



## HIA Quality Mark – Validation

### Notes to assist on completing the accreditation template

We appreciate that this accreditation is a serious investment in your services time and resources so want to help you make sense of what we are asking you to do here and the way in which you should present your evidence to us.

#### 1. Step one

**Organise your evidence.** Most of what we are asking for at validation level you should already have in place but it may not have been logged in a systematic way, we ask that you organise your evidence in this way

- *Give all the documents you will be referring to in your evidence a number*
- *Quote the number of the document in your evidence column on the template.*
- *If the document you are referring to is long say where in the document we can find the evidence you feel meets the objective (e.g.Doc 12, ( Health & Safety Policy), Section2, Paragraph 1, page 5-6)*
- *The safest way to send us the information is via a CD or memory stick which you have password protected. Post it to us and send the password by email to [victoriad@foundations.uk.com](mailto:victoriad@foundations.uk.com) or your validator*

#### 2 Step Two

**Check what you send us.**

- *Is up to date (i.e. reviewed within the last three years with a review by and a reviewed date on it)*

- *Meets the objective we have asked you to validate (e.g. you may have trained your staff, but do you keep this information on a log or spreadsheet which you are able to send us rather than a collection of emails or course bookings?)*

*n.b. If you feel you are meeting an objective but are doing so in a way which you are unable to evidence then let us know why this is the case, as it may be we are able to accept your explanation. You may also feel it is impossible for you to meet an objective for some other reason then please also put your reasons in the evidence column.*

### **3. Step Three**

#### ***Involve the whole service team to produce the evidence***

- *Don't try to get one person to complete the evidencing*
- *Involve the whole team as every member needs to be involved in this process for it to have benefit.*
- *If you are unsure of anything we are asking for, then please contact your validator.*

### **4. Step Four**

#### ***We have split this validation into eight related customer care and service development areas i.e.***

1. Minimum services from an HIA (what services are you offering your clients)
2. Assessment and support planning (how do you go about helping your clients)
3. Duty of care to clients and staff (legal compliance and best practice)
4. Fair access, diversity and inclusion (legal compliance and best practice)
5. Privacy and confidentiality (legal compliance and best practice)
6. Listening to your Customers (responsibilities of both parties, using complaints and feedback to develop services)
7. Forward Planning and Finance (financial discipline and growing services)
8. Staffing (investing in and listening to the staff)



## Quality Mark Evidence Template (to Validation Level)

(N.B. Service documents sent to us must carry the date when they were last reviewed)

<p style="text-align: center;"><b>Clause &amp; Objectives</b></p> <p style="text-align: center;"><i>The objectives your organisation needs to reach in order to obtain the HIA Quality Mark at Validated Level</i></p>	<p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;"><i>Document number or explanation as to how you feel you meet the objective</i></p> <p style="text-align: center;"><i>See appendix 2 for typical documents</i></p>	<p style="text-align: center;"><b>For use by Foundations</b></p>
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<p style="text-align: center;"><b>Objective 1: Minimum services from an HIA</b></p> <p style="text-align: center;"><i>The service should be holistic and offer a choice to clients</i></p>		
<p><b>1:1 Access to service</b></p>		
<p>There is a document which is available to clients and describes the ways a client can access the service?</p>		
<p>Service availability. Does service have:</p> <ul style="list-style-type: none"> <li>• Telephone access to personal advice/signposting between 9-5,</li> <li>• Out of hours arrangements (state what these are)</li> </ul>		
<p>A home visit takes place within 1 month if required (earlier if urgent).</p>		

The service has a means of making its services known, e.g. website, leaflets in public areas, advertising etc.		
<b>1:2 Range of Services</b>		
There is a document which is available to clients and describes all the agency's services and any eligibility criteria		
The service is able to visit and advise clients on issues regarding possible repairs, adaptations and improvements to their home.		
The homeowner is supported in identifying the actual works to be carried out and the means of funding this work		
The service will advise the client on any benefits they may be entitled to claim or are able to refer the client to an organisation who is able to do this work for the client		
The HIA is able to produce (or arrange for) any necessary schedules of work, drawings, reports from consultants, choice of building contract, tendering, necessary approvals and/or consents, supervise works on site and any snagging required.		
The service is able to provide (or arrange via third parties) handyperson services for small works and adaptations for home safety & security.		

**Objective 2: Assessment and support planning**

*Clients' needs (and any associated risks) are assessed to an appropriate degree. Assessments are performed by skilled staff and involve other professionals and/or carers as appropriate*

**2:1 Needs and outcomes based assessment**

There is an assessment carried out during home visits which is appropriate for the client group and addresses:

- Needs of the client (including any diversity considerations)
- Aspirations of the client
- Needs of and risks to others (including staff and the wider community)
- Any relevant issues associated with property, health & mobility and finance
- Consideration of different choices and solutions

If the client is to receive further help from the HIA following the assessment visit then written details of what help will be given, timescales and any costs will be sent to the client (i.e. this will form the basis of the clients support plan).

**2:2 Involving others**

Support planning will involve, if appropriate, carers, relatives or other advocates

The agency maintains and updates details of associated providers of services (both local and private) who may be able to assist clients.

The service maintains a list of contractors, which is regularly reviewed, is available to enquirers.

**Objective 3: Duty of care to clients and staff**

*The security, health and safety of all individual clients, staff and the wider community are protected.*

**3:1 Health and safety policy**

Health and safety policy and procedures have been reviewed in the past three years. Including provision of risk inspections and related follow up.

The health and safety policy and procedures are covered in staff induction.

**3:2 Risk management**

All Staff risk assess when visiting client's property. (Risks will be greatest in poorly maintained property).

The risk assessment should assess any risks identified in terms of the likelihood of occurring and the possible degree of harm and should detail any actions or advice given to mitigate such risk.

There is a lone working procedure in place which includes a risk assessment for lone-workers, and clients receiving services from lone-workers.

Appropriate information sharing mechanisms are in place to assist in helping clients who are at high risk, because of health considerations or home conditions

**3:3 Consumer Rights & Alternative Dispute Resolution – TrustMark registration automatically passports through this objective**

The service can demonstrate compliance with latest UK consumer rights legislation, and has means of ensuring substantive goods and services over the value of £500 will be fit for purpose for at least 2 years.

There is an alternative dispute resolution procedure in place, should a complaint failed to be resolved using internal complaints

procedure.		
<b>3:4 Policies and procedures for safeguarding clients</b>		
There are recruitment checks, including professional references and up to date Disclosure and Barring checks, for staff and volunteers		
There is a robust safeguarding policy covering adults and children and compliant with current legislation. This policy should cover <ul style="list-style-type: none"> <li>• Staff training,</li> <li>• Reporting and whistle blower protocols</li> <li>• Appropriate promotion of the issue to partner organisations.</li> <li>• Maximum timescales and escalation to appropriate external stakeholder</li> </ul>		
There is a code of conduct for contractors which set out the contractor's responsibilities regarding safeguarding people.		
Safeguarding and protection from abuse policies and procedures are covered in staff induction and training programmes, and integrated into staff management practices.		
The Safeguarding Policy includes standards for action including max timescales and escalation to appropriate external stakeholders and recording.		
<b>3:5 Safeguarding staff</b>		
A code of conduct (or similar document) makes clear appropriate boundaries for staff and volunteers.		
The nature and limits of relationships between staff and clients, children of clients or children visiting the service are covered in staff induction and training programmes, and integrated into staff		

management practices.		
Staff receives appropriate training including any required by legislation.		
<b>3:6 A Multi-agency working for safeguarding objectives</b>		
The service works with partner organisations to protect clients and people accessing the service.		

<b>Objective 4: Fair access, diversity and inclusion</b>		
The service is accessible to all vulnerable persons needing the services on offer from the HIA		
<b>4:1 There is fair access to the service</b>		
There is a documented and objective procedure that specifies how enquiries and applications are processed, assessed and prioritised, and how decisions are communicated to applicants.		
<p>The service has its own Equalities and Diversity Plan which includes</p> <ul style="list-style-type: none"> <li>• Local demographic information matched to data collected from service users</li> <li>• Review of performance against demographic and set targets to address gaps or weaknesses and monitors performance against these.</li> <li>• Targeted Promotion of the service if need is identified</li> </ul>		
Agency literature, forms and correspondence are in formats appropriate to the client's needs		
<b>4:2 The service is equitable</b>		



<p>Policies, and procedures for HR, staff recruitment and service users are in place covering:</p> <ul style="list-style-type: none"> <li>• Equal Ops,</li> <li>• Diversity ,</li> <li>• Anti-discriminatory practice and harassment</li> </ul>		
<p>Equality and Diversity policies and procedures are covered in staff induction and training programmes and integrated into staff management practices.</p>		

<p align="center"><b>Objective 5: Privacy and confidentiality</b> The clients privacy is respected and protected by the HIA</p>		
<p><b>5:1 Confidentiality, privacy and freedom of information policy</b></p>		
<p>The service is compliant with the Data protection Act 1998, the Human Rights Act 1998 and the Public Interest Disclosure Act 1998.</p>		
<p>The HIA has an open file policy and Client Consent and information sharing protocol</p>		

<p align="center"><b>Objective 6: Listening to your Customers</b> The customer relationship is clear and information flows both ways.</p>		
<p><b>6:1 Providing Choices</b></p>		
<p>There is a document given to customers which describes the service, who it is for and how it can be accessed and includes information on:</p> <ul style="list-style-type: none"> <li>• Any charges made for services</li> </ul>		

<ul style="list-style-type: none"> <li>• How to complain</li> <li>• Rights and responsibilities of both parties</li> <li>• The choice for the customer to do nothing</li> </ul>		
<p>Customer's feedback is used to improve the service for others especially following any mishaps, feedback or service failure.</p>		
<p><b>6:2 Rights and responsibilities</b></p>		
<p>When a substantial service is to be offered, the client signs an acknowledgement which details the rights and responsibilities relating to them and to the agency.</p>		
<p><b>6:3 Complaints procedure</b></p>		
<p>The agency has a written complaints procedure which is made known to all clients on the first visit.</p>		
<p>The complaints procedure allows for an independent appeals process for clients not satisfied with the internal process.</p>		
<p>The HIA keeps a log A log which</p> <ul style="list-style-type: none"> <li>• records all complaints made and outcomes including response times</li> <li>• Minor complaints (i.e. grumbles) are also logged and reviewed from time to time to identify any underlying service failure</li> </ul>		
<p><b>6:4 Feedback from clients</b></p>		
<p>The service provides a feedback form to all clients, who receive a substantial service from the agency and a record is kept of an appropriate % return rate.</p>		
<p>A random sample feedback (at least) is taken of customers who</p>		

receive a handyperson service.		
A good news file is kept of letters of praise and positive feedback from clients and partner organisations.		
<b>6:5 Promoting independence</b>		
The service captures service outcomes for the client e.g. do they feel more safe or less at risk after receiving the service from the HIA		

<b>Objective 7: Forward Planning and Finance</b>		
The service is well managed and has robust procedures in place		
<b>7:1 Business planning and advice</b>		
<p>The HIA has a business plan in place which assesses</p> <ul style="list-style-type: none"> <li>• Whether the service has sufficient resources to deliver the contract, including sufficient reserves.</li> <li>• Performance against objectives and future development is reviewed regularly by commissioners and the management/advisory body of the HIA</li> <li>• Financial safeguards and compliance to accounting rules are in place</li> <li>• Agreed KPIs are in place with staff and are regularly reviewed against them.</li> </ul>		
<b>7:2 Continuous improvement in place</b>		
<p>The HIA has</p> <ul style="list-style-type: none"> <li>• Quality Assurance standards set and reviewed</li> <li>• Review of assessment and case management procedures</li> <li>• Data capture capacity which is able to produce reports in a format as required by commissioners and management</li> </ul>		

**Objective 8: Staffing (Please omit this section if you have Investors in People and attach your certificate as evidence)**

Staff are well trained, managed and involved in service planning

**8:1 Employment practices**

Please provide copies of your service's:

- recruitment and selection policy
- Equal Opportunities policy
- Staff Induction handbook or programme
- Disciplinary/grievance procedures
- Support, supervision and appraisals
- Declaration of convictions process

**8:2 Competent staff**

Please provide copies of your service's:

- Induction and supervision arrangements
- Temporary staff induction process
- Staff training methods and that they are encourage to develop their skills
- How senior staff mentor or support junior staff
- Ways in which staff are encouraged to contribute towards service development

Have investor in People

## Appendix 1

Performance Data for the last financial year (if less than 12 months state period covered)

**Please Note: You should complete separate tables for each HIA that is included in this validation.**

Staffing	Number (FTE)
Manager	
Caseworker	
Technical Officer	
Administrator	
Handyperson (directly employed)	
Volunteers	
Other (please state who)	
<b>TOTAL STAFF/Others</b>	

Outputs	Number (if not a full year, please state number of months)
Enquiries received	
Home visits undertaken	

Number of "core" jobs completed	
Value of "core" jobs completed	
Average number of weeks between first contact and completion "core jobs"	
Number of handyperson jobs completed	
Number of households the HP has assisted	
Average number of weeks from first contact to completion HP jobs	
Total value of extra benefits raised for clients (over most recent year)	
Number of complaints received (over most recent year)	

<b>Income Source</b>	<b>Amount</b>
Supporting People	
Adult Social Care/Social Services	
Housing (both cash and value of any inputted costs)	
Fees from grants	
Fees from private funded work	
Income from Handyperson services	
Donations/charitable income	

Subsidy from managing agent	
Other (please state)	
<b>TOTAL</b>	

Are there any particular circumstances which may have affected the figures above? If so please detail below:

## Appendix 2

### Suggested Documents to be supplied as Evidence (not exhaustive)

- Service booklet containing Service description and Service standards
- Client-Agency agreement
- Needs and Risk Assessment Policy

- Case initiation and review Procedure/
- Assessment or support planning process
- Local directory of partner services
- Local agreements or protocols
- Contractors lists
- Contractor Code of Conduct Document
- Health and safety policy and copy of most recent risk inspection
- Risk Assessment Policy
- Lone workers procedure
- Safeguarding Policy and Procedure
- HR Policies
- Code of Conduct for Staff / Volunteers
- Staff Induction Pack
- Standard Operating Procedures / Prioritisation Flow Charts
- Equalities Action Plan / Equality & Diversity Strategy
- Staff grievance procedures,
- Anti-discrimination policies, procedures and protocols
- Whistle blowing. HR Policies
- Complaints procedure, Complaints and grumbles logs
- Confidentiality Policy
- Business Plan, Staff structure and budget
- Audited accounts
- Annual Report
- External QA certification (if investors in People)
- Appraisal and supervision notes/forms
- Staff induction process
- Temporary/agency staff policy
- Appraisal/supervision forms/notes.



QM, Validated Level Doc, July 2015

Document owner: Roy McNally (OST)

Next review by July 2016