

Gambling Help Service Standards (SA)

Guidelines

Preparing for your
Gambling Help Service Standards Review

© Government of South Australia

Published 2009

The text in this document may be reproduced free-of-charge in any format providing that it is reproduced accurately and not used in any misleading context. The material must be acknowledged as Government of South Australia copyright and the title of the document specified.

This publication represents the views of the authors and not necessarily those of the Minister for Families and Communities or the Department for Families and Communities. No responsibility is accepted by the Minister for Families and Communities or the Department for Families and Communities for any errors or omissions contained within this publication. The information contained within the publication is for general information only. Readers should always seek independent, professional advice where appropriate, and no liability will be accepted.



Government of South Australia
Department for Families
and Communities

Funded through the Gamblers Rehabilitation Fund

Written and produced for the Department for Families and Communities by



Quality Management Services

ARBN 120 765 782
www.qms.org.au
qmssa@qms.org.au

**New South Wales /
ACT (National Office)**

Suite 10, Level 1
104 Bathurst Street
Sydney
NSW 2000
Tel 02 8246 6900
Fax 02 9283 7545

**South Australia /
Western Australia**

Suite 2B
128 Fullarton Road
Norwood
SA 5067
Tel 08 8332 8277
Fax 08 8332 7420

Tasmania

GPO Box 1236
Level 3
85 Macquarie Street
Hobart
TAS 7000
Tel 03 6270 2297
Fax 03 6270 2223

CONTENTS

- Purpose5**
- Background5**
 - Who is QMS?5
 - Standards and Assessment6
 - Rating Overview7
 - The Review Team7
- Preparing for the REVIEW8**
 - What can be expected once the Self Assessment has been submitted6
 - The Timetable11
 - Sample Timetable12
 - Planning your Two Day Review9
 - Tips for Interviews9
- What to Expect After the REVIEW16**
 - Report16
 - Action Plan16
- What if an Organisation has Concerns?17**
 - Formal Appeals Process17

PURPOSE:

The purpose of this document is to provide information to gambling help service providers in preparation for their quality review against the Gambling Help Service Standards (SA).

Included are practical guidelines to provide a fuller understanding of the operational aspects of the review process and to assist services to present appropriate and relevant information at the time of the review.

BACKGROUND:

Who is QMS?

Quality Management Services (QMS) is a not-for-profit organisation contracted to undertake quality reviews against the Gambling Help Service Standards, through the South Australian Department for Families and Communities (DFC). QMS has its head office in Sydney, with offices established in South Australia and Tasmania. QMS works exclusively with the health and community services industries against several quality frameworks and programs. QMS is a preferred provider of the Service Excellence Program (SEP) validations in South Australia and the licensed provider for Quality Improvement Council (QIC) National Accreditation and conducts Home and Community Care (HACC) appraisals across the state.

Standards and Assessment

The Gambling Help Service Standards (SA) were introduced in 2009 by the South Australian Government. The Standards provide a framework to promote quality systems for services and quality outcomes for the community and people accessing these services. In addition, QMS has developed a Self Assessment Tool (SAT), a Reporting Format and a Quality Action Plan to support implementation of the Standards.

The Standards framework consists of:

- 6 Standards that reflect the principles of Gambling Help Services for South Australia;
- Key Organisational Competencies within each Standard which provide a context to the Standard and describe the criteria and / or functions against which a service is assessed;
- A series of System Indicators to be applied to each Standard, including the application of Continuous Quality Improvement to each Standard.

The *Gambling Help Service Standards (SA)* and the SAT provide extensive information and examples to guide services in their understanding and application of the framework.

The framework is a tool for promoting continuous quality improvement. The review process does not imply accreditation nor is it tied to funding, although it is referred to in Service Agreements. The process is intended to validate the areas in which services are performing well and to identify those areas that need further development. Through an agreed action plan developed upon completion of the review, services indicate how they will continue to improve quality.

Rating Overview

In order to achieve a **Met**, gambling help services are required to meet all *System Indicators* within a Standard. Where one *System Indicator* is not met within a Standard, the rating is **Met in Part**. If more than one of the *System Indicators* are not met, the rating is recorded as **Not Met**.

The Review Team

The review team is generally on site for 2 days. The role of the review team is to:

- validate your self assessment against the Gambling Help Service Standards;
- examine documentation (including policies, procedures, case notes and your client feedback and complaints systems) as quantitative data to add to the review;
- interview staff, management, consumers and stakeholders to provide qualitative rigour to the review;
- make site and operational observations of the service; and
- complete the review report with ratings and recommendations for improvement.

The review team is led by an experienced review coordinator who has an understanding of the Gambling Help Service Standards (SA). To further support sector relevance a peer reviewer is also part of the team. The peer is either employed within the Gambling Help sector or has a strong understanding of the sector. The role of the peer is to offer a sector approach to the process and training is provided to support their role as a reviewer. QMS encourages organisations to consider releasing staff members to be involved in this developmental opportunity and further information is available from QMS.

PREPARING FOR THE REVIEW

All funded services receive information from the Office for Problem Gambling regarding a scheduled quality review. This information includes a copy of the *Self Assessment Tool (SAT)*, the *Gambling Help Service Standards (SA)* and instructions to provide the self assessment and supporting documentation to Quality Management Services (QMS) by a set nominated date, usually two months from notification. The *Gambling Help Service Standards (SA)* and the SAT template contain “Notes and Examples” against each System Indicator to assist agencies to complete their self assessment. The information provided also includes a list of documents to be made available during the onsite review.

The following supporting documents are to be included when submitting the completed SAT as it is essential background information required by the review team:

- Completed SAT – with an electronic copy emailed to QMS and Office for Problem Gambling
- Organisation’s Annual Report
- Organisation’s Strategic Plan or Business Plan / Service’s Operational Plan
- Organisational Chart
- List or Index of Policies (include just one policy as an example)
- Service Agreement
- Program Information Brochure / Package
- Client Information Brochure / Package
- Report of Consumer Survey
- Copy of the Organisation’s Certificate of Accreditation (if the organisation is accredited)

The following are examples of the types of documents to be made available during the site visit:

- Policies, procedures, work instructions
- Forms or tools used e.g. for assessment or intake, review, consent, care plans, referral
- Financial certifications sent to the Office for Problem Gambling and budget reports
- Client files
- Consumer feedback and survey evaluation conducted – completed forms
- Complaints and/or feedback files or documents
- Induction and training records or manuals
- Job and Person specifications, recruitment, employment and training records
- Existing contracts e.g. with third party
- Other documents e.g. Minutes of meetings, forums, planning sessions
- Newsletters, marketing information, brochures
- Needs assessment based on client profile, waiting list, people turned away
- Organisation wide Review Report (if the organisation is accredited)

What can be expected once the Self Assessment has been submitted

Either before or shortly after lodgement of your SAT, QMS will liaise with you to determine a mutually suitable date for the review. Following the submission of the SAT, the review should occur within one month.

Once a date is set, QMS will select a prospective review team. Both coordinator and peer reviewers must conduct themselves in a way that is consistent with the QMS Code of Conduct which ensures confidentiality is maintained. QMS will confirm with you that you are satisfied that there is no perceived conflict of interest with the composition of the review team before proceeding. If you have any concerns regarding any aspect of the review process, please contact QMS.

The Timetable

The reviews are generally conducted over a 2-day period and the review coordinator will liaise with the service to confirm the timetable. This will vary for each review, depending on the size and nature of the gambling help service. As a guide, interviews are conducted with representative groups of staff, stakeholders, volunteers, consumers and management. Staff and volunteers may be interviewed separately or together and this will be negotiated based on the preference of the Gambling Help Service. A sample timetable is included with this information to assist you in scheduling your review.

It is important to remember that QMS will primarily review the gambling help service within your organisation, but a systems approach will at various points involve other areas of the organisation (e.g. Chief Executive Officer (CEO), Occupational Health Safety and Welfare (OHS&W) Coordinator, Human Resources (HR) Department, Contract Managers, Finance Officers). The SAT and the *Gambling Help Service Standards (SA)* provide more information on this.

It is recommended that the majority of interviews are conducted on the first day, however some flexibility is available; please discuss this with your review coordinator in the first instance.

Sample Timetable

This is only a guide and services can rearrange interviews to meet their needs

DAY	Timeframe	Activity	Participants	Location
1	9.00am – 9.30am	Review Team Preparation, Site Orientation, Gambling Help Program Briefing	Review Team, Review Contact Person / Program Manager	
1	9.30am – 10.30am	Coordinator / Management Team Interview	Management level staff who are involved in the planning and allocation level of the service (title and role)	
1	10.30am – 11.00am	Morning Tea Break		
1	11.00am – 11.30am	Group Interview with Volunteers <i>(it is possible to combine this with the staff interview if relevant)</i>	Interview a group of 3-6 people	
1	11.30am – 12.30pm	Group Interview with Staff	Operational staff, please list those who will be attending (title and role) – a group of approx. 6 people	
1	12.30pm – 1.30pm	Lunch		
1	1.30pm – 2.15pm	Consumer Focus Group or Interviews <i>(may be replaced if comprehensive consumer survey conducted in last 12 months and there are difficulties in bringing in consumers; Telephone interviews may be an option, please pre arrange this)</i>	List those attending and the types of services received or relationship with the organisation – Interview a group of 3-6 people	
1	2.15pm – 3.00pm	Interview with Stakeholders <i>(telephone interview or survey may be an option - please pre arrange this with the review coordinator)</i>	List those attending and their relationship with the organisation (title and role) – Interview a group of 3-6 people	
1	3.00pm – 3.15pm	Afternoon Tea Break		
1	3.15pm – 4.00pm	Interview with Board Members and / or CEO; can be Director of Community Service Unit <i>(if large organisation and removed from Gambling Help Service)</i>	List those attending (title and role)	
1	4.00pm – 4.45pm	Document Review		

**** Please discuss the range of interviews and proposed participants with the review coordinator prior to finalising arrangements. Copies of final timetable should be provided to review coordinator no later than two weeks prior to review. ****

Sample Timetable cont.

This is only a guide and services can rearrange interviews to meet their needs

DAY	Timeframe	Activity	Participants	Location
2	9.00am – 11.00am	Document Review		
2	11.00am – 11.15am	Morning Tea Break		
2	11.15am – 12.30pm	Document Review / Clarification with Management		
2	12.30pm – 1.00pm	Lunch		
2	1.30pm – 4.00pm	Draft Report, Recommendations		
2	4.00pm – 4.30pm	Feedback Session and Debrief		

Planning your TWO Day Review

- 1 Nominate a contact person who is available to liaise with the review team over the full period of the review.
- 2 Negotiate a timetable for the two day onsite review with the review coordinator, (see ***Sample Timetable***) and ensure that all parties have a copy of the agreed timetable. This is an important part of the process to ensure adequate evidence is provided. It is important to note the review team is unable to return to the site at a later date.
- 3 When planning the timetable ensure a ½ hour briefing at the commencement of the review between the review team and the gambling help service manager. This will greatly assist in setting the service context and provides opportunity to highlight unique aspects of service provision.
- 4 The timetable also acts as a checklist for the following:
 - identify who will attend each interview (e.g. Unit supervisor + 2 staff – names and positions are helpful)
 - identify the location of the interview (e.g. Supervisor's office)
 - anticipated length of the interview (see example provided)
 - book appropriate rooms for conducting interviews
 - make available a room for the review team to use constantly during the onsite review as the document analysis and report writing is done on site. Please discuss this with your review coordinator if this poses a problem for your organisation
 - ensure supporting documentation is readily available and in an accessible order. It is recommended that a separate folder is allocated for each of the 6 Standards, clearly labelled with documents relating to each standard filed in the relevant folder
 - documented consumer permission is obtained to access relevant client files

- to assist in meeting the time constraints on both days, it would be appreciated if morning and afternoon tea and a light working lunch were provided for the review team. Please advise the review coordinator if this is not possible and alternative arrangements will be made
- a feedback session will be provided by the review team at the conclusion of the two day review. Relevant staff and management are invited to attend this session. This feedback session provides a broad summary of the findings of the review team and will include acknowledging areas of strength within the service and areas for improvement. Review teams may give a general indication but usually do not give a final rating of the standards at the feedback session.

Tips for Interviews

- Allow breaks for morning tea, lunch and afternoon tea.
- Ensure you have a representative group for each interview.
- Ensure participants are familiar with the self assessment as questions will be based around the key competencies and system indicators, including CQI activities.

WHAT TO EXPECT AFTER THE REVIEW

Report

A draft copy of the review report will be forwarded to you approximately one week following the review for comment. The draft report with your comments should then be returned to the review coordinator within one week. Following this, the final draft report is forwarded to QMS by the review coordinator. QMS then undertakes an audit of the report for the purpose of assessing content, consistency, evidence and accuracy against the Gambling Help Service Standards. This may result in slight changes to the draft and from time to time changes in the ratings, in negotiation with the review coordinator. The draft document remains a useful starting point for you to develop an action plan, required by the Office for Problem Gambling. QMS aims to provide the final report to the organisation and the Office for Problem Gambling within one month of the review. QMS will endeavour to keep you informed of any unforeseen delays.

Action Plan

Within one month of receiving your final report, an action plan based on the recommendations in the report is required. It is to be developed and sent to the Senior Project Officer, Office for Problem Gambling (Chris Horsell) and a copy to QMS. QMS will send you a copy of the Action Plan template and the due date for lodgement of this with your final report. Your progress in meeting the targets within your Quality Action Plan will then be monitored by the Office for Problem Gambling.

WHAT IF AN ORGANISATION HAS CONCERNS?

QMS recognises the effort involved in participating in the self assessment, external review and action planning processes and wishes to make this a positive and enriching experience for your service.

If there are any concerns about the process or its outcomes, please speak with the review coordinator, at any time, whilst they are onsite.

QMS also encourages feedback prior to, during or after the review process. Please refer to the supplied brochure “*Have Your Say*” and the formal appeals process included below.

Formal Appeals Process

The following process has been developed by QMS to assist gambling help services who wish to formally appeal against the review process or the information and ratings contained in the final review report for that service.

Principles

- Services have the right to lodge an appeal about the review process and/or against the Report and/or ratings;
- Quality Management Services Inc and the Department for Families and Communities (Office for Problem Gambling) are committed to efficient and fair resolution of such appeals;
- Quality Management Services Inc and the Department for Families and Communities (Office for Problem Gambling) welcome feedback to assist in the process of continuous improvement of their services;

- It is not the intent of the formal appeals process to facilitate a reversal or challenge to evidence based decisions reached by the reviewer; and
- All complaints and their outcomes are recorded.

Procedure

A service or individual who wishes to make a complaint or provide feedback and/or suggestions for improvement about the QMS review process or other services, should follow the steps listed below:

Contact the review team coordinator as a matter of urgency to discuss the issue.

If the issue cannot be resolved to your satisfaction, then contact QMS SA / WA Office to discuss the issue (details below).

Alternatively, use the pro-forma, “Have Your Say” (supplied at the time of review) and forward to QMS SA / WA Office (details below).

Alison Sinclair, State Manager SA / WA
Quality Management Services
Suite 2B, 128 Fullarton Rd, Norwood SA 5067

Telephone: 08 8332 8277

Fax: 08 8332 7420

Email: Alison.s@qms.org.au

If you consider the concerns identified have not been addressed or satisfactory resolution has not been achieved, lodge an appeal with the Office for Problem Gambling.

1. Requirements of Appeal to the Office for Problem Gambling

1.1 Grounds for Appeal:

- information provided to the QMS reviewer during the review process was not taken into account
- the review process departed from set procedures without prior consultation with the agency.

1.2 Requirements for a Valid Appeal Submission:

- the submission must be in writing
- the submission must include a statement detailing the grounds for the appeal as set out above
- the submission must clearly identify the relevant section of the Gambling Help Service Standard and the Review Report and
- the submission must contain evidence of all previous attempts to resolve the issue with QMS.

1.3 An appeal must include:

- copies of all relevant documents
- information or explanations which the service considers relevant and
- an indication of the outcome sought by the service.

2. Process of Appeal to Office for Problem Gambling:

2.1 A service may lodge an appeal on the grounds indicated in 1.1

2.2 Only appropriately authorised, senior officers of the service / organisation may submit an appeal to:

Ms Leeanne Head

Director, Office for Problem Gambling

Level 9, Riverside Building, North Terrace, Adelaide SA 5000

Phone: (08) 8207 0253

Fax: (08) 8413 9004

E-mail: leeanne.head@dfc.sa.gov.au

2.3 Appeals must be lodged not more than twenty-one (21) calendar days after the receipt of the Review Report. Appeals lodged outside of the twenty-one (21) day deadline will only be accepted in extenuating circumstances and at the sole discretion of the Office for Problem Gambling. No appeal will be accepted if lodged more than thirty-five (35) calendar days after the receipt of the Review Report.

2.4 All written appeals received by the Office for Problem Gambling will be acknowledged within fourteen (14) calendar days of the date of receipt.

- 2.5 When an appeal submission has been accepted by the Office for Problem Gambling, the investigation will focus on:
- the issues detailed in the submission;
 - the evidence provided in the submission and
 - other related issues.
- 2.6 The agency may request a meeting with the Manager of the Office for Problem Gambling to find a mutually acceptable solution. Present at the meeting will be:
- meeting facilitator – Manager, Office for Problem Gambling;
 - Senior Project Officer, Office for Problem Gambling (Chris Horsell);
 - appellant agency – 2 senior representatives;
 - QMS Review Coordinator responsible for the initial assessment of the agency; and
 - QMS State Manager SA/WA.
- 2.7 The Office for Problem Gambling will provide the agency written notification of the outcome of the appeal investigation, including the rationale for the decision, within sixty (60) calendar days of the receipt of the appeal submission.

* * * * *