



Introduction

Since the commencement of the licensing process it has become apparent that there is ambiguity around key matters which has created confusion for both departmental staff and organisations. This appendix is designed to address these issues and to rectify any confusion that may have resulted from inconsistencies. Clarifying information has been provided in this appendix in relation to the following seven processes:

1. Stakeholder Feedback.
2. Staff and Management Awareness.
3. Business rules enabling organisations to obtain one licence to cover two or more services.
4. Business rules enabling organisation to address specific criteria at an organisation level for multiple service types.
5. Things that must be considered.
6. Licensing Timeframes.
7. Clarifying the respective roles of services and the department in relation to key standards.

1. Stakeholder Feedback

Note: The information below overrides anything else that you read in the licensing manual regarding stakeholder feedback. This information is relevant to both the self-assessment process and the Independent External Assessment (IEA) process.

What will be assessed in relation to stakeholder feedback?

Stakeholder feedback will only be assessed in accordance with the requirements of Standards five (5), eight (8) and nine (9). Each of these Standards explicitly contains a requirement to seek and respond to stakeholder feedback. The specific Standards and criteria that require services to show stakeholder feedback are summarised below.

For the purpose of the IEA, it is important to note that, what will be assessed is already contained in the Standards and criteria themselves. The IEA will be looking for documented processes which show how stakeholder feedback is/will be achieved and used to improve services. There are no other additional requirements.



Stakeholder Feedback – Relevant Standards and Elements¹

Nature of stakeholder feedback	Standard	Relevant elements
Feedback from children, young people and families	Standard 5 – covers the general requirements to seek feedback and manage complaints from children, young people and families who use services.	<ul style="list-style-type: none"> all
Feedback from staff, carers and volunteers	Standards 8 and 9 set out specific requirements for seeking and responding to feedback and complaints from- <ul style="list-style-type: none"> staff (including contracted workers) carers (if applicable to your service type), and volunteers (if they are involved). 	<ul style="list-style-type: none"> 8.1.4, 8.1.5, 8.1.6, 8.2.3, 8.2.6, 8.2.8, 8.3.4, 8.3.8, 9.1.1, 9.1.2, 9.1.4, 9.2.1, 9.2.3, 9.2.4, 9.2.6, 9.2.7, 9.3.1, 9.3.3, 9.3.6, 9.3.8, 9.3.9

What will not be assessed in relation to stakeholder feedback?

The IEA will not require that services have asked the questions contained in the box called ‘Views of Stakeholders’, located at the foot of each Standard in the Licensing Manual. These are examples only. For the purpose of the IEA, it is also not necessary for services to complete the section of the workbook called ‘Feedback from clients and other stakeholders’.

2. Staff and Management Awareness

The following information provides clarity regarding the expectations of the self-assessment and the IEA process with regard to assessing a service’s evidence for staff and management awareness.

What is required to show staff / management awareness of the Standards?

Services will be required to show staff / management awareness for each applicable criteria in the Standards. The requirement for staff / management awareness will be met if service staff or management who are involved in implementing the process show an understanding of its key features and the requirements of the Standard. There is no necessity to be able to ‘recite procedures’. It is also important to note that there is no expectation that each staff or management member knows about every organisational process. They are only expected to have knowledge of those which they are responsible for implementing or carrying out. Preparation should focus on awareness of those processes for which each staff or management member is responsible.

¹ The 11 service standards as a whole are applicable to all service types. However, how they are applied will depend on the type of service and consequently, the functions provided by the service.



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It is essential that the service ensures that the relevant staff or management members are present at the time of the site visit by the IEA. If these people are not available, the service will need to discuss this with the IEA assessors prior to the site visit.

The staff / management awareness interviews will be conducted in groups. The questions are contained in each of the staff / management awareness criteria of the Standards.

Who will need to participate in staff / management awareness groups?

Before the site visit, the assessor will contact the service to discuss the information contained in the application for a licence relating to the roles and number of staff and management involved in the service.

The number of people required to participate in the groups will be discussed with the service. The sample size and number of groups will depend on the number of staff, the types of roles in the service and number of locations (if relevant). The assessors sampling rules require that, for each entity to be licensed -

- In smaller services (total of 10 staff, including managers and contracted workers), at least 80 per cent of people attend, and preferably 90 – 100 per cent participation.
- In larger services, (20 or more staff) at least 75 per cent of people participate.
- Attendance is required by people covering a mix of relevant roles, covering all processes contained in the standards.

Depending on their roles, people may, or may not, have to be present for all of the group discussions. Neither foster nor kinship carers, nor volunteers other than a sample of Board members, will be asked to participate as part of the IEA.

Where a licensed entity operates across more than one location, the assessor may need to adjust the sampling requirements, in discussion with the service concerned.

Beyond staff, at least two or three members of the management committee or Board, including the nominee, will need to be available to discuss relevant Board or management committee processes. For larger services with multiple service sites there will be opportunities for the service and assessors to discuss how Board member and management groups will be conducted (due to the relevance of governance standards across services).

Prior to the site visit, it will be necessary for the service to provide a list of current staff and their roles to the assessors. The assessors will then select the names and advise the service which staff members will be required to participate in the groups. As discussed above, if these people are not available, the service will need to discuss this with the assessors prior to the site visit.

In accord with contractual requirements, at the time of confirming the site visit, the assessors will write to the service confirming these and other IEA arrangements.



3. Business rules enabling organisations to obtain one licence to cover two or more services

As a general rule most services will have an individual licence. An organisation can only submit one licence application to cover two or more services if they are clearly linked by their management structure and client group. In no instances can two separate residentials be placed on the same licence. There are basically only two scenarios where an organisation can apply for one licence to cover two or more services. If this is not clear please discuss your situation with your Community Resource Officer.

Note: If any supported independent living or residential care service has three or more children in placement the service has to be licensed at the site.

1. Supported Independent Living + Residential Care Services

A Supported Independent Living Service is able to be jointly licensed with a residential care service if all the following criteria are met:

- The independent living service must have a direct relationship with the licensed residential care service (eg; the majority of children and young people residing in the independent living service have transitioned from the residential care service).
- The independent living service must be located in the same zone as the residential service.
- The independent living service must have the same nominee and manager as the residential care service.
- The independent living service and residential care service must share the same core process documentation.

2. Foster and Kinship Care + Specialist Foster Care Services

Foster and kinship care and specialist foster care services provided by the one organisation are able to be jointly licensed if they meet all the following criteria:

- The points of coordination for the foster and kinship care service and specialist foster care service must be at the same location.
- The foster and kinship care service must have the same nominee and manager as the specialist foster care service.
- The foster and kinship care service and specialist foster care service must share the same core process documentation.

Self Assessment Workbook

The Self Assessment Workbook will need to include appropriate evidence to demonstrate that both service types are able to meet the minimum standards.

4. Business rules enabling organisations to address specific criteria at an organisational level for multiple service types

There is the capacity for an organisation to submit a self-assessment workbook at an organisational level against specific criteria. In all instances each service will also have to submit a service specific self-assessment workbook covering the criteria that has not been covered at the organisational level.





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It is not possible for the department to state the details regarding the exact criteria that can be addressed in the organisation workbook, as these criteria may vary depending on how each organisation operates. Organisations are encouraged to work with Community Resources Officers to determine in your case which criteria can be addressed at the organisational level.

The completion of one workbook at the organisational level can be conducted for multiple service types and multiple licence applications when:

- services to be licensed are located within the same zone;
- all services covered in the workbook are ready to undergo the licensing process at the same time and
- all services still submit individual self-assessment workbook but only for the evidence that is service specific.

5. Things that must be considered

The intention of the “things that must be considered” heading in the standards is to provide direction regarding what evidence to provide for the criteria. It was never meant to be an exhaustive list or to be used as a check list. It is anticipated that where relevant, services will also provide evidence that is not listed in the “things that must be considered” and also in some instance not provide evidence for some of the things “that must be considered” as it will not be relevant.

6. Licensing Timeframes

The department has 90 days once a service submits a licence application to make a determination regarding the licensing status of the service. The 90 days officially starts once the department has deemed the licence application properly made.

If, by negotiation the department and the organisation/service believe that additional time will be required to address the recommendations of the initial IEA, an extension will be granted for a specified period of time not greater than 90 days. This will ensure the service has adequate time to fulfil the requirements (Section 143A, *Child Protection Act 1999*). In some cases a second IEA may be required to assess the actions taken to meet the standards. This will be a recommendation made by the assessor in the initial IEA report.

7. Clarifying the respective roles of services and the department in relation to key standards

The following information aims to clarify the respective roles of services and the department for standards two (2), three (3), five (5) and six (6). The information below should be read in conjunction with the context of the standards as outlined in part two, chapter one of the licensing manual.



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Standard Two (2) Responding to the needs of children, young people and families

The department, not the service, is responsible for developing case plans.

The service is responsible for implementing activities with children, young people or families, in accordance with the departmental case plan. With respect to this standard, it is intended that the service negotiates with the department regarding the implementation of specific case plan goals for children, young people and families, including how the service will meet the cultural needs of the young person. The service is also responsible for informing the department of relevant information about a child or young person that relates to the case plan.

Standard Three (3) Participation and choice

The department is responsible for ensuring that children, young people and families are involved in the development of departmental case plans.

With respect to this standard, the service is responsible for implementing the relevant goals outlined in the department's case plan in a way that, where possible, involves children, young people and families. In addition, the service is also responsible, where appropriate, for ensuring that the preferences of children, young people and families are heard and recorded, and then communicated to the department to inform case planning.

Standard Five (5) Standard for feedback, complaints and appeals

It is the responsibility of the department to inform the service, children, young people and families of departmental processes for providing feedback, making complaints and lodging appeals.

With respect to this standard, the service is responsible for listening to children, young people and families, and considering feedback with regard to ideas for service improvement. The service is also responsible for informing children, young people and/or families about their right to complain and/or to appeal if they are unhappy about decisions made by the service and other agencies, including the department. In addition, services need to deal with the complaints it receives from children, young people or families using services and ensure that complaints are fairly assessed, and communicated to the department.

Standard Six (6) Standard for protecting the safety of children and young people

It is the responsibility of the department to record, investigate and assess matters of concerns, as well as to respond to critical incidents.

With respect to this standard, the service is protecting children and young people from harm that may arise out of services received. The service is also responsible for managing allegations of harm and reporting it to the department. This includes the service cooperating in investigations and assessments of allegations made and, in partnership with the department, taking any necessary action to protect the person and/or other persons from harm.





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