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| Topic: | Self-assessment and ASES Workplan |
| Document type: | Handout: Reflective Questions for Teams |

*They were developed for staff and managers leading ASES implementation to use in team meetings and any ASES implementation committees and reference groups to stimulate discussion and invite reflection. Since they are comprehensive, organisations can choose to select a smaller sample of questions that are most pertinent to each service or outlet.*

*The second handout on Governance is good to use with Boards and Management Committees.*

*Some organisations have found it effective to allocate one or two standards to a staff member or team who work through the questions first and then present their views to a lager staff meeting where further discussion can take place.*

# Standard 1: Planning

1. Can all staff members and volunteers articulate our purpose, direction and values to our consumers and stakeholders? Do our existing consumers know our values?

How effective are we in doing this? Can we improve this?

1. Does our website and publicly available materials accurately describe our organisation’s direction and its values? Are these reflected in our presentations and meetings with partner agencies?
2. Have we undertaken a stakeholder analysis that identifies who our stakeholder groups are and asked each group how they would like to be consulted and engaged in our strategic planning process? How effectively did we then engage people?
3. Have we considered current research, new ideas and innovative approaches to service delivery in developing our Strategic Plan? Could we do this more effectively?
4. When we have completed our Strategic Plan how timely was our feedback process to clients and stakeholders?
5. Is our Strategic Plan an active document, do we review it and discuss progress? Has it been more of a ‘set and forget’ document? Have we regularly told consumers and stakeholders about our progress?
6. Is our Business Plan (Operational Plan) clearly linked to our Strategic Plan? Has this been effective in progressing the objectives of our Strategic Plan?
7. Are all staff in the organisation clear about their responsibilities in relation to the Business Plan? Does this link to individual staff work plans?
8. Do we have an effective monitoring and review process for the Business Plan? As an organisation are we ready to take corrective action when required? Has this been successful?

# Standard 2: Governance

1. Has the Board determined how it will monitor its performance?
2. Has the Board had the opportunity to consider how its performance will be evaluated and who is best placed to do that, for example, an external evaluator?
3. How do we develop our policies? Do we have a written process that states this clearly? (e.g. policy or procedure) How are policies endorsed? Is version control of policies and procedures across our organisation managed effectively?
4. Are we satisfied that the way we categorise and store documents both in paper form and electronically is the most efficient way for people to find what they need? How could we improve this?
5. In what way do we monitor that our policies are applied consistently by all staff? What do we do to improve consistency if we find a problem?
6. Do all our staff and volunteers understand our risk management approach and know their role in reporting and managing risk? How do we test that?
7. What has our regular review of the risk register identified regarding trends in the last 12 months?
8. Have we identified our core functions and developed a business continuity plan for each one in the event of an emergency or disaster? Who is responsible for this?

# Standard 3: Financial and Contract

# Management

1. Is the organisation’s annual budget clearly linked to the Business Plan? Has this proved to be effective in resourcing the Business Plan activities?
2. How is budget performance reported and managed in the organisation? Is it effective, can it be improved?
3. Has the organisation considered asset sharing with other agencies? Would this be practical? (e.g. joint purchase of IT licences)
4. Does the organisation have a clearly documented process for asset acquisition and disposal? Does this work well?
5. Is there clear responsibility for the management and maintenance of the organisation’s physical resources? Does this work effectively?
6. Does the organisation have initiatives in place to reduce its environmental impact? Are these supported by all staff and volunteers?
7. Does the organisation have a consistent approach to fair, equitable and ethical purchasing?
8. What processes are in place to verify that purchased goods and services are delivered? Are these successful? Could they be improved?
9. When did the last review of major suppliers occur? What were the outcomes?
10. What data is collected on supplier performance? How is this used?

# Standard 4: People

1. Are we confident that we have a well-documented and consistently applied recruitment and selection process? What do we do to check that we meet all our legal obligations in recruiting staff? Are there any things we could improve?
2. What is our staff turnover? If it is high, what can we do to retain staff for longer periods and does this mean we need to change aspects of our recruitment, induction and staff support strategies?
3. What are the key features of our staff and volunteer Induction process? Have we reviewed or evaluated it? Does it reflect best practice?
4. Do all staff and volunteers understand EEO and what this means for them?
5. Do we ask our staff how satisfied they are with our supervision and staff development programs? If so how? Can this be improved?
6. How do we use our Performance Management and development system to get the best outcomes from staff? Does this give us a competitive edge?
7. What have been the results of our Work Health and Safety audits? What are we doing well and what could we do better?
8. Do we as an organisation reflect the diversity of our local community? How do we ensure that we do/continue to reflect that diversity?
9. Have we thought about how culturally competent our staff are with respect to different types of diversity e.g. Aboriginals and Torre Strait Islanders, people of diverse religions, people of CALD and people who are at risk or experiencing gendered violence against women and children?
10. Are our efforts to measure and report on our diversity effective? How could they be improved?

# Standard 5: Partnerships

1. What criteria do we use to determine our key partnerships in service delivery and coordination? Are these the best criteria? Do we need to modify them in any way?
2. What have we done to nurture and maintain these partnerships over time? Has responsibility for this been assigned or has it been incidental? Can this be improved?
3. How many of our partnerships have been formalised with protocols or an MOU? (Do we need more?) Do they allow us to report in a structured and measurable way? Can they be improved?
4. How have we reviewed our partnership agreements? (If no agreements are in place has any operational review occurred?) What has been communicated to our consumers/stakeholders as a result? What could we improve this process?
5. Have we aligned partnership reviews with our Strategic and Business planning cycles? Have we been effective in doing this? How has it shaped the content of our plans?
6. Do we have an organisational culture of collaboration and cooperation? What are the best examples of this over the last 12 months? Was there a factor critical to the success of each example?
7. Do we have a system where performance outcomes are ‘team based’ or individually driven?
8. How much joint training and development occurred for staff and volunteers in the last 12 months? Did this promote collaboration and cooperation? How can we enhance this?
9. Do consumers have any contribution/input to the organisational culture of collaboration and cooperation?
10. How did any collaborative or cooperative efforts by staff and volunteers link to the Strategic and Business plan goals? Was this effective?

# Standard 6: Communication

1. Does the organisation commence the calendar year with a detailed schedule for internal and external communication? Is it clear what type of communication has been scheduled? Is it clear who is responsible for each item? How can our system be improved?
2. What have we done to ensure our staff and volunteers are able to communicate clearly and in plain language? Have we asked consumers/stakeholders how they have found our communication with them? Do we need to/have we acted on their feedback? Do we need to do more to assist staff and volunteers?
3. What plain language resources/interpreters have we made available? Have we evaluated their effectiveness? Is there more we can do?
4. Over the past 12 months have we been consistent with our planned communication with consumers/stakeholders? Was it effective? Can it be improved?
5. Is it clear to staff in the organisation who is responsible for preparing for, documenting and then distributing the minutes for each formal meeting? Has this worked smoothly?
6. Is our system for storing and retrieving agendas and minutes reliable and effective? Can it be improved?
7. What alternative communication formats have we used in the last 12 months? How did we decide on these formats? Did the formats selected meet the communication needs of all consumers/stakeholders?
8. How often have we reviewed the communication formats that we use? Did we get consumer/stakeholder feedback as part of the review?
9. What systems do we operate to get regular consumer/stakeholder feedback? How have we used the feedback? Have we collected this over time to provide trend data for comparison purposes? How could we improve the system?
10. Do all staff/volunteers receive training on Information Sharing Guidelines? Over the last 12 months have we scheduled refresher training on this? What evidence do we use to evaluate if we are performing well in this area?

# Standard 7: Service Outcomes

1. How have we communicated our planned outcomes from both our Strategic and Business plans with our consumers and stakeholders? Have we done this this in a timely way? What could we improve?
2. Given the process that we use to communicate our planned outcomes what level of awareness have we achieved with our consumers/stakeholders? Do we ever test this?
3. How did we validate our planned outcomes with our consumers and stakeholders? Was this robust enough? Could it be improved?
4. Do we effectively report our planned outcomes to our funding bodies? Is this adequate?
5. Have we selected effective performance measures for our planned outcomes? (Do we measure in a meaningful way what we are doing?)
6. Do we have the systems in place to regularly collect the data necessary to report on the performance measures? Is this manual data collection or automated data collection? What can we do to make this both timelier and more efficient?
7. How would we rate our analysis of our performance data and why? How effective are we in using the data to improve our planned outcomes?
8. Does our service delivery consistently reflect our consumer service standards? Where could this be improved?
9. Is our service delivery consistently evidence based?
10. Should our next new consumer have a sensory impairment would there be any barriers to access of our service? If yes, how would we make sure we were accessible to that person?

# Standard 8: Consumer Outcomes

1. How did we allocate resources to support consumer participation in service planning? Was this effective? What feedback did we get from consumers? Can we improve this?
2. How have we changed service delivery in response to changing consumer needs? How did we identify changing needs? Did we respond quickly? Can we improve our practice in this area?
3. How well do we inform consumers/advocates/carers about the operational details of our service? How often do we do this for continuing consumers? Is what we’re doing effective in this area? How do we know?
4. Are our staff guided by appropriate person centred planning policies and procedures? Do these enable a consistency across the organisation in our individual planning and service delivery with consumers? Can we make any improvements?
5. How effectively do we collaborate with other service providers to meet a consumer’s overall needs? Could this be improved?
6. Do our consumers understand their legal and human rights in receiving services from our organisation? Do our staff consistently respect the rights of consumers? How do we ensure consistency in this area?
7. Do we measure how we perform against our consumer service standards? Can we do this better? Do we report this to our consumers each year?
8. Would it be evident to a new consumer, from the way we behave, that we welcome all kinds of feedback? How could we make it more evident?
9. Is our complaints process documented and a copy given to consumers? Do we have an active process of complaints management in the organisation? Does this work well? How do we know? Do we routinely give information to consumers about external agencies that they can go to if they are not happy with how we have responded to their complaint?
10. Who in the organisation is responsible for collecting and analysing complaints data? When did we last produce a complaints report and briefing for senior management and the Board? What does our trend data on complaints tell us? (no complaints also gives a message to an organisation, and not always positive).