



A guide to sampling and scope of assessments

The Australian Service Excellence Standards is a whole of organisation quality assurance program. The purpose of this assessment is to gain an appreciation of the level of policy and procedural consistency, observe practice, undertake interviews to corroborate and verify relevant documentation against ASES criteria to achieve accreditation.

The scope of assessment may differ for each organisation depending on the mix of services and programs. The assessor will negotiate with the organisation and ask to speak to a range of individuals based on their roles and responsibilities and engagement with the organisation. This scope will cover key corporate functions and organisations specific service program areas.

Note: External assessors will ask organisations for their recent organisational structure/chart.

The sampling approach is in line with ISO 19011.

To gain a cross section of the organisation. This will depend on the size of the organisation, the number of sites, the number of services and programs and their complexity.

The following is a guide only.

Multiple sites

How many sites to visit will be determined by sampling policy guidelines.

Number of sites	Number of sites sampled
9	4 (includes head office)
6	3 (includes head office)
4	2 (includes head office)

(Please note: Whilst, there may be sites that are not visited, the assessor will still need to verify and observe evidence through discussions with key individuals, desktop audit of documentation and any other evidence that is suitable as a means to determine policy and procedural consistency and dispersion of information across the organisation.

Atypical schedule of assessments

Sample Schedule of a Review

	Timeframe	Interview	Participants (include names & roles)	Location (e.g. Meeting Room / Site Address)
DAY 1	9.00am – 10.00am	Site Tour and meeting with CEO (Planning, Governance, Board reporting; Risk)	xxxxx	xxxxx
	10.30am - 12 00am	Interview with Managers (Planning, policy and procedure; Data, Financial & Risk Management)	xxxxx	xxxxx
	12.00am - 1.00pm	Interview with representative staff group (People, Partnerships, Communication)	xxxxx	xxxxx
	1.00pm	Lunch	xxxxx	xxxxx
	1.30am -2.15pm	Service Delivery Staff (Service Consumer Outcomes)	xxxxx	xxxxx
	2.15 – 3.30pm	Interview with Consumers	xxxxx	xxxxx
	3.30 – 4pm	Afternoon Tea		
	4.00 -5.00pm	Interview with Board	xxxxx	xxxxx
DAY 2	9.00am – 11.10am	2 nd Site inspection/observation/ consumer/staff discussion (if relevant)	xxxxx	xxxxx
	11.00am – 11.30	Morning Tea		

Timeframe		Interview	Participants (include names & roles)	Location (e.g. Meeting Room / Site Address)
	11.30pm – 12.30pm	Client File/HR File Reviews	xxxxx	xxxxx
	12.30	Lunch		
	2.00pm - 3.30pm	Document review and discussion with relevant staff (e.g. HR, Finance, OHS&W, consumer feedback surveys)	xxxxx	xxxxx
	3.30pm	Afternoon Tea		
	4.00 – 5pm	Verification of contract requirements, policies / procedures, further report and recommendations	xxxxx	xxxxx

Functional cross – section

As the standards are a whole of organisation quality program, the assessors need to site documentation, environments and interview key stakeholders from functional areas including the various services and programs. The following is an indicative sampling process.

Small Organisation Sample

The following is an example of a small organisations with an FTE (< 10 FTE or volunteer equivalent) where each individual is responsible for multiple functions or specific functions are outsourced (e.g. Accountant, Human Resource (HR))

Colour coding represents individuals participating in the interviews, topics covered and documentation.

CORPORATE FUNCTIONS TO INTERVIEW	PLANNING Certificate 1.1 1.2	GOVERNANCE C2.1 2.2	DATA AND KNOWLEDGE C2.3	RISK C2.4	FINANCE C3.1	ASSET C3.2	CONTRACT MANAGEMENT C3.3	HUMAN RESOURCE C4.1	WORK, HEALTH AND SAFETY C4.2	CULTURAL INCLUSION C.4.3	PARTNERSHIPS C.5.1 5.2	COMMUNICATION	SERVICE PROVISION	CONSUMER ENAGEMENT
CEO/EO														
Senior Management Committee/Board Members														
Finance officer														
Human Resource Manager														
IT Manager														
Program (1) Coordinator (multiple individuals across different services)														
Program 2 – Homeless Services														
Program 3 – Supported Accommodation														
Program 4 – Financial Counselling														
Program 5 - Disability														
Risk and Safety Manager														
Partner stakeholders														
Staff/volunteer group/individuals														
Consumers (3 – 5 per service type)														

ATYPICAL APPROACH FOR A VERY LARGE ORGANISATION ASSESSMENT

Key personnel	DATE	ASES Workbook Section	Specifics	How Long
CEO	Day 1	C.1.1 Strategic planning C.1.2 Business Planning C.2.1 – C.2.4 Governance C.3.1 – Finance Management C.4.1 – HR Standards C.4.2 – WHS C.4.3 – Cultural Inclusion C.5.2 – Team work C.6.1 – Communication C.8.1 – Consumer and Community Engagement C.8.2 – Consumer Feedback and Complaints	Overview of strategy, mission and vision, communication expectations, consultation and risk, complaints etc.	30minutes
Directors	Day 1	C.1.1 Strategic planning C.1.2 Business Planning C.2.1 – C.2.4 Governance C.3.1 – Finance Management C.4.1 – HR Standards C.4.2 – WHS C.4.3 – Cultural Inclusion C.5.2 – Team work C.6.1 – Communication C.8.1 – Consumer and Community Engagement C.8.2 – Consumer Feedback and Complaints	As above including the monitoring of implementation at a strategic level	30 mins each or one hour combined
Org Development Team / HR / People / Workforce Development	Day 1	C.4.1 – HR Standards C.4.2 – WHS C.4.3 – Cultural Inclusion C.5.2 – Team work C.6.1 – Communication	Detailed as required within the framework	1 hour

Key personnel	DATE	ASES Workbook Section	Specifics	How Long
Governance and Policy team	Day 1	C.2.1 – C.2.4 Governance	Detailed as required within the framework	1 hour
Quality / Risk / WHS / Continuous Improvement	Day 1	C.1.1 – Governance C.4.2 – WHS C.7.1 – Outcomes Monitored	Detailed as required within the framework	1.5 hours
Finance / Procurement / Contract Management	Day 1	C.3.1 Finance Management C.3.2 Asset and Physical resource C.3.3 Purchasing and Contract Management	Detailed as required within the framework Including DDA compliance	1 hour
City Strategy Team	Day 2	C.1.1 Strategic planning C.1.2 Business Planning	Detailed as required within the framework	1 hour
Customer and Communications Team	Day 2	C.6.1 – Communication C.1.1 – Governance C.7.1 – Outcomes Monitored C.8.1 – Consumer and Community Engagement C.8.2 – Consumer Feedback and Complaints	Detailed as required within the framework	1 hour
IT	Day 2	C.1.2 – Business Planning C.2.3 – Data Knowledge Management C.2.4 – Risk management	Detailed as required within the framework	30 mins
Program level e.g. Community Capacity Team	Day 2	C.1.1 – Governance C.1.2 – Business Planning C.2.2 – Policy & procedures C.2.4 – Risk Management C.3.3 – Purchasing and Contract Management C.4.1 – HR C.4.2 – WHS C.4.3 – Cultural Inclusion C.5.1 – Working Collaboratively C.5.2 – Team Work C.6.1 – Communication	Manager, Team leaders Detailed as required within the framework	4 hours

Key personnel	DATE	ASES Workbook Section	Specifics	How Long
		C.7.1 – Outcomes Monitored C.8.1 – Consumer and Community Engagement C.8.2 – Consumer Feedback and Complaints		
Program level Recreation Site Visits x 2 Youth centre Site Visits x2	Day 3	Various points C.7.1e.g. service agreement requirements	Detailed as required within the framework relevant to the service delivery and management of staff at a service delivery level	All day
Program level Community Connections Team Active Ageing team - Disability - Community Bus - Community Transport - Social connections - Community Links	Day 4	Various points C.7.1e.g. service agreement requirements	Detailed as required within the framework relevant to the service delivery and management of staff at a service delivery level	½ day ½ day
Community Centres (including Men’s Shed)	Day 5 - 7	C.1.2 – Business Planning C.2.2 – Policy & procedures C.2.4 – Risk Management C.3.3 – Purchasing and Contract Management C.4.1 – HR C.4.2 – WHS C.4.3 – Cultural Inclusion C.5.1 – Working Collaboratively C.5.2 – Team Work C.6.1 – Communication C.7.1 – Outcomes Monitored C.8.1 – Consumer and Community Engagement C.8.2 – Consumer Feedback and Complaints	Detailed as required within the framework relevant to the service delivery and management of staff at a service delivery level	# centres (1/2 day each)

Key personnel	DATE	ASES Workbook Section	Specifics	How Long
Civil Operations / Building Assets and Environment Team / Strategic Assets / Civil Assets	Day 8	C.1.2 – Business Planning C.2.4 – Risk Management C.3.2 – Asset Management C.3.3 – Purchasing and Contract Management C.4.2 – WHS C.5.1 – Working Collaboratively C.5.2 – Team Work C.6.1 – Communication	To provide an overview of any external standards that department may need comply with, business / operational plans, example of communication structures, example of management of complaints, example of risk management,	
	Day 8		Document review / closing meeting	1 day

All of the above is indicative but should be used as a guide only. The scope of the assessment is unique to the organisation, the type of programs delivered, the organisations geographical dispersion and additional sites may be requested by funders if applicable.

Streamlining Multiple Standards

The Australian Service Excellence Standards is a whole of organisation quality improvement program. In some instances where organisations are already highly regulated and abide to multiple sets of standards an additional set of whole of organisation standards may not be cost effective or feasible. Organisations may choose to undertake an assessment that covers only part of their organisation. This needs to be carefully considered with multiple factors impacting on whether this partial assessment should be undertaken.

When seeking approval to undertake a partial assessment. The following decision tree will assist you to determine the feasibility of a partial or whole of organisation assessment.



