Rescue Safety Act 1990</i> Part 9A and <i>Building Fire Safety Regulations 1991</i> and <i>2001</i> and <i>Building Act 1975</i> S12B.</li> <li>The service must choose an appropriate method to take reasonable precautions and</li> </ul> </li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
		exercise reasonable diligence to meet obligations under the <i>Workplace Health and Safety Act 1995</i> .





## Appendix 2: Evidence guide

### Standard for the recruitment and selection processes for staff, carers and volunteers – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>7.1.1 Procedures for recruiting staff and contracted workers</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>A procedure covering how the service checks the suitability of staff and contracted workers in line with legislated and departmental requirements, such as blue cards, etc.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Additional to the suitability checks above, a policy covering how the service checks the suitability of staff and contracted workers, such as referee checks, qualification checks, etc.</li> <li>A policy or procedure covering the open merit selection and recruitment of staff (the service agreement requires this) including:               <ul style="list-style-type: none"> <li>how selection and recruitment operates in the service</li> <li>how vacancies are advertised to the community</li> <li>preparing position descriptions and providing them to staff</li> <li>managing conflicts of interest</li> <li>meeting the needs of the target group via recruiting suitable staff</li> <li>an interview process proforma</li> <li>an interview questions proforma</li> <li>a staff appointment policy</li> <li>access and equity</li> <li>a referee questionnaire</li> <li>how and when to record selection and recruitment processes.</li> </ul> </li> <li>Information pack for applicants.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>The applicant for a licence must be a suitable entity (S126 (a)).</li> <li>The following persons must be suitable and have a current positive prescribed notice (S126 (b) and (c)):               <ul style="list-style-type: none"> <li>Directors, nominees, the manager of the service, persons engaged to provide care.</li> </ul> </li> <li>The service must comply with the CCYPCG Act, part 6 (s. 126 (d))</li> <li>Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> <li>The nominee will ensure the standard of care (S130).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>Definitions of suitable persons (S9).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>Services must ensure the screening of staff engaged in regulated employment (The CCYPCG Act, part 6).</li> </ul>
<p>7.1.2 Procedures for finding carers</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>A policy or procedure covering how to find foster carers which includes:               <ul style="list-style-type: none"> <li>who a suitable foster carer would be</li> <li>how the organisation matches foster carer capacity with the target group</li> <li>strategies to locate carers</li> <li>how previous recruitment has informed current practice.</li> </ul> </li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>Description of the process to approve a suitable foster carer (S133 – S135).</li> </ul> <p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>Description of suitable foster carers (Ch8.1).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>7.1.3  <b>Procedure for screening, assessment and selection of carers</b></p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure that reflects the <i>Child Safety Practice Manual</i> chapter 8 and includes information on:               <ul style="list-style-type: none"> <li>- screening (personal, medical, household and referee checks)</li> <li>- assessment</li> <li>- pre-service training</li> <li>- approval</li> <li>- managing the outcomes of approvals</li> <li>- standard and advanced training</li> <li>- re-approvals</li> <li>- working with the department</li> <li>- foster carer agreements</li> <li>- providing information to pre-approved foster carers.</li> </ul> </li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• The process for the issue and renewal of a certificate, including suitability (S133 and S134).</li> <li>• Restrictions on granting a certificate (S135).</li> <li>• Timeframe for the department to grant approvals (S143 and S143A).</li> </ul> <p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><b><i>Child Safety Practice Manual</i></b></p> <ul style="list-style-type: none"> <li>• Description of the screening, assessment, and approval of foster carers which services must follow (Ch8).</li> <li>• Foster carer agreements must be prepared using the process described in chapter 8.16.</li> </ul>
<p>7.1.4  <b>Procedures for recruiting volunteers</b></p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• A process for checking the suitability of volunteers in line with legislated and departmental requirements.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure for recruiting volunteers which includes:               <ul style="list-style-type: none"> <li>- how the need for volunteers is communicated to the community</li> <li>- preparing volunteer position descriptions</li> <li>- managing conflicts of interest</li> <li>- meeting the needs of the target group via recruiting suitable volunteers.</li> </ul> </li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>• The following persons must be suitable and have a current positive prescribed notice (S126 (b) and (c)):               <ul style="list-style-type: none"> <li>- Directors, nominees, the manager of the service, persons engaged to provide care.</li> </ul> </li> <li>• The service must comply with the CCYPCG Act, part 6 (S126 (d)).</li> <li>• The nominee will ensure the standard of care (S130).</li> </ul> <p><b><i>Child Protection Regulation 2000</i></b></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><b>Other relevant legislation</b></p>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
		<ul style="list-style-type: none"><li>• Services must ensure the screening of staff engaged in regulated employment (The CCYPCG Act, part 6).</li></ul>





## Appendix 2: Evidence guide

### Standard for the recruitment and selection processes for staff, carers and volunteers – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>7.3.1 <b>Records of recruitment processes for staff and contracted workers</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Job descriptions (the service agreement requires this).</li> <li>• Copies of advertisements and promotional material for positions.</li> <li>• Completed job applications.</li> <li>• Copies of selection criteria used, including skills required and qualifications.</li> <li>• Records of open merit selection such as assessment of candidates against selection criteria or interview questions completed (the service agreement requires this).</li> <li>• Appointment letters.</li> <li>• Staff files.</li> <li>• Records of referee checks.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> </ul>
<p>7.3.2 <b>Records of suitability and blue card checks for staff</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Records of blue card checks, number or application date.</li> <li>• Records of departmental suitability checks.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The applicant for a licence must be a suitable entity (S126 (a)).</li> <li>• The following persons must be suitable and have a current positive prescribed notice (S126 (b) and (c)):             <ul style="list-style-type: none"> <li>- Directors, nominees, the manager of the service, persons engaged to provide care.</li> </ul> </li> <li>• Comply with the CCYPCG Act, part 6 (S 126 (d)).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• Services must ensure the screening of staff engaged in regulated employment (The CCYPCG Act, part 6)</li> <li>• CCYPCG Act, Schedule 1, S99G.</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
7.3.3 Records of staff or contracted worker qualifications	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Copies of selection documents showing required qualifications.</li> <li>Records of successful candidates holding those qualifications, such as on staff files.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>The method for selection is suitable (S126 (f)).</li> </ul>
7.3.4 Records of processes used to find carers to meet the needs of the target group	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of the examination of the current capacity and matching to the target group.</li> <li>Descriptions of strategies used to find foster carers.</li> <li>Assessment of the success of those strategies.</li> <li>Advertisements.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>Description of the process to approve a suitable foster carer (S133 – S135).</li> </ul> <i>Child Safety Practice Manual</i> <ul style="list-style-type: none"> <li>Description of suitable foster carers (Ch8.1).</li> </ul>
7.3.5 Records of screening, assessing and selecting carers	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of screening (personal, medical, household and referee checks) foster carers.</li> <li>Records of assessment of foster carers.</li> <li>Evidence of carers' undertaking pre-service training.</li> <li>Records of recommendations for approvals and re-approvals.</li> <li>Copies of approvals and re-approvals by the department.</li> <li>Records of managing the outcomes of approvals.</li> <li>Records of carers undertaking standard and advanced training.</li> <li>Application for re-approvals of foster carers.</li> <li>File notes indicating contact between the service and the department seeking information about approvals/re-approvals.</li> <li>File notes indicating that the department has provided advice about the approval/re-approval status of carers.</li> <li>Records of carers current approval status.</li> <li>Foster carer agreements.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>Description of the process to approve a suitable foster carer (S133 – S135).</li> <li>Timeframe for the department to grant approvals (S143 and S143A).</li> </ul> <i>Child Protection Regulation 2000</i> <ul style="list-style-type: none"> <li>Definitions of suitable persons S.9).</li> </ul> <i>Child Safety Practice Manual</i> <ul style="list-style-type: none"> <li>Description of the screening, assessment, and approval of foster carers (Ch8, 8.24, 8.25).</li> </ul> <b>Departmental policies</b> <ul style="list-style-type: none"> <li>Services must provide the training programme set out by the department for foster carers (Policy No. 383-1: <i>Foster carer training</i>) including modules for standard and advanced training.</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>7.3.6 Records of information provided to make potential carers aware of the approval and re-approval requirements</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Copies of information provided to foster carers about the approval or re-approval requirements.</li> <li>• Record of foster carer acknowledgement of receipt of this information.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• Process for issue and renewal of a certificate, including suitability (S133 and S134).</li> <li>• Restrictions on granting a certificate (S135).</li> <li>• Timeframe for the department to grant approvals (S143 and S143A).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• Description of the screening, assessment, and approval of foster carers (Ch8).</li> </ul>
<p>7.3.7 Records of signed foster carer agreements including information about the rights and responsibilities of carers</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• Copies of foster carer agreements</li> <li>• Records of the annual review of Foster Carer Agreements.</li> <li>• Records of Part B and C of the Foster Carer Agreement being reviewed every six months</li> <li>• Other applicable details, such as matters of concern (MOC), change of details, renewals, change of personal history, etc.</li> </ul>	<p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• The process for preparing a foster carer agreement which a service must follow is described in chapter 8 (8.16).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>7.3.8 Statement of volunteer involvement in the service, and where they are involved, a description of volunteer roles</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Statement of how the volunteer (s) will be involved in the service.</li> <li>• Records of volunteer job descriptions.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> <li>• The nominee will ensure the standard of care (S130).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• The service must have a process of open merit selection, recording recruitment, and for providing job descriptions (4.4).</li> </ul>
<p>7.3.9 Records of volunteer recruitment processes, including records of necessary suitability and blue card checks</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• Records of blue card checks.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Copies of advertisements.</li> <li>• Completed applications.</li> <li>• Examples of selection criteria used.</li> <li>• Records of assessment of volunteers against criteria.</li> <li>• Records of referee checks.</li> <li>• Records of departmental suitability checks.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The following persons must be suitable and have a current positive prescribed notice (S126 (b) and (c)):             <ul style="list-style-type: none"> <li>- Directors, nominees, the manager of the service, persons engaged to provide care.</li> </ul> </li> <li>• Comply with the CCYPCG Act, part 6 (S 126 (d)).</li> <li>• The nominee will ensure the standard of care (S130).</li> </ul> <p><i>Child Protection Regulation 2000</i></p> <ul style="list-style-type: none"> <li>• Definitions of suitable persons (S9).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• Services must ensure the screening of staff engaged in regulated employment (The CCYPCG Act, part 6).</li> </ul>





## Appendix 2: Evidence guide

### Standard for the induction, learning, training and development for staff, carers and other volunteers – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>8.1.1 <b>Procedures for induction of staff and contracted workers</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure for staff induction which includes:               <ul style="list-style-type: none"> <li>- how the induction process works, including time frames, the role of the staff members, who will induct them etc.</li> <li>- how the code of conduct is included in induction</li> <li>- how induction processes are updated</li> <li>- staff appointments</li> <li>- a supervisor’s guide to staff induction</li> <li>- an induction kit to be provided to the staff member, including job description, legal requirements of service and staff, resources available to staff, the organisation’s code of conduct etc.</li> </ul> </li> <li>• Induction check lists.</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The method for the selection, training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
<p>8.1.2 <b>Procedures for induction of carers, where they are involved</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure for the induction of foster carers which includes:               <ul style="list-style-type: none"> <li>- how foster carers are inducted to the service</li> <li>- how foster carer agreements are developed with the foster carer, including who in the service will lead this process</li> <li>- how the support and supervision arrangements work, including how often supervision will occur, where and who will supervise the foster carer</li> <li>- how the foster carer can contact their support worker</li> <li>- how roles are explained to the foster carer</li> <li>- the code of conduct for foster carers</li> <li>- an induction kit to be provided to foster carers.</li> </ul> </li> </ul>	<p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• The service will negotiate a foster carer agreement with the foster carer when the certificate of approval is issued (Ch8.1.6).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>8.1.3 Procedures for induction of volunteers, where they are involved</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure for volunteer induction which includes:               <ul style="list-style-type: none"> <li>- how the induction process works, including timeframes for induction, the role of the staff member, who will induct them etc.</li> <li>- how the code of conduct is included in induction</li> <li>- how induction processes are updated</li> <li>- staff appointments</li> <li>- a supervisor’s guide to volunteer induction</li> <li>- an induction kit to be provided to volunteers, including Job description, legal requirements of service and staff, resources available to staff and code of conduct etc.</li> </ul> </li> <li>• Induction check lists for volunteers</li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The method for the selection, training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
<p>8.1.4 Procedures for provision of ongoing learning, training and development for staff</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- how training needs are identified, including the needs of individual staff, teams and the service</li> <li>- how training is identified and approved</li> <li>- who is responsible for identifying training needs</li> <li>- how opportunities to meet priority needs are identified and used</li> <li>- how feedback about learning, training and development is collected</li> <li>- how learning strategies are reviewed in light of feedback</li> <li>- how staff and carers are informed about processes for investigating a matter of concern.</li> </ul> </li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• The method for the selection, training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
<p>8.1.5 Procedures for provision of ongoing learning, training and development for carers, where they are involved</p>	<p><b>Mandatory evidence</b></p> <ul style="list-style-type: none"> <li>• Processes to ensure foster carers undertake the training specified by the department and within the timeframes specified by the department.</li> </ul> <p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- how carers are encouraged to develop beyond the training required by the department, including which service staff are responsible for encouraging them</li> <li>- how the effectiveness of the training is reviewed, for example how often and by whom.</li> </ul> </li> </ul>	<p><b>Child Safety Practice Manual</b></p> <ul style="list-style-type: none"> <li>• The processes which a service will follow for the ongoing training for foster carers are described in chapter 8.</li> </ul> <p><b>Departmental policies</b></p> <ul style="list-style-type: none"> <li>• Services must provide foster carer training specified by the department. (Set out in procedures and guidelines <i>Quality Care: Foster Care Training</i>).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
8.1.6 <b>Procedures for provision of ongoing learning, training and development for volunteers, where they are involved</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- how training needs are identified, including the needs of individual staff, teams and the service.</li> <li>- how training is identified and approved</li> <li>- who is responsible for identifying training needs</li> <li>- how opportunities to meet priority needs are identified and used</li> <li>- how learning strategies are reviewed in light of feedback</li> <li>- how staff and carers are informed about processes for investigating a matter of concern.</li> </ul> </li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The method for the training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>





## Appendix 2: Evidence guide

### Standard for the induction, learning, training and development for staff, carers and other volunteers – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
8.3.1 Records of learning and training needs assessments of staff and contracted workers (as agreed)	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Performance appraisals identifying development needs.</li> <li>• Records of individual staff training needs.</li> <li>• Records of staff group training needs.</li> <li>• Staff training plan (group or individual).</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The method for the selection, training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
8.3.2 Records of induction for staff and contracted workers	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Induction kit, or supporting materials.</li> <li>• Records of induction.</li> <li>• Acknowledgement of induction.</li> <li>• Job descriptions that have been provided (the service agreement requires this).</li> <li>• Code of conduct that has been provided.</li> <li>• Completed induction checklist.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The method for the training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
8.3.3 Records of learning, training and development of staff and contracted workers (as agreed)	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of training events provided by the service.</li> <li>• Records on staff files of training undertaken.</li> <li>• Reports showing staff participation in learning and training.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The method for the training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>
8.3.4 Records of reviewing learning and training strategies for staff and contracted workers	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of reviews of learning and training strategies for staff and contracted workers.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• The method for the training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
<p>8.3.5 <b>Records of learning and training needs assessment of carers</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Copies of foster carers' skills and development needs assessment including the departmental requirements and addition training needed by foster carers.</li> <li>• Individual learning plans for foster carers.</li> <li>• Learning and support needs for foster carers relating to a specific child in their care.</li> </ul>	<p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• Description of ongoing training for foster carers (Ch8).</li> </ul> <p><b>Departmental policies</b></p> <ul style="list-style-type: none"> <li>• Services must provide foster carer training specified by the department. (Set out in procedures and guidelines <i>Quality Care: Foster Care Training</i>).</li> </ul>
<p>8.3.6 <b>Records of induction for carers and information provided about processes for investigating a matter of concern</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Records of induction and information provided to and acknowledged by the foster carer.</li> </ul>	<p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• Description of ongoing training for foster carers (Ch8).</li> </ul> <p><b>Departmental policies</b></p> <ul style="list-style-type: none"> <li>• Services must provide foster carer training specified by the department. (Set out in procedures and guidelines <i>Quality Care: Foster Care Training</i> including modules covering matters of concern.)</li> </ul>
<p>8.3.7 <b>Records of learning, training and development of carers</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• Records of standard departmental training undertaken within the required timeframes.</li> <li>• Records of advanced departmental training undertaken as required.</li> <li>• Records of other training undertaken as identified in the foster carers' training needs assessment.</li> <li>• Individual training plan (Part C of carer agreement).</li> <li>• Records of attendance at training and competency.</li> <li>• Placement agreements – general learning needs and six monthly reviews.</li> </ul>	<p><i>Child Safety Practice Manual</i></p> <ul style="list-style-type: none"> <li>• Description of ongoing training for foster carers (Ch8).</li> <li>• Reviewing plan to support carers 7.12.</li> </ul> <p><b>Departmental policies</b></p> <ul style="list-style-type: none"> <li>• Services must provide foster carer training specified by the department. (Set out in procedures and guidelines <i>Quality Care: Foster Care Training</i>).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
8.3.8 Records of reviewing learning and training strategies for carers.	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of reviews of learning and training strategies for carers.</li> </ul>	<i>Child Safety Practice Manual</i> <ul style="list-style-type: none"> <li>Description of ongoing training for foster carers (Ch8).</li> </ul> <b>Departmental policies</b> <ul style="list-style-type: none"> <li>Services must provide foster carer training specified by the department. (Set out in procedures and guidelines <i>Quality Care: Foster Care Training</i>.)</li> </ul>
8.3.9 Records of induction of volunteers, where they are involved	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Induction kit.</li> <li>Record of induction in volunteer files.</li> <li>Record of acknowledgement of induction.</li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>The method for the training and management of people engaged in providing services is suitable (S126 (f)).</li> </ul>





## Appendix 2: Evidence guide

### Standard for staff, carers and other volunteer support and supervision – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>9.1.1 Procedures for providing periodic formal feedback to staff and contracted workers on their performance</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure covering feedback and supervision including:               <ul style="list-style-type: none"> <li>- how individual supervision and/or group feedback is provided</li> <li>- how often formal feedback/supervision should be provided</li> <li>- who will be involved in the feedback and supervision, for example the staff member and supervisor, peers, the team etc.</li> <li>- when performance appraisal may be undertaken, for example annually, six monthly, after concerns are raised</li> <li>- how performance appraisals work and who is involved</li> <li>- how and when to undertake team performance reviews.</li> </ul> </li> <li>• Proformas for:               <ul style="list-style-type: none"> <li>- supervision of staff</li> <li>- team meetings</li> <li>- performance appraisals.</li> </ul> </li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> </ul>
<p>9.1.2 Procedures for providing periodic formal feedback and support to carers</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure including:               <ul style="list-style-type: none"> <li>- the methods the service uses to provide feedback to carers</li> <li>- what that feedback will cover, such as current placements, training needs, current issues, etc.</li> <li>- how frequently the service will provide feedback, for example monthly, weekly, after a significant event, etc.</li> <li>- the staff member who will provide the feedback to the foster carer</li> <li>- when performance reviews or appraisals will be undertaken, such as annually, after a significant event, etc.</li> <li>- carer review processes.</li> </ul> </li> </ul>	





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>9.1.3 Procedures for the coordination and management of volunteers services and support for volunteers, where they are involved</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure covering feedback and supervision including:               <ul style="list-style-type: none"> <li>- whether individual supervision and/or group feedback is provided</li> <li>- how often formal feedback/supervision should be provided</li> <li>- who will be involved in the feedback and supervision for example the volunteer and supervisor, peers, the team, etc.</li> </ul> </li> <li>• Proformas for:               <ul style="list-style-type: none"> <li>- supervision of volunteers</li> <li>- team meetings.</li> </ul> </li> </ul>	<p><i>Child Protection Act 1999</i></p> <ul style="list-style-type: none"> <li>• Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> </ul>
<p>9.1.4 Procedures for a complaints process for staff, carers and volunteers</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure covering staff and volunteer grievance and foster carer complaints including:               <ul style="list-style-type: none"> <li>- how the grievance/complaints procedure works</li> <li>- what a grievance/complaint is and who can raise one</li> <li>- how to raise a grievance/make a complaint</li> <li>- general guiding principles of fairness</li> <li>- who will investigate/respond to the grievance/complaint</li> <li>- how quickly the service will respond to issues raised</li> <li>- a procedural flow diagram</li> <li>- how and when to record in the grievance register</li> <li>- how and when to record in the complaint register</li> <li>- complaints forms</li> <li>- grievance reporting forms.</li> </ul> </li> </ul>	
<p>9.1.5 Procedures for making staff and carers aware of their right to support during an investigation of a matter of concern</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A matters of concern policy and/or procedures including:               <ul style="list-style-type: none"> <li>- how the service will provide support to foster carers or staff members who are subject to a matter of concern investigation such as:                   <ul style="list-style-type: none"> <li>• the types of support which would be appropriate</li> <li>• the extent of the support</li> <li>• when it is appropriate to provide support</li> </ul> </li> <li>- who in the service will provide the support.</li> </ul> </li> </ul>	





## Appendix 2: Evidence guide

### Standard for staff, carers and other volunteer support and supervision – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
9.3.1 Records of processes for providing feedback to staff	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of providing feedback to staff members or teams.</li> <li>• A procedure that includes information on:               <ul style="list-style-type: none"> <li>- completed probation reviews on staff files</li> <li>- completed individual performance reviews on staff files.</li> </ul> </li> </ul>	<i>Child Protection Act 1999</i> <ul style="list-style-type: none"> <li>• Methods for the selection, training and management of people engaged in providing services must be suitable (S126(f)).</li> </ul>
9.3.2 Records of professional supervision of staff, if appropriate to their role	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of professional supervision of staff, either internally or by an external provider.</li> </ul>	
9.3.3 Records of staff complaints	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of grievances raised by staff members.</li> <li>• Records of how grievances were managed.</li> <li>• Records of advice provided to staff members regarding the outcome of the grievance.</li> <li>• A completed grievance register.</li> </ul>	
9.3.4 Records of processes providing support and supervision to staff and carers during an investigation of a matter of concern	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Records of support and supervision with staff member (file notes, letters, emails, meeting records etc.).</li> <li>• Assessments of additional needs for support required by staff and foster carers during an investigation.</li> <li>• Implemented and monitored support strategies.</li> <li>• Records of support provided to staff and carers during an investigation.</li> <li>• Records of supervision of the foster carer or staff member to ensure the safety of the child pending the outcome of investigations (file notes, letters, emails, meeting records, etc.).</li> </ul>	





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
9.3.5 Records of how outcomes of investigations are managed with staff and carers in partnership with the department	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of how notified outcomes of investigations are being (or were) managed with the carer or staff member in partnership with the department.</li> <li>Review of the Foster Carer Agreement if harm or MOC is substantiated against a foster carer.</li> <li>Action plan for addressing a MOC relating to staff members within six weeks of the department advising the service of the child protection notification.</li> <li>Records showing implementation of tasks under the MOC action plan that the service is responsible for.</li> </ul>	
9.3.6 Records of carer complaints	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of complaints made by foster carers.</li> <li>Records of how complaints were managed.</li> <li>Records of advice provided to foster carer regarding the outcome of the complaint.</li> <li>The complaints register.</li> </ul>	<i>Child Protection Regulation 2000</i> <ul style="list-style-type: none"> <li>The service must keep records of complaints relating to the provision of a service to a child and the outcomes of the complaint (S4 (2)(d)).</li> </ul>
9.3.7 Records of information provided to carers about how they can make internal or external complaints	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Carer file showing copies of information provided to the carer about their rights to make internal and external complaints.</li> <li>Carer file showing acknowledgement by the carer that they have received information about their rights to make internal and external complaints.</li> </ul>	
9.3.8 Records of processes providing support and feedback to carers	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of foster carer support and feedback processes (either individually or in teams), reflected in notes on the foster carer file, letters or emails to the carer, supervision records, Foster Carer Agreement, etc.</li> </ul>	
9.3.9 Records of volunteer complains	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Records of complaints made by volunteers</li> <li>Records of how complaints were managed.</li> <li>Record of advice provided to volunteers regarding the outcome of the complaint.</li> </ul>	





## Appendix 2: Evidence guide

### Standard for organisational alignment – process documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
10.1.1 Procedures related to decision making and ensuring internal accountability	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure which includes:<ul style="list-style-type: none"><li>- an organisational chart</li><li>- a decision making process</li><li>- an accountability policy</li><li>- a monitoring policy.</li></ul></li><li>• Constitution outlining the decision making and accountability of the organisation.</li></ul>	
10.1.2 Procedures for internally reporting on key measures or features of the service agreement with the department	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure which includes details of:<ul style="list-style-type: none"><li>- financial reporting, including how and when reports are compiled</li><li>- performance reporting, including how and when reports are compiled</li><li>- an accountability policy to Board of Governance, Government and External bodies.</li></ul></li></ul>	





## Appendix 2: Evidence guide

### Standard for organisational alignment – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
10.3.1 Organisational chart	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Organisational chart.</li> </ul>	
10.3.2 Statement of organisational vision and values or philosophy	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Service strategic plan.</li> <li>Vision statement.</li> <li>Philosophy of the organisation.</li> <li>Mission statement.</li> <li>Annual report.</li> </ul>	
10.3.3 Documented model of service delivery or program logic statement	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Vision statement.</li> <li>Mission statement.</li> <li>Philosophy of the organisation.</li> <li>Operational plan.</li> <li>Strategic plan.</li> <li>Annual report.</li> <li>Service Agreement, including the service plan</li> </ul>	
10.3.4 Annual reports and/or monthly reports to management committee or board on service achievements against stated goals	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>Annual report.</li> <li>Monthly report.</li> <li>Board minutes.</li> <li>Manager's reports.</li> </ul>	

### Standard for governance and accountability – process documentation





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
11.1.1 <b>Procedures for electing management committee or board members</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Copy of the organisation’s constitution, which sets out the process for electing management committee or board members.</li> </ul> <b>Where the board is significantly removed from the service, <u>or</u>, where permitted by legislation, the organisation does not have a board:</b> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- how the organisation will recruit or appoint a new director, executive or similar position responsible for the service</li> <li>- when this will take place</li> <li>- who will recruit or appoint the new director or executive.</li> </ul> </li> </ul>	
11.1.2 <b>Procedures for induction of management committee or board members</b>	<b>Examples of evidence</b> <ul style="list-style-type: none"> <li>• Induction pack or information kit for new committee or board members, which contains:               <ul style="list-style-type: none"> <li>- duty statements or position descriptions</li> <li>- the organisation’s constitution</li> <li>- the organisation’s mission statement</li> <li>- the organisation’s strategic plan</li> <li>- an organisational chart</li> <li>- information on board member obligations, such as suitability requirements, grants management requirements etc.</li> <li>- information on governance arrangements and processes</li> <li>- information on how the induction process will operate, including timeframes and processes for acknowledging participation in the process, how it will be updated, etc.</li> <li>- the organisation’s code of conduct</li> <li>- conflict of interest processes.</li> </ul> </li> </ul> <b>Where the board is significantly removed from the service, <u>or</u>, where permitted by legislation, the organisation does not have a board:</b> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:               <ul style="list-style-type: none"> <li>- how the organisation will hand over the service to, or induct, the new director, executive or similar position responsible for the service</li> <li>- when this will take place</li> <li>- who will induct the new director or executive.</li> </ul> </li> </ul>	<b><i>Child Protection Act 1999</i></b> <ul style="list-style-type: none"> <li>• Application for, or renewal of, licence – relates to requirements for directors of services to have positive prescribed notices and disclose domestic violence and traffic histories (S125 (1)(d)(ii)(iii)(iv) and (2)).</li> <li>• Restrictions on granting a licence – suitable persons – relates to restrictions on granting licences unless directors have positive prescribed notices, the service complies with requirements under the CCYPCG Act, meets the standards of care and has suitable methods for selecting, training and managing people engaged in providing the service (S126 (b), (c), (d), (e) and (f)).</li> <li>• Nominee responsibility – to ensure people engaged in the service are suitable (S130 (1)(b) and (c)); ensure the standard of care provided complies with the Statement of</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
		<p>Standards (S130 (1)(a)).</p> <ul style="list-style-type: none"> <li>• Notification of changes to personal history (S141B and S141D).</li> <li>• Persons whose suitability may be investigated – allows the Chief Executive to obtain certain information to decide the suitability of directors of an applicant for a licence as well as people engaged in the provision of a service (S142A (a) (i) and (iv)).</li> </ul> <p><b>Child Protection Regulation 2000</b></p> <ul style="list-style-type: none"> <li>• Refers to the suitability requirements for directors of a licensed service (S9 (7) (9)).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• CCYPCG Act (Part 6) refers to screening requirements for persons engaged in regulated employment, which includes care services licensed under the <i>Child Protection Act 1999</i>.</li> </ul>
<p>11.1.3 <b>Procedures for provision of ongoing learning, training and development for management committee or board members</b></p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>• A written procedure for how the ongoing learning, training and development needs of committee or board members is identified and provided for. This might be described in the induction kit or a stand alone policy or in the organisation’s policy and procedure manual.</li> </ul> <p><b>Where the board is significantly removed from the service, or, where permitted by legislation, the organisation does not have a board:</b></p> <ul style="list-style-type: none"> <li>• A policy or procedure which includes:             <ul style="list-style-type: none"> <li>- how the organisation will provide ongoing learning, training and development to the director(s), executive(s) or similar position(s) responsible for the service.</li> </ul> </li> </ul>	<p><b>Child Protection Act 1999</b></p> <ul style="list-style-type: none"> <li>• A restriction on granting a licence relating to the Chief Executive being satisfied that the service has suitable methods for the selection, training and management of people engaged in providing the services (S126(f)).</li> </ul> <p><b>Child Protection Regulation 2000</b></p> <ul style="list-style-type: none"> <li>• The suitability requirements for directors of a licensed service (S9 (7) (9)).</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
11.1.4 Procedures for financial management	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure covering financial management, including matters such as:<ul style="list-style-type: none"><li>- financial management</li><li>- accountability</li><li>- financial monitoring and auditing</li><li>- an income generation policy.</li></ul></li></ul>	<b><i>Family Services Act 1987</i></b> <ul style="list-style-type: none"><li>• The Minister may fund non-government organisations to provide community services (S10 and S11) and may require the inspection of books and records (S12) and may request the auditor general to audit the accounts of the grant funded organisation (S13).</li></ul>
11.1.5 Procedures for managing assets and maintaining insurance coverage	<b>Examples of evidence</b> <ul style="list-style-type: none"><li>• A policy or procedure which includes:<ul style="list-style-type: none"><li>- an asset management policy</li><li>- an insurance coverage policy.</li></ul></li></ul>	





## Appendix 2: Evidence guide

### Standard for governance and accountability – output documentation

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
<p>11.3.1 Records of decisions of management committee or board</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Board minutes detailing board decisions.</li> </ul> <p><b>Where the board is significantly removed from the service, <u>or</u>, where permitted by legislation, the organisation does not have a board:</b></p> <ul style="list-style-type: none"> <li>Records of decisions made by the director(s), executive(s) or similar position responsible for the service.</li> </ul>	
<p>11.3.2 Records of induction of members on management committee or board</p>	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"> <li>Records showing that management committee or board members have undertaken an induction, including their acknowledgement that they have completed the induction.</li> </ul> <p><b>Where the board is significantly removed from the service, <u>or</u>, where permitted by legislation, the organisation does not have a board:</b></p> <ul style="list-style-type: none"> <li>Records of the induction of new director(s), executive(s) or similar position(s) responsible for the service.</li> </ul>	<p><b><i>Child Protection Act 1999</i></b></p> <ul style="list-style-type: none"> <li>Application for, or renewal of, licence – relates to requirements for directors of services to have positive prescribed notices and disclose domestic violence and traffic histories (S125(1)(d)(ii)(iii)(iv) and (2)).</li> <li>Restrictions on granting a licence – suitable persons – relates to restrictions on granting licences unless directors have positive prescribed notices, the service complies with requirements under the CCYPCG Act, meets the standards of care and has suitable methods for selecting, training and managing people engaged in providing the service (S126 (b), (c), (d), (e) and (f)).</li> <li>Nominee responsibility – to ensure people engaged in the service are suitable (s.130 (1)(b) and (c)); ensure the standard of care provided complies with the Statement of Standards (S130 (1)(a)).</li> <li>Notification of changes to personal</li> </ul>





## Appendix 2: Evidence guide

Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the <i>Child Safety Practice Manual</i> and other departmental policies relevant to this criteria
		<p>history (S141B and S141D).</p> <ul style="list-style-type: none"> <li>• Persons whose suitability may be investigated –allows the Chief Executive to obtain certain information to decide the suitability of directors of an applicant for a licence as well as people engaged in the provision of a service (S142A (a) (i) and (iv)).</li> </ul> <p><b>Child Protection Regulation 2000</b></p> <ul style="list-style-type: none"> <li>• Suitability requirements for directors of a licensed service (S9 (7) (9)).</li> </ul> <p><b>Other relevant legislation</b></p> <ul style="list-style-type: none"> <li>• CCYPCG Act (Part 6) refers to screening requirements for persons engaged in regulated employment, which includes care services licensed under the <i>Child Protection Act 1999</i>.</li> </ul>





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Criteria	Mandatory evidence and examples of other evidence to demonstrate compliance (the list of examples is not exhaustive)	References to the <i>Child Protection Act 1999</i> , <i>Child Protection Regulations 2000</i> , other relevant legislation, the Child Safety Practice Manual and other departmental policies relevant to this criteria
11.3.3 Financial records	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"><li>• Copy of annual audited financial statements.</li><li>• Copies of quarterly financial returns, provided to the department.</li><li>• Copy of annual report.</li><li>• Assets register.</li><li>• Accounts payable and received – ledger accounts of income and expenditure.</li><li>• Cash cheque records, if grant funds are used to provide cash cheques or cash advances.</li><li>• Bank reconciliations.</li><li>• Receipts of funding for the purchase of assets.</li><li>• Insurance policy.</li><li>• Financial records detailing:<ul style="list-style-type: none"><li>- financial approvals</li><li>- payroll records</li><li>- bank account statements and completed reconciliations</li><li>- taxation payment records</li><li>- the service agreement and service plan</li><li>- the financial budget</li><li>- quarterly service meeting records, such as minutes.</li></ul></li></ul>	
11.3.4 Organisational constitution	<p><b>Examples of evidence</b></p> <ul style="list-style-type: none"><li>• Copy of the organisation’s constitution</li><li>• Certificate of incorporation.</li></ul> <p><b>Where the board is significantly removed from the service, or, where permitted by legislation, the organisation does not have a board:</b></p> <ul style="list-style-type: none"><li>• A governing document (or constitution if required by incorporating legislation) covering:<ul style="list-style-type: none"><li>- how delegated authority is conveyed to the director(s) or executives(s) or similar position responsible for the service</li><li>- the powers and obligations of the director(s) or executives(s) or similar position responsible for the service.</li></ul></li></ul>	



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