

## C.04 Program Performance and Monitoring

### 1.0 INTRODUCTION/BACKGROUND

The internal motivation for service performance and monitoring comes from the Mercy Services Mission and Philosophy Policy which says four basic principles (collegiality, subsidiarity, accountability and co-responsibility) are *“to help shape our organisational structures and processes”*.

Standard management practice also requires that plans and agreements be completed in the way and by the time specified. This is another reason why Mercy Services clarifies performance indicators and monitors the progress of each service.

### 2.0 PURPOSE

This policy applies to the Chief Executive Officer (CEO), Managers and Coordinators who are responsible for service performance and monitoring.

### 3.0 POLICY STATEMENT

The Mercy Services Board is responsible for ensuring that the performance of all services meets the standards set by Mercy Services, funding and regulatory bodies.

The CEO is responsible for ensuring that the systems are in place for regular, accurate reporting to the Mercy Services Board and funding bodies.

The CEO, Managers and Coordinators are responsible for timely and accurate reporting.

Mercy Services is fully committed to meeting the performance targets and complying with funding body requirements.

### 4.0 PROCEDURES

#### 4.01 Performance Indicators

Indicators of performance are identified and set during the planning process, and are noted in the Service Description and Operational Plan. As much as possible performance indicators will specify a quantity, quality and time. They are “indicators” of performance but are not seen as the first and last word regarding the performance of a service or its staff. Information from a range of sources and regarding the context of the service are needed before a realistic judgement of performance can be made. Nonetheless performance indicators are the standard form of reporting the progress of the program.

	<b>Examples of Performance Indicators</b>
Outputs	☑ <i>Number of Trips, Meals, Hours of Services in a month</i>
Outcomes	☑ <i>75% satisfaction rating from client satisfaction survey</i> ☑ <i>80% attainment of Care Plan goals</i>
Process requirements	☑ <i>All staff are competent in 50% safe work practices and procedures.</i> ☑ <i>All staff have an up to date job description and employment contract</i> ☑ <i>All staff receive regular supervision/support</i> ☑ <i>All staff have an annual Review and Development meeting/plan</i> ☑ <i>All staff have an individual 3 year training plan</i> ☑ <i>Rosters and other records of location and contact details of staff are accurate and easy to locate</i> ☑ <i>File audits show 90% completeness and adequacy (see Appendices)</i>

The CEO and relevant Manager liaise with Coordinators to develop realistic and relevant performance indicators. Some organisational functions (e.g., WHS) also have performance indicators.

#### 4.02 Regular program supervision

Typically a Manager will meet with a Coordinator each month to provide support and supervision. The Agenda for fortnightly meeting may include:

- How does the Coordinator feel about their work and role at the moment
- How does the Coordinator feel about their staff's work and role at the moment
- Client issues (*both new and report on carried over issues*)
- Issues with other services (*both new and report on carried over issues*)
- What is working well? (*both new and report on carried over issues*)
- What isn't working well? (*both new and report on carried over issues*)
- Learning and Development issues (*both new and report on carried over issues*)
- WHS issues (*both new and report on carried over issues*)
- CALD issues (*both new and report on carried over issues*)
- Indigenous issues (*both new and report on carried over issues*)

#### 4.03 Reporting of Performance

Coordinators and other applicable staff collect performance data and report these in their monthly report. The contents of monthly reports are:

- 1) Performance indicators
- 2) Service issues
- 3) Client issues
- 4) Staffing issues
- 5) Complaints/comments
- 6) Safety issues including adequacy of controls on Extreme or High rated Risk Assessments
- 7) Meetings/events attended

Coordinators will email their monthly reports to their Manager. Each Manager will summarise these program reports and include a report on their own work. The Manager will then email the Manager a copy of their report and unaltered copies of the Coordinator's reports. The CEO will use the Manager's reports and their own report as a report to the Board. After the Board has accepted the Chief Executive Officer's report s/he will email a copy of this report to all Coordinators and Managers.

The Manager will conduct an audit every three months of a random selection of 10% of each program's clients (up to a maximum of 10 clients) to ascertain compliance with file standards (see Appendix 1-5). If any of the mandatory elements (designated with an asterisk \*) are more than 6 months out of date the whole file is marked as 0%. Otherwise, points are forfeited from just that item depending on the length of time the item is overdue at 10% per month overdue. Managers record the average results of the audit in a central location (currently [..\..\ManagementFile audits](#)).

The CEO and relevant Manager analyse indicator data and assist Coordinators and other applicable staff to find ways of meeting the targets or revising these.

Positive feedback is given to staff when performance indicators are met. If objectives are not being achieved, barriers to achievement are identified and solutions developed to increase the likelihood of achievement.

The CEO is responsible for ensuring that all reports to funding bodies are accurate and timely.

## 5.0 REFERENCES

<b>1. Australian Standards</b>	a) AS/NZS 4360: Risk Management b) HB 185-2004 Human Resources - Guidelines on Emerging Good Practice
<b>2. Legislation</b>	a) Corporations Act 2001 (Cth) b) Work Health Safety Act, 2011 (NSW)
<b>3. Professional guidelines</b>	a) nil
<b>4. Codes of Practice</b>	a) nil
<b>5. Codes of Ethics</b>	a) Australian Association of Social Workers Code of Ethics <a href="http://www.aasw.asn.au/document/item/1201">http://www.aasw.asn.au/document/item/1201</a> b) Australian Psychological Association Code of Ethics <a href="http://www.psychology.org.au/Assets/Files/Code_Ethics_2007.pdf">http://www.psychology.org.au/Assets/Files/Code_Ethics_2007.pdf</a> c) The Nursing and Midwifery Board of Australia. Registration Requirements <a href="http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx">http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx</a> d) Integrity in the Service of the Church <a href="https://www.catholic.org.au/media-centre/media-releases/cat_view/10-organisations/38-national-committee-for-professional-standards">https://www.catholic.org.au/media-centre/media-releases/cat_view/10-organisations/38-national-committee-for-professional-standards</a> e) Mercy Services Code of Conduct
<b>6. Evidence</b>	a) nil
<b>7. Mercy Services Values</b>	a) Justice, Respect, Care, Unity, Service

## 6.0 OTHER RELATED POLICIES AND PROCEDURES

### Policy sections

- A. Values Policies
- B. Board Policies
- C. Organisation Management
- D. Financial Management / Administration Policies
- E. Service Delivery
- F. Staff / Volunteers Policies
- G. Work Health & Safety Policies

## 7.0 RELATIONSHIP WITH STANDARDS

<b>Aged Care Accreditation Standards</b>	<b>Home Care Standards</b>	<b>NSW Disability Standards</b>	<b>EQulP Standards</b>
1.1, 1.2, 1.4, 1.5, 1.6, 1.8, 2.1, 2.2, 2.3, 3.1, 3.2, 3.3, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 4.7, 4.8	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 2.2, 2.3, 2.4, 2.5, 3.2, 3.3, 3.4, 3.5	1.1, 3.2, 3.3, 4.3, 4.5, 4.6, 6.3, 6.4, 6.5,	1.1.4, 1.1.6, 1.3.1, 1.4.1, 2.1.1, 2.1.2, 2.1.3, 3.1.1, 3.1.2, 3.1.5

## 8.0 DOCUMENT CHANGES RECORD

<b>Dates of change</b>	<b>Section altered</b>	<b>Natures of changes made</b>
July 2001	Section 2 Governance Policy Section 3 Board of Directors Policy	First record of relevant policy First record of relevant policy
12/10/2009	a) All sections	a) Major rewrite
01/02/2010	Appendix 1-3	Added
16/08/2010	Appendix 4 and 5	Added
07/02/2011	a) 4.01 b) 4.03 c) 7.0 d) Appendices 1-5	a) Addition of Care Plan content to file audit and requirement for 90% in audit b) Files audits now every three months c) Updated with new Community Care and EQulP standards d) Updated with shading for mandatory fields and scoring column
09/03/2011	Appendix 2	Replaced Direct Debit form with Day Centre Activity Assessment
29/06/2012	Appendices 1- 5	Added check of eligibility and fees
14/11/2012	All Sections	Organisation name updated
21/01/2013	a) 4.01 b) Appendices HACC and CACP c) Appendix 3 NECC d) Appendix 4 Foster Grandparents	a) Change file audit specification to "(see Appendices)" b) Combined with additional explanatory notes c) Added d) Format change
07/07/2014	a) 4.02 Regular Program Supervision b) 7.0 Relationship to Standards c) Appendix 2 HSP/NDIS/HCP Client file checklist d) Appendix 3 NECC file audit	a) Change to monthly and agenda list changed to suggested rather than required b) Added Aged Care Accreditation Standards. Updated Disability Standards c) Updated due to CDC changes at HCP and addition of Falls and Nutrition Assessments d) Changed in light of enhanced Registration Card

01/03/2015	a) Appendix 2 b) Appendix 4	a) Add equipment loan, shift flags, lunch break, shift notes b) Delete Foster Grandparents Audit
29/06/2015	a) Appendix 2 HCP b) Appendix 3 HSP/NDIS c) Appendix 4 NECC d) Appendix 5 old FGP e) Appendix 5 new CT	a) Restrict to HCP only - add NSAF, add split file record, add Quality & Clarity Check b) Restrict to HSP/NDIS only - add NSAF, add split file record, add Quality & Clarity Check c) add split file record, add Quality & Clarity Check d) delete e) add NSAF, add split file record, add Quality & Clarity Check
14/08/2015	a) Appendix 2 HCP	a) Add Centrelink income tested fee letter and Psychogeriatric Scale. Replace NSAF with ACAT fax.
17/11/2015	a) Appendix 2 HCP b) Appendix 3 HSP/NDIS c) Appendix 6 Community Nursing	a) Add Falls Assessment and Management Plan b) Add Personal Care Needs Plan and Falls Assessment and Management Plan c) New file audit checklist
14/03/2016	a) Appendix 2 HCP file audit checklist b) Appendix 7 Day Centre file audit checklist	a) Add Day Centre Care Plan and delete Nutrition Assessment b) New section
31/03/2016	a) Appendices 2 – 7 b) Appendix 8: Aged or Disability Service Client File Requirements	a) Remove Quality and Clarity Checklist and add Manager interview of client b) New section combining previous separate HCP and HSP/NDIS notes
17/05/2016	a) Appendix 8: Support Coordination (NDIS) Client File Requirements b) Previous Appendix 8: Aged or Disability Service Client File Requirements	a) New section b) Renamed as Appendix 9
15/06/2016	a) Appendix 2 HCP, Appendix 3 HSP, Appendix 4 NECC, Appendix 7 Day Centre b) Appendix 9 - Aged or Disability Service Client File Requirements	a) Add Medication Plan and Consent form b) Add Medication Plan and Consent form and Equipment Loan form
07/03/2017	a) 4.03 Reporting of Performance b) Appendix 2 HCP, c) All Appendices	a) Add explanation of file audit scoring b) Remove asterisk from Centrelink letter c) Applicable renamed Mandatory
Review due 07/03/2020		

### McAuley Outreach/Parenting File Audit Checklist

Client I.D: ..... Audit date: ..... Audited by: .....

	Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
File covers page with relevant client details				
Referral / intake form with 3 points of ID				
Case note pages in chronological order (numbered with client file number in top right-hand corner)				
File notes adequately record changes in client needs/care				
Case plan, with 3 points of ID and signed by client (if applicable)			*	
Copies of correspondence and other client-related documentation (in order, with most recent at the front)				
Assessment 1 form with 3 points of ID				
Assessment 2 form with 3 points of ID				
BTOM (if applicable)				
Client is eligible for service as per Mercy Services Policy				
"Consent to release information" form			*	
Intake letter (if applicable)				
Case review record form			*	
Exit interview form				
Hazard I.D. form (Client Home Checklist)				
Signature form				
Client risk assessment form with 3 points of ID			*	
All occasions of service recorded on monthly statistics				
<b>Total</b>				

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments:.....  
 .....  
 .....

### HCP File Audit Checklist

Appendix 2

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

	Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>				
	Split file record (if applicable)			
	Care Plan			*
	Client Risk Assessment (in Care Plan)			*
	Emergency Plan (in Care Plan)			
	HCP Day Centre Care Plan (if applicable)			
	Falls Assessment and Management Plan			*
	CDC Budget			
	Involvement & Control in Decision Making Form			*
	Centrelink letter clarifying amount of income tested fee			
	Client Home Environment Checklist			*
	Nutrition Assessment			
	Client Agreement			*
	Client consent to communicate (in Client Agreement)			
	Medication Plan and Consent Form			
	Psychogeriatric Assessment Scale (if applicable)			
	Care Plan work sheet			
	Aged Care Client Record (ACCR)/ACAT referral			
	Ongoing Needs Identification (ONI)			
	Equipment loan form			
Signature Identification Form				
Letter to GP - informing them we have commenced service				
Client is eligible for service - as per Policy				
Fees charged comply with Policy				
Correspondence, reports etc and expired client documents				
<b>Electronic file</b>	Care notes adequately record changes in client needs/care			
	Contacts accurate			
	Roster accurate			
	Alerts/Emergency Summary – accurate & current			
<b>Total</b>				

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments: .....

**Manager phone or face-to-face interview of client at the time of client file audit**

Audit date:.....

Audited by: .....

Questions	✓	<i>The response hoped for by Mercy Services</i>		
How well do our services meet your needs? <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 0 = Not at all <span style="float: right;">excellent = 10</span>				
Are there any ways our staff or services could be better?				
Are you comfortable with the amount you will pay us?		Yes		
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement		
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service		
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services		
How confident do you feel to make a complaint/comment about Mercy Services? <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 0 = Not at all <span style="float: right;">very confident = 10</span>		We want you to feel very confident to make a complaint/comment about Mercy Services		
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:  <div style="display: flex; justify-content: space-around; text-align: center;"> <div><b>HCP &amp; HSP =</b> The Complaints Unit: DSS</div> <div><b>HCP &amp; HSP =</b> The Aged Care Rights Service</div> <div><b>NDIS =</b> NDIA</div> <div><b>Community Transport =</b> NSW Ombudsman</div> </div> </li> </ol> At any stage you can involve a support person or advocate (see below)		
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.		
What do you think advocacy is?		Advocacy means 'standing by' someone, or 'speaking out' for someone's rights, or 'going into bat' for another person - 'being on their side', when they are treated unfairly or when they need help expressing themselves		
Do you know which advocacy service could help you?		HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service		



### HSP/NDIS File Audit Checklist

Appendix 3

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

	Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>	Split file record			
	Care Plan		*	
	Client Risk Assessment (in Care Plan)		*	
	Emergency Plan (in Care Plan)		*	
	Client Agreement (in Care Plan)		*	
	Client consent to communicate (in Care Plan)		*	
	Falls Assessment and Management Plan			
	Personal Care Needs plan			*
	Medication Plan and Consent Form			
	Nutrition Assessment			
	Client Home Environment Checklist			*
	Care Plan work sheet/Day Centre Assessment			
	Ongoing Needs Identification (ONI)			
	Equipment loan form			
	Client is eligible for service - as per Policy			
	Fees charged comply with Policy			
Correspondence, reports etc in a sleeve at the back				
Expired client documents in a sleeve at the very back				
<b>Electronic file</b>	Care notes adequately record changes in client needs/care			
	Contacts include people/organisations that the client has consented for Mercy to communicate with			
	Roster accurate			
	Alerts/Emergency Summary – accurate & current			
<b>Total</b>				

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments: .....

.....

**Manager phone or face-to-face interview of client at the time of client file audit**

Audit date:.....

Audited by: .....

Questions	✓	The response hoped for by Mercy Services				
How well do our services meet your needs? <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 0 = Not at all <span style="float: right;">excellent = 10</span>						
Are there any ways our staff or services could be better?						
Are you comfortable with the amount you will pay us?		Yes				
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement				
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service				
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services				
How confident do you feel to make a complaint/comment about Mercy Services? <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 0 = Not at all <span style="float: right;">very confident = 10</span>		We want you to feel very confident to make a complaint/comment about Mercy Services				
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:                             <table border="0" style="margin-left: 40px;"> <tr> <td style="padding-right: 20px;"><b>HCP &amp; HSP =</b> The Complaints Unit: DSS</td> <td style="padding-right: 20px;"><b>HCP &amp; HSP =</b> The Aged Care Rights Service</td> <td style="padding-right: 20px;"><b>NDIS =</b> NDIA</td> <td><b>Community Transport =</b> NSW Ombudsman</td> </tr> </table> </li> </ol> At any stage you can involve a support person or advocate (see below)	<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman
<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman			
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.				
What do you think advocacy is?		Advocacy means 'standing by' someone, or 'speaking out' for someone's rights, or 'going into bat' for another person - 'being on their side', when they are treated unfairly or when they need help expressing themselves				
Do you know which advocacy service could help you?		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">HCP &amp; HSP = The Aged Care Rights Service</td> <td style="width: 33%; text-align: center;">NDIS = Disability Advocacy</td> <td style="width: 33%; text-align: center;">Community Transport = either aged or disability</td> </tr> </table>	HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability	
HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability				
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service				

### Mercy Newcastle Elderly Citizens Centre File Audit Checklist

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

	Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>	Split file record			
	Registration Card This incorporates: <ul style="list-style-type: none"> <li>• Care Plan</li> <li>• Client Risk Assessment</li> <li>• Emergency Plan</li> <li>• Client Agreement</li> <li>• Client consent to communicate</li> <li>• Basic information (other programs use ONI)</li> </ul>		*	
	Medication Plan and Consent Form (if applicable)			
	Client is eligible for service - as per Policy			
	Fees charged comply with Policy			
	Correspondence, reports etc in a sleeve at the back			
	Expired client documents in a sleeve at the back			
<b>Electronic file</b>	Notes adequately record changes in client needs/care			
	Contacts include people/organisations that the client has consented for Mercy to communicate with			
	Roster shows services in accord with the Care Plan			
	Alerts/Emergency Summary – accurate & current			
<b>Total</b>				

Client file complies with audit conditions? Yes / No      Average percentage rating: .....

Further actions / comments:.....  
.....

### Manager phone or face-to-face interview of client at the time of client file audit

Audit date: .....

Audited by: .....

Questions	✓	<i>The response hoped for by Mercy Services</i>	
How well do our services meet your needs? <div style="border: 1px solid black; width: 100%; height: 15px; margin: 5px 0;"></div> 0 = Not at all                                  excellent = 10			
Are there anyways our staff or services could be better?			
Are you comfortable with the amount you will pay us?	Yes		
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement	
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service	
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services	
How confident do you feel to make a complaint/comment about Mercy Services? <div style="border: 1px solid black; width: 100%; height: 15px; margin: 5px 0;"></div> 0 = Not at all                                  very confident = 10		We want you to feel very confident to make a complaint/comment about Mercy Services	
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:  <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="text-align: center;"><b>HCP &amp; HSP =</b> The Complaints Unit: DSS</div> <div style="text-align: center;"><b>HCP &amp; HSP =</b> The Aged Care Rights Service</div> <div style="text-align: center;"><b>NDIS =</b> NDIA</div> <div style="text-align: center;"><b>Community Transport =</b> NSW Ombudsman</div> </div> </li> </ol> At any stage you can involve a support person or advocate (see below)	
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.	
What do you think advocacy is?		Advocacy means <i>'standing by'</i> someone, or <i>'speaking out'</i> for someone's rights, or <i>'going into bat'</i> for another person - <i>'being on their side'</i> , when they are treated unfairly or when they need help expressing themselves	
Do you know which advocacy service could help you?		HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Community Transport = either aged or disability	
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service	

## Community Transport File Audit Checklist

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

		Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
	Split file record				
<b>1</b>	<b>Overview</b>				
	Letter confirming Client Agreement & Care Plan				
	Client Risk Assessment ( <i>may be incorporated in Care Plan – must address risks identified in ONI/Home Checklist</i> )				
	Client consent to communicate list (verbal agreement noted ONI/client referral)				
<b>2</b>	<b>Assessment</b> (the newest version goes on top and a line across the old version)				
	Referral information [Ongoing Needs Identification (ONI) or National Screening & Assessment Form (NSAF) – either from My Aged Care, another service, by Mercy Services or self referral when CTP/Health clients]				
	Client fitness to travel (if applicable)				
	Wheelchair Risk assessment (If applicable)				
	Client is eligible for service as per Mercy Services Policy				
	Fees charged comply with Mercy Services Policy				
<b>3</b>	<b>Correspondence etc.</b>				
	Letter and reports sent to us and those we have sent others				
<b>4</b>	<b>Electronic file (TMA)</b>				
	Record of all service instances				
	People/organisations that the client has consented for Mercy Services to communicate with are listed in the contacts list				
	Comments section records changing and/or special needs				
	Alert for clients with a split file				
<b>Total</b>					

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments:.....

## Manager phone or face-to-face interview of client at the time of client file audit

Audit date:.....

Audited by: .....

Questions	✓	The response hoped for by Mercy Services										
How well do our services meet your needs? <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> </tr> </table> <i>0 = Not at all</i> <span style="float: right;"><i>excellent = 10</i></span>											✓	
Are there any ways our staff or services could be better?	✓											
Are you comfortable with the amount you will pay us?	✓	Yes										
What option have you chosen for payment?	✓	Client has chosen one of the five options detailed in the Client Agreement										
Do you know that Mercy Services can help you contact extra or another service?	✓	Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service										
Do you know that you can make a complaint/comment about Mercy Services?	✓	You can always make a complaint/comment about Mercy Services										
How confident do you feel to make a complaint/comment about Mercy Services? <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> <td style="border: 1px solid black; width: 20px; height: 15px;"></td> </tr> </table> <i>0 = Not at all</i> <span style="float: right;"><i>very confident = 10</i></span>											✓	We want you to feel very confident to make a complaint/comment about Mercy Services
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?	✓	<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:  <table style="width: 100%; margin-left: 20px;"> <tr> <td style="text-align: center;"><b>HCP &amp; HSP =</b></td> <td style="text-align: center;"><b>HCP &amp; HSP =</b></td> <td style="text-align: center;"><b>NDIS =</b></td> <td style="text-align: center;"><b>Community Transport =</b></td> </tr> <tr> <td style="text-align: center;">The Complaints Unit: DSS</td> <td style="text-align: center;">The Aged Care Rights Service</td> <td style="text-align: center;">NDIA</td> <td style="text-align: center;">NSW Ombudsman</td> </tr> </table> </li> </ol> At any stage you can involve a support person or advocate (see below)	<b>HCP &amp; HSP =</b>	<b>HCP &amp; HSP =</b>	<b>NDIS =</b>	<b>Community Transport =</b>	The Complaints Unit: DSS	The Aged Care Rights Service	NDIA	NSW Ombudsman		
<b>HCP &amp; HSP =</b>	<b>HCP &amp; HSP =</b>	<b>NDIS =</b>	<b>Community Transport =</b>									
The Complaints Unit: DSS	The Aged Care Rights Service	NDIA	NSW Ombudsman									
Do you know who could support you to make a complaint/comment about Mercy Services?	✓	We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.										
What do you think advocacy is?	✓	Advocacy means 'standing by' someone, or 'speaking out' for someone's rights, or 'going into bat' for another person - 'being on their side', when they are treated unfairly or when they need help expressing themselves										
Do you know which advocacy service could help you?	✓	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 33%; padding: 5px;">HCP &amp; HSP = The Aged Care Rights Service</td> <td style="border: 1px solid black; width: 33%; padding: 5px;">NDIS = Disability Advocacy</td> <td style="border: 1px solid black; width: 33%; padding: 5px;">Community Transport = either aged or disability</td> </tr> </table>	HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability							
HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability										
Do you know that Mercy Services can help you make a complaint/ comment about another service?	✓	Mercy Services can help you make a complaint/comment about another service										

### Community Nursing File Audit Checklist

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

		Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>	Split file record (if relevant)				
	Care Plan			*	
	Client Risk Assessment (in Care Plan)			*	
	Falls Assessment and Management Plan				
	Emergency Plan (in Care Plan)			*	
	Client Agreement (in Care Plan)			*	
	Client consent to communicate (in Care Plan)			*	
	Nutrition Assessment (see Pressure Area Assessment)				
	Client Home Environment Checklist			*	
	Basic Foot Care Assessments			*	
	Pressure Area Assessment				
	Ongoing Needs Identification (ONI)				
	Wound Care Assessments				
	Client is eligible for service - as per Policy				
	Fees charged comply with Policy				
	Correspondence, reports etc in a sleeve at the back				
Expired client documents in a sleeve at the very back					
<b>Electronic file</b>	Care notes adequately record changes in client needs/care				
	Contacts include people/organisations that the client has consented for Mercy to communicate with				
	Discharge letter/exit form completed.				
	Alerts/Emergency Summary – accurate & current				
<b>Total Score</b>					

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments: .....

.....

**Manager phone or face-to-face interview of client at the time of client file audit**

Audit date:.....

Audited by: .....

Questions	✓	The response hoped for by Mercy Services										
How well do our services meet your needs? <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> </tr> </table> <i>0 = Not at all</i> <span style="float: right;"><i>excellent = 10</i></span>												
Are there any ways our staff or services could be better?												
Are you comfortable with the amount you will pay us?		Yes										
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement										
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service										
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services										
How confident do you feel to make a complaint/comment about Mercy Services? <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> </tr> </table> <i>0 = Not at all</i> <span style="float: right;"><i>very confident = 10</i></span>												We want you to feel very confident to make a complaint/comment about Mercy Services
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:  <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;"><b>HCP &amp; HSP =</b></td> <td style="text-align: center;"><b>HCP &amp; HSP =</b></td> <td style="text-align: center;"><b>NDIS =</b></td> <td style="text-align: center;"><b>Community Transport =</b></td> </tr> <tr> <td style="text-align: center;">The Complaints Unit: DSS</td> <td style="text-align: center;">The Aged Care Rights Service</td> <td style="text-align: center;">NDIA</td> <td style="text-align: center;">NSW Ombudsman</td> </tr> </table> </li> </ol> <p>At any stage you can involve a support person or advocate (see below)</p>	<b>HCP &amp; HSP =</b>	<b>HCP &amp; HSP =</b>	<b>NDIS =</b>	<b>Community Transport =</b>	The Complaints Unit: DSS	The Aged Care Rights Service	NDIA	NSW Ombudsman		
<b>HCP &amp; HSP =</b>	<b>HCP &amp; HSP =</b>	<b>NDIS =</b>	<b>Community Transport =</b>									
The Complaints Unit: DSS	The Aged Care Rights Service	NDIA	NSW Ombudsman									
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.										
What do you think advocacy is?		Advocacy means 'standing by' someone, or 'speaking out' for someone's rights, or 'going into bat' for another person - 'being on their side', when they are treated unfairly or when they need help expressing themselves										
Do you know which advocacy service could help you?		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">HCP &amp; HSP = The Aged Care Rights Service</td> <td style="width: 33%; text-align: center;">NDIS = Disability Advocacy</td> <td style="width: 33%; text-align: center;">Community Transport = either aged or disability</td> </tr> </table>	HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability							
HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability										
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service										



## Day Centre File Audit Checklist

Appendix 7

Most Day Centre clients are also clients of NDIS, HCP or HSP.  
 Where this is the case the Day Centre file is usually with the main NDIS, HCP or HSP file.  
 Therefore a separate file audit is not conducted.  
 This file audit checklist is for clients whose only Mercy Services program is Day Centre.

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date: ..... Audited by: .....

		Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>	Split file record				
	Care Plan (use either HSP Care Plan or HCP Day Centre Care Plan)			*	
	Client Risk Assessment (in Care Plan)			*	
	Emergency Plan (in Care Plan)			*	
	Client Agreement (in Care Plan)			*	
	Client consent to communicate (in Care Plan)			*	
	Falls Assessment and Management Plan				
	Medication Plan and Consent Form				
	Nutrition Assessment				
	Client Home Environment Checklist			*	
	Day Centre Assessment Form				
	Ongoing Needs Identification (ONI)				
	Client is eligible for service - as per Policy				
	Fees charged comply with Policy				
	Correspondence, reports etc in a sleeve at the back				
Expired client documents in a sleeve at the very back					
<b>Electronic file</b>	Care notes adequately record changes in client needs/care				
	Contacts include people/organisations that the client has consented for Mercy to communicate with				
	Roster accurate				
	Alerts/Emergency Summary – accurate & current				
<b>Total</b>					

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments: .....

### Manager phone or face-to-face interview of client at the time of client file audit

Audit date:.....

Audited by: .....

Questions	✓	<i>The response hoped for by Mercy Services</i>				
How well do our services meet your needs? <div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"><span>0 = Not at all</span><span>excellent = 10</span></div>						
Are there any ways our staff or services could be better?						
Are you comfortable with the amount you will pay us?	Yes					
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement				
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service				
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services				
How confident do you feel to make a complaint/comment about Mercy Services? <div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"><span>0 = Not at all</span><span>very confident = 10</span></div>		We want you to feel very confident to make a complaint/comment about Mercy Services				
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency: <table style="width: 100%; border: none;"> <tr> <td style="width: 25%;"><b>HCP &amp; HSP =</b> The Complaints Unit: DSS</td> <td style="width: 25%;"><b>HCP &amp; HSP =</b> The Aged Care Rights Service</td> <td style="width: 25%;"><b>NDIS =</b> NDIA</td> <td style="width: 25%;"><b>Community Transport =</b> NSW Ombudsman</td> </tr> </table> </li> </ol> <p>At any stage you can involve a support person or advocate (see below)</p>	<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman
<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman			
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.				
What do you think advocacy is?		Advocacy means ‘standing by’ someone, or ‘speaking out’ for someone’s rights, or ‘going into bat’ for another person - ‘being on their side’, when they are treated unfairly or when they need help expressing themselves				
Do you know which advocacy service could help you?		<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border: none;">HCP &amp; HSP = The Aged Care Rights Service</td> <td style="width: 33%; border: none;">NDIS = Disability Advocacy</td> <td style="width: 33%; border: none;">Community Transport = either aged or disability</td> </tr> </table>	HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability	
HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability				
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service				

### Support Coordination (NDIS) File Audit Checklist

Client's Name: ..... D.O.B.: .....

Address: ..... Phone: .....

Audit date:..... Audited by: .....

		Present (✓)	Adequately Completed (✓)	Date completed (* mandatory)	Score
<b>Paper file</b>	File cover sheet				
	Split file record				
	Basic Case Notes				
	Mercy Care Plan up to date			*	
	Emergency Plan (in Care Plan)				
	Client Agreement (in Care Plan)				
	Client consent to communicate (in Care Plan)			*	
	Client Risk Assessment			*	
	Client Home Environment Checklist				
	Service Agreement if applicable/ Request for service				
	NDIA care plan				
	Intake referral form				
	Signature Form				
	Equipment loan form if applicable				
Correspondence, reports etc. at the back of file or electronically saved					
<b>Electronic file</b>	Care notes (carelink) adequately record service contact and actions.				
	Care plan				
	Consent to communicate				
				<b>Total</b>	

Client file complies with audit conditions? Yes / No

Average percentage rating: .....

Further actions / comments: .....  
 .....

## Manager phone or face-to-face interview of client at the time of client file audit

Audit date:.....

Audited by: .....

Questions	✓	<i>The response hoped for by Mercy Services</i>				
How well do our services meet your needs? <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <i>0 = Not at all</i> <span style="float: right;"><i>excellent = 10</i></span>						
Are there any ways our staff or services could be better?						
Are you comfortable with the amount you will pay us?		Yes				
What option have you chosen for payment?		Client has chosen one of the five options detailed in the Client Agreement				
Do you know that Mercy Services can help you contact extra or another service?		Mercy Services can help you access another service – in addition or instead of ours. We can provide information about other services, the contact details for other services, support to you when you contact the other service				
Do you know that you can make a complaint/comment about Mercy Services?		You can always make a complaint/comment about Mercy Services				
How confident do you feel to make a complaint/comment about Mercy Services? <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <i>0 = Not at all</i> <span style="float: right;"><i>very confident = 10</i></span>		We want you to feel very confident to make a complaint/comment about Mercy Services				
Do you know who within Mercy Services you should go to when you want to make a complaint/comment?		<ol style="list-style-type: none"> <li>1. You are encouraged to raise your complaint with the staff member/volunteer concerned in the first instance.</li> <li>2. If you are not happy to discuss the issue with the staff member concerned, not satisfied with the outcome, or not had an outcome after 3 business days you can contact your Mercy Services Coordinator. At any stage you may involve an advocate to negotiate on their behalf.</li> <li>3. If you are not happy to discuss the issue with your Mercy Services Coordinator, not satisfied with the outcome, or not had an outcome after 3 business days you can raise the issue with the Manager. If you want you can have an advocate or support person present.</li> <li>4. If the issue is still not satisfactorily resolved or is not resolved after 3 business days you can raise the issue with the CEO. The CEO may offer you the option of having a neutral third party mediator to assist in resolving the complaint.</li> <li>5. If you are not happy with the outcome or the issue is still unresolved after 3 business days you have the right to appeal the decision to The Chairperson, Board of Directors, C/o 32 Union St., Tighes Hill 2297.</li> <li>6. The Board of Directors may need one or two months to discuss the issue as that is as frequently as they meet.</li> <li>7. If after approaching the above people the issue is still not resolved, you should refer your complaint to the appropriate agency:  <table style="width: 100%; border: none; margin-top: 5px;"> <tr> <td style="text-align: center;"><b>HCP &amp; HSP =</b> The Complaints Unit: DSS</td> <td style="text-align: center;"><b>HCP &amp; HSP =</b> The Aged Care Rights Service</td> <td style="text-align: center;"><b>NDIS =</b> NDIA</td> <td style="text-align: center;"><b>Community Transport =</b> NSW Ombudsman</td> </tr> </table> </li> </ol> <p>At any stage you can involve a support person or advocate (see below)</p>	<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman
<b>HCP &amp; HSP =</b> The Complaints Unit: DSS	<b>HCP &amp; HSP =</b> The Aged Care Rights Service	<b>NDIS =</b> NDIA	<b>Community Transport =</b> NSW Ombudsman			
Do you know who could support you to make a complaint/comment about Mercy Services?		We want you to be able to name one or two people who you can count on to help you make a complaint/comment to Mercy Services. It would be better if this person was not a staff member or volunteer at Mercy Services as they may be the person you want to complain about.				
What do you think advocacy is?		Advocacy means 'standing by' someone, or 'speaking out' for someone's rights, or 'going into bat' for another person - 'being on their side', when they are treated unfairly or when they need help expressing themselves				
Do you know which advocacy service could help you?		<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border: none;">HCP &amp; HSP = The Aged Care Rights Service</td> <td style="width: 33%; border: none;">NDIS = Disability Advocacy</td> <td style="width: 33%; border: none;">Community Transport = either aged or disability</td> </tr> </table>	HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability	
HCP & HSP = The Aged Care Rights Service	NDIS = Disability Advocacy	Community Transport = either aged or disability				
Do you know that Mercy Services can help you make a complaint/ comment about another service?		Mercy Services can help you make a complaint/comment about another service				

## Aged or Disability Service Client File Requirements

	<b>Element</b>	<b>Requirement</b>
<b>Paper file</b>	Split file record	<ul style="list-style-type: none"> <li>• Must state location of other paper records with other Mercy Services programs</li> </ul>
	Care Plan	<ul style="list-style-type: none"> <li>• with 3 points of ID completed</li> <li>• Written/reviewed within the past 12 months</li> <li>• Must addresses needs identified in ONI</li> <li>• All sections must be completed or marked "not applicable"</li> <li>• Previous Care Plan rating of achievement was completed</li> </ul>
	Client Risk Assessment (in Care Plan)	<ul style="list-style-type: none"> <li>• Written/reviewed within the past 12 months</li> <li>• Must list any ongoing risk identified in ONI, Client Home Checklist, and/or Carelink+ notes</li> <li>• Must never be blank – can state "none identified" for risks</li> </ul>
	Emergency Plan (in Care Plan)	<ul style="list-style-type: none"> <li>• Written/reviewed within the past 12 months</li> <li>• Needs to address emergencies that according to the ONI are inevitable</li> <li>• Needs to clearly communicate what CCA and relieving Coordinator need to do if clients doesn't respond to visit and/or if there is an emergency e.g. position &amp; code of locked box</li> <li>• No field should be blank – can state "none identified" or "not applicable"</li> </ul>
	HCP Day Centre Care Plan (HCP only)	<ul style="list-style-type: none"> <li>• Completed by Day Centre staff for HCP clients participating in that program</li> </ul>
	Falls Assessment and Plan	<ul style="list-style-type: none"> <li>• Must adequately identify and address needs</li> </ul>
	Nutrition Assessment	<ul style="list-style-type: none"> <li>• None specified</li> </ul>
	Personal Care Needs (HSP/NDIS only)	<ul style="list-style-type: none"> <li>• Written by Community Nurse detailing personal care procedures for clients with more complex personal care needs</li> </ul>
	Medication Plan and Consent Form	<ul style="list-style-type: none"> <li>• Accurately completed and signed</li> </ul>
	Involvement & Control in Decision Making Form (HCP only)	<ul style="list-style-type: none"> <li>• Must be completed and signed by client and Coordinator</li> <li>• with 3 points of ID completed</li> </ul>
	Centrelink letter with amount of income tested fee (HCP only)	<ul style="list-style-type: none"> <li>• This specifies whether an income tested fee applies and if it does this amount should be in the client budget</li> </ul>
	CDC Budget (HCP only)	<ul style="list-style-type: none"> <li>• All relevant sections must be completed with 3 points of ID completed and signed by client and Coordinator</li> <li>• Amount client pays must be stated and in line with Mercy Services fee level</li> </ul>
	Client Home Environment Checklist	<ul style="list-style-type: none"> <li>• Written/reviewed within the past 12 months</li> <li>• All sections must be completed with 3 points of ID completed or marked "not applicable"</li> </ul>
	Client Agreement (HCP only)	<ul style="list-style-type: none"> <li>• All sections must be completed with 3 points of ID completed or marked "not applicable"</li> <li>• Must be less than three years old</li> <li>• Fee ceiling section must show a % of pension or say "Nil" or "N/A"</li> </ul>
Incl. consent to communicate (in Care Plan for HSP/NDIS)	<ul style="list-style-type: none"> <li>• In Client Agreement for HCP also in HCP Emergency Plan</li> <li>• People named in ONI or ACCR as contacts should be named in the consent to communicate OR a signed and dated note in ONI explaining why person is no longer a contact</li> </ul>	

	<b>Element</b>	<b>Requirement</b>
	Psychogeriatric Assessment Scale (HCP only)	<ul style="list-style-type: none"> <li>Must be present when a dementia supplement is being claimed</li> <li>with 3 points of ID completed</li> </ul>
	Care Plan work sheet	<ul style="list-style-type: none"> <li>Optional document used to gather client strengths, needs, aspirations for Care Plan</li> </ul>
	ACCR or ACAT fax (HCP only)	<ul style="list-style-type: none"> <li>This confirms that ACAT have assessed the client as eligible</li> </ul>
	Ongoing Needs Identification (ONI)	<ul style="list-style-type: none"> <li>Must record who completed the ONI and on what date (for HSP the Functional Profile and Description of problem/issue is needed to show eligibility)</li> <li>Any later changes need to be signed and dated</li> </ul>
	Equipment loan form	<ul style="list-style-type: none"> <li>Applicable if the client has borrowed/hired equipment from Mercy Services</li> </ul>
	Signature Identification Form (HCP only)	<ul style="list-style-type: none"> <li>Shows signature of current Coordinator</li> </ul>
	Letter to client's GP	<ul style="list-style-type: none"> <li>A non-mandatory letter informing doctor that we have commenced service</li> </ul>
	Client is eligible for service - as per Policy	<ul style="list-style-type: none"> <li>Evidence to support eligibility must be in ONI fields for Functional Profile or Description of problem or issue. (see: Policy E.02 Service Access and Equity )</li> <li>Paper evidence of acceptance as a client by My Aged Care or NDIA</li> </ul>
	Fees charged comply with Policy	<ul style="list-style-type: none"> <li>The fee amount for clients must conform to the % of pension fee and ceiling or "uncapped" or "NA" written in the Client Agreement</li> <li>If the client is charged no fees there must be written approval by the CEO</li> <li>The amount and cap on fees on Client Agreement must be the same in Carelink+</li> </ul>
	Correspondence, reports etc in a sleeve at the back	<ul style="list-style-type: none"> <li>If applicable</li> </ul>
	Expired client documents in a sleeve at the back	<ul style="list-style-type: none"> <li>Only the current versions of each document should be in the front part of the paper file with previous versions store in a plastic sleeve at the back of the file</li> </ul>
<b>Electronic file</b>	Notes adequately record changes in client needs/care	<ul style="list-style-type: none"> <li>Number of notes would depend on complexity and frequency of services (e.g. one note a year might be adequate for home maintenance but not personal care)</li> <li>There should be a note recording for changes in Care Plan and other significant events</li> <li>Notes should be professionally written as per E.09 Client Records</li> </ul>
	Contacts include people/organisations that the client has consented for Mercy to communicate with	<ul style="list-style-type: none"> <li>The name and phone number of people named in Consent to Communicate are in Carelink+</li> <li>Any contacts in Carelink+ without permission should be archived until permission is obtained</li> <li>Carelink+ entry should show where contact has multiple roles e.g., Daughter, Guardian</li> </ul>
	Roster accurate	<ul style="list-style-type: none"> <li>The roster rules show services are provided with the frequency &amp; duration as per Care Plan</li> <li>Shift notes detail tasks involved and any dangers/requirements the CCA needs to know</li> <li>Lunch break for staff working more than 5 hours continuously</li> <li>Use of Flag coding is correct: <ul style="list-style-type: none"> <li>- Red flag = 2 CCAs</li> <li>- Yellow flag = Notify client of changes</li> <li>- Purple flag = Don't change shift</li> <li>- Green flag = Essential service</li> <li>- Black flag = more than one flag applies</li> </ul> </li> </ul>
	Alerts/Emergency Summary – accurate & current	<ul style="list-style-type: none"> <li>Alert for clients with a split record</li> <li>These should be current (still applicable)</li> <li>The information from the "Emergency Plan" must be recorded here</li> </ul>