**Annex 3: Guidelines for EQUASS application**

**Introduction**

These guidelines for EQUASS application have been designed for EQUASS applicants (Assurance and Excellence level), who have requested an external audit from an independent auditor. The information what and how to write the information in the application form is written in RED text.

The guidelines application for EQUASS application clarifies the following sections:

Section 1: General information about your organisation and the type of audit you are planning for. If the audit takes place over more than 1 site, provide information on the other site(s) in 1b.

Section 2: Additional information that EQUASS can use to promote your certification, in case of a successful EQUASS audit.

Section 3: Additional detailed background information about your organisation and some statements you have to confirm.

Section 4: List of documentation on approaches (Executive summaries in National Language for Assurance and in English for Excellence) that must be sent together with the application.

Section 5: List of documentation on approaches (in National Language for Assurance and in English for Excellence) that must be available during the site visit.

Section 6: List of documentation on results that must be sent together with the application.

**Section 1**

General information on the Application and Applicant Information

|  |  |
| --- | --- |
| Information about the Application and Applicant | |
| Type of Application: | *<EQUASS Assurance> or “<EQUASS Excellence>* |
| Country: | *<name of the country of the applicant>* |
| Audit coordination office: | *<office of the LLH> or the <office in Brussels>* |
| Audit coordinator: | *<Name of the coordinator of the office mentioned above>* |
| Audit coordinator Email: | *<Email address of the coordinator>* |
| Organisation name: | *<Name of the organisation that sends in the application>* |
| Business address: | *<Address of the organisation that sends in the application>* |
| Postal address:  (if different from your business address): | *<Postal address of the organisation that sends in the application>* |
| Telephone: | *< +(country code) (phone number of organisation)>* |
| General E-mail: | *<General Email address of the organisation>* |
| Website address: | *<Website of the organisation>* |
| Name of CEO / Director: | *< Name of the Chief Executive Officer / Director>* |
| Number of locations / sites: | *<Number of locations involved in the scope of the audit>* |

|  |  |
| --- | --- |
| Applicant Contact person | |
| Name: | *<Name of the contact person>* |
| Function: | *<Function of the contact person>* |
| Email: | *<Email address of the contact person>* |
| Direct Phone n°: | *< +(country code)(phone number of the contact person)>* |

|  |  |
| --- | --- |
| Size and scope of the Service(s) to be audited | |
| Number of Persons Served: | *<Number of Persons Served at the date of filling in the application form)* |
| Number of Full Time Equivalents (FTE): | *<Number of Full Time Equivalents (FTE) on the date of the application>* |
| Total number of Employees: | *<Number of employees employed by the applicant on the date of the application>* |
| Types of Services provided | *<Number of services provided in the scope of the application>* |
| Experience: | *<Number of years that the applicant is providing social services>* |
| Audit Scope: | *<Short description of the type of services for which you are applying an audit>* |

**Section 1b**

Overview of sites in a multi-site application

*Same as for Section 1*

**Section 2**

Additional information (to be published on our website, in the event of a successful audit)

|  |  |
| --- | --- |
| Additional Applicant information | |
| Description of the organisation in English  (to be published on the EQUASS website) | *<A brief and comprehensive description that characterises the organisation that applies for EQUASS certification including mission, target group(s), some historical information, location, size and type of services>* |
| Description of the organisation in the National  language (if applicable) | *<idem as above >* |
| Twitter (if applicable) | *<the twitter address of the applicant>* |
| Facebook page (if applicable) | *<the face book page of the applicant>* |
| Youtube Channel (if applicable) | *<The link to YouTube channel>* |

**Section 3**

**National and/or International certifications / recognition for quality**

Please specify which other National and/or International certifications / recognitions for quality have been achieved:

|  |  |
| --- | --- |
| National & International certification / recognition for quality | |
| Name of the certification/recognition n°1 | *<Name of certification> and <name of certifying body>* |
| Expiration date: | *<Expiration date of the certification>* |
| Name of the certification/recognition n°2 | *<Name of certification> and <name of certifying body>* |
| Expiration date: | *<Expiration date of the certification>* |
| Name of the certification/recognition n°3 | *<Name of certification> and <name of certifying body>* |
| Expiration date: | *<Expiration date of the certification>* |
| Name of the certification/recognition n°4 | *<Name of certification> and <name of certifying body>* |
| Expiration date: | *<Expiration date of the certification>* |

Please confirm the statements below:

*You confirm the statements below by putting “X” in the box before the statement.*

|  |  |
| --- | --- |
| *x* | *I declare that the organisation, as described above, meets all National Legislative Requirements for operating Social Services in its jurisdiction.* |
| *x* | *I have understood the requirements for implementation of the EQUASS criteria as stated in the EQUASS core document for this level of recognition.* |
| *x* | *I am attaching an overview of services / programs within the scope of this application* ***(Annex A)*** |
| *x* | *I am attaching a list of Employee functions within the scope of this application* ***(Annex B)*** |
| *x* | *I am attaching an organogram / description of the organisational structure of the scope of this application* ***(Annex C)*** |
| *x* | *I am including a high-resolution logo of our organisation to the annex folder of our application.* |

Please provide annexes A, B and C through the same download link as with the documentation section annexes. Please make sure to clearly label the files in your Annex folder

**Section 4**

**Documentation on Approaches**

*You confirm the statements below by putting “X” in the box before the statement.*

*Note: Only executive summaries of max 1-page (A4) will be accepted. (Please mind****NOT****to upload complete / full documents. Exception when the document has max 1-page A4)*

*The coordinator of the Local Licence Holder (LLH) or the coordinator at the EQUASS office in Brussels will check the eligibility of the EQUASS application. Executive summaries are preferable written in letter type size 10 Pt interspace (1.0) and have a maximum of 1-page A4. Executive summaries that are have more than 1-page A4 may be declared as ‘illegible application’ and will be send back to the application.*

*For EQUASS* ***Assurance application****: The Executive Summaries can be presented in the* ***National Language****.*

*For EQUASS* ***Excellence application****: The Executive Summaries must be presented in* ***English Language****.*

|  |  |  |
| --- | --- | --- |
| Executive summaries | | |
|  | Criteria |  |
| *X* | No 01 | Organisation’s Vision, Mission and Values (Annex D) |
| *X* | No 03 | Organisation’s Quality Policy (Annex E) |
| *X* | No 13 | Organisation’s Charter of Rights (Annex F) |
| *X* | No 19 | Organisation’s Code of Ethics (Annex G) |
| *X* | No 27 | Organisation’s policy and procedures for including Persons Served in the design, delivery and evaluation of services (Annex H) |
| *X* | No 29 | Organisation’s concept of empowerment of Persons Served (Annex I) |
| *X* | No 32 | Organisation’s concept of quality of life for Persons Served (Annex J) |
| *X* | No 35 | Organisation’s procedures for involving Person Served in the design of their Individual Plan (Annex K) |
| *X* | No 38 | Organisation’s key service delivery activities (Annex L) |
| *X* | No 48 | Organisation’s system for continuous improvement and learning (Annex M) |

Optional:

|  |  |
| --- | --- |
| *X* | Results of internal audit/self-evaluation that shows the success of implementing the EQUASS criteria |

***Note:*** *When the applicant has carried out internal audits and/or self-evaluation of EQUASS Criteria, the results of this should be taken into account during the audit. It is mandatory to make an* ***Executive Summary*** *of the results of this internal audit / self-evaluation and* ***upload this Executive Summary together with the Application****.*

**Section 5**

**Documentation on Approaches**

*Please put a ‘x’ into the boxes when the documentation on Approaches (in national language for Assurance and English for Excellence) will be* ***available at the Site Visit*** *for the Auditor(s) to review:*

| Documented Approaches | | |
| --- | --- | --- |
|  | Criteria |  |
| *X* | No 1 | The description of your Vision, Mission and Values. |
| *X* | No 3 | The description of your Quality Policy. |
| *X* | No 4 | The current Annual Plan. |
| *X* | No 7 | The Staff Recruitment and Staff Retention Policy. |
| *X* | No 9 | The current Plan for Staff development and learning. |
| *X* | No 10 | A description of current roles and responsibilities of (employees) Staff. |
| *X* | No 13 | The Charter of Rights that reflects fundamental rights of Persons Served. |
| *X* | No 17 | A description of the Complaint Management system. |
| *X* | No 18 | The Policy on Ethics and Wellbeing for all. |
| *X* | No 19 | The organisations’ Code of Ethics. |
| *X* | No 21 | The Health and Safety Plan for (employees) Staff and Persons Served. |
| *X* | No 22 | The Procedures on prevention of physical, mental and financial abuse of Persons Served. |
| *X* | No 23 | The Procedures to assure confidentiality of sensitive information, the accuracy of records, privacy, dignity and physical integrity of Persons Served. |
| *X* | No 27 | The Policy and Procedures for including Persons Served in the design, delivery and evaluation of Services. |
| *X* | No 29 | The defined concept of Empowerment of Persons Served. |
| *X* | No 32 | The defined concept of Quality of Life of (service users) Persons Served. |
| *X* | No 33 | The Individual Plan for Persons Served (4 examples). |
| *X* | No 35 | The procedures for involving Persons Served in the individual planning process. |
| *X* | No 38 | The key Service Delivery Activities. |
| *X* | No 42 | Business and Service Results (on collective basis). |
| *X* | No 42 | Independent review of organisational Results. |
| *X* | No 48 | The Continuous Improvement and Learning System. |

Note:

1. For **EQUASS Assurance** application the following documentation is **optional and thus not mandatory** The document can be presented in National language.
2. For **EQUASS Excellence** application, the following documentation is **mandatory.** The document must be presented in English. Without this documentation the process of auditing may be stopped because without this information, the Social Service Provider will not achieve the performance required in stage 3.

|  |  |
| --- | --- |
| *X* | Results of internal audit/self-evaluation that shows the success of implementing the EQUASS criteria |

**Section 6**

**Documentation on Results**

*For the****EQUASS both the Assurance and Excellence Application****, you have to****upload*** *the Results listed below. The results can be presented in the* ***National Language for Assurance and in English for Excellence****. Please tick on the results that you have included in the uploaded document.*

*Please mind that the Results must be valid and that the relevant outcomes are based on indicators (so also mention the indicators). Be aware that efforts will not be accepted as valid Results.*

| Documented Results | | |
| --- | --- | --- |
| X  X | Criteria  No 02  No 05 | Results of evaluating the performance of managing the organisation **(for Excellence only!)**  Results on the inclusion of person served into the society **(for Excellence only!)** |
| X | No 09 | (The) Results of (employees’) Staff development activities |
| X | No 11 | Results on the engagement of staff **(for Excellence only!)** |
| X | No 12 | Results on the motivation of staff **(for Excellence only!)** |
| X | No 14 | Results on implementing proposals made by persons served **(for Excellence only!)** |
| X | No 16 | Results of evaluation: to what extent are the rights of Person Served respected in your daily work. |
| X | No 22 | Results on protecting the persons served from abuse and misconduct **(for Excellence only!)** |
| X | No 23 | Results on respecting the confidentiality of information of person served **(for Excellence only!)** |
| X | No 24 | Results on partnerships that support the continuum of comprehensive services **(for Excellence only!)** |
| X | No 25 | Results of organisations’ Partnerships. |
| X | No 27 | Results on the Practice of Participation on an annual basis. |
| X | No 28 | The results of the practice of participation **(for Excellence only!)** |
| X | No 29 | Results on empowering Persons Served |
| X | No 30 | Results on the creation of an empowering environment **(for Excellence only!)** |
| X | No 31 | Results of assessing needs, expectations and the capacity of persons served **(for Excellence only!)** |
| X | No 32 | The results of improving the quality of life of Persons Served. |
| X | No 35 | The results of involving Persons Served in their Individual Plans. |
| X | No 36 | Results of evaluation: to what extent does the (Social) Service Provider ensure a continuum of Services |
| X | No 37 | Results on holistic services **(for Excellence only!)** |
| X | No 39 | Results on community-based services **(for Excellence only!)** |
| X | No 42 | Organisations’ business and service results (on collective basis) **(for Excellence only!)** |
| X | No 42 | Tangible organisational results **(for Excellence only!)** |
| X | No 42 | Tangible service results **(for Excellence only!)** |
| X | No 43 | Results on outcomes and benefits of the provided Services on individual basis. |
| X | No 44 | Results of best value for relevant stakeholders **(for Excellence only!)** |
| X | No 45 | Results that show satisfaction of Persons Served and other relevant Stakeholders. |
| X | No 46 | Results of evaluation: to what extent are the Business Results understood by Persons Served, Staff and other relevant Stakeholders |
| X | No 48 | Tangible results of improving services **(for Excellence only!)** |
| X | No 48 | Tangible improved results / outcomes **(for Excellence only!)** |
| X | No 50 | Results of comparing performance, outcomes and activities. |

*For the****EQUASS Excellence Application****, you have to****upload*** *the Result listen below. The results must be presented in* ***English Language****. Please tick on the results that you have included in the uploaded document.*

*Please mind that the Results must be valid and relevant outcomes based on indicators (so also mentioning the indicators). An example of how to present the results you can find in section 7 of these guidelines Be aware that efforts will not be accepted as valid Results.*

| Documented results | | |
| --- | --- | --- |
|  | Criteria |  |
| X | No 2 A | Results of evaluating the performance of managing the organisation. |
| X | No 5 B | Results on the inclusion of person served into the society |
| X | No 9 | The results of employees’ development activities |
| X | No 11 C | Results on the engagement of staff |
| X | No 12 D | Results on the motivation of staff |
| X | No 16 | Results of evaluation: to what extent are the rights of person served respected in your daily work. |
| X | No 16 E | Results on implementing proposals made by persons served |
| X | No 22 F | Results on protecting the persons served from abuse and misconduct |
| X | No 23 G | Results on respecting the confidentiality of information of person served |
| X | No 24 H | Results of organisations’ partnerships. |
| X | No 25 | Results on partnerships that support the continuum of comprehensive services. |
| X | No 27 | Results on the practice of participation on an annual basis. |
| X | No 28 I | Results on empowering persons served |
| X | No 29 | The results of improving quality of life of persons served. |
| X | No 30 J | Results on the creation of an empowering environment. |
| X | No 31 K | Results of assessing needs, expectations and the capacity of persons served. |
| X | No 32 | The results of involving persons served in their Individual Plans. |
| X | No 35 | Results of evaluation: to what extent does the Social Service Provider ensure a continuum of services |
| X | No 36 | Results on holistic services |
| X | No 37 L | Results on community-based services |
| X | No 39 M | Organisations’ business and service results (on collective basis). |
| X | No 42 N | Results on outcomes and benefits of the provided services on individual basis. |
| X | No 42 O | Tangible organisational results |
| X | No 43 | Tangible service results |
| X | No 44 P | Results that show satisfaction of persons served and other relevant stakeholders. |
| X | No 45 | Results of best value for relevant stakeholders |
| X | No 46 | Results of evaluation: to what extent are the business results understood by persons served, staff and other relevant stakeholders |
| X | No 48 Q | Tangible results of improving services |
| X | No 48 R | Tangible improved results / outcomes |
| X | No 50 | Results of comparing performance, outcomes and activities. |

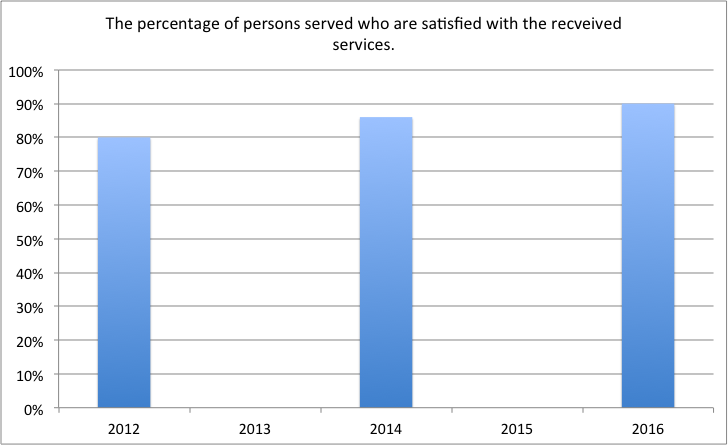
**Annex 1**

**Example of presenting the Results *for EQUASS Assurance application*** *in National Language*

RESULTS THAT SHOW **SATISFACTION OF PERSONS SERVED** AND OTHER RELEVANT **STAKEHOLDERS**

Criteria 45: The social service provider measures the satisfaction of Persons Served and all relevant Stakeholders by internal and/or external evaluation.

Indicator: *The percentage of Persons Served who are satisfied with the received services.*



**Explanation of the Results:**

*The diagram shows the percentage of Persons Served that expressed their satisfaction (‘satisfied’ and’ very satisfied’) in the bi-annual satisfaction questionnaire (vertical axis) over a period of five years (2012 – 2016, horizontal axis). The survey on the satisfaction of Persons Served is carried out every two years. The outcome of the survey is discussed with Staff and based on the results, potential improvements are identified and carried out over the following years. The improvements might have led to the increased percentage of satisfaction in 2014 and 2016. The total number of (service users) Persons Served, who have been involved in the survey, are:*

*2012: Total number of Persons Served: 250; Number of Persons Served involved in the survey: 187*

*2014: Total number of Persons Served: 225; Number of Persons Served involved in the survey: 112*

*2016: Total number of Persons Served: 260; Number of Persons Served involved in the survey: 170*

**Example of presenting the Results *for EQUASS Excellence application*** i*n English*

RESULTS THAT SHOW **SATISFACTION OF PERSONS SERVED** AND OTHER RELEVANT **STAKEHOLDERS**

Criteria 45: The social service provider measures the satisfaction of Persons Served and all relevant Stakeholders by internal and/or external evaluation.

Indicator: *The percentage of Persons Served that are satisfied with the received services.*

****

**Explanation of the Results:**

*The diagram shows the percentage of persons served, that expressed their satisfaction (‘satisfied’ and’ very satisfied’) in the bi-annual satisfaction questionnaire (vertical axis) over a period of five years (2012 – 2016, horizontal axis, blue column). The survey on service users’ satisfaction is carried out every two years. The outcome of the survey is discussed with staff and based on the results, potential improvements are identified and carried out in the following years. The improvements might have led to the increased percentage of satisfaction in 2014 and 2016. The number of service users who have been involved in the survey are: 2012: Total number of service users: 250; Number of persons served involved in the survey: 187; 2014: Total number of service users: 225; Number of persons served involved in the survey: 112; 2016: Total number of service users: 260; Number of persons served involved in the survey: 170.The comparison is carried out with an organisation providing rehabilitation services to persons with mental disabilities. (Red column) <Mentioning the name of the organisation with which you have benchmarked>. The results of the comparison are discussed within the management team in order to identify measures for improvement.*

**Example of presenting the Result of an internal audit / self-evaluation *for EQUASS Assurance / Excellence application***

*For* ***EQUASS Assurance application****, the summary of results of internal audit / self-evaluation is on* ***voluntarily basis****, and for showing evidence on performance at stage 3. For* ***EQUASS Assurance application****, the summary of internal audit / self-evaluation can be presented in* ***National Language****.*

*For* ***EQUASS Excellence application****, the summary of results of internal audit / self-evaluation is* ***mandatory*** *for showing evidence on performance at stage 3. For* ***EQUASS Excellence application****, the summary of internal audit / self-evaluation must be presented in* ***English Language****.*

Summary of internal audits regarding implementation and compliance with the EQUASS system

Note: The number refers to the number of the EQUASS Criteria.

Example: **Leadership**

1. 90% Of the Staff is aware of the Mission, Vision and Values of the organisation. 45 % Of the Staff expresses that they cannot always make a link between the mission of our organisation and their daily activities.
2. A survey on quality culture has been carried out in all departments. The analyses of the results have been presented and 75% of the staff is aware of the importance of a common way of working as part of the quality culture of our organisation. Improvements have been identified and taken up in various improvement project and initiatives. 20 % Of the Staff expresses that they have not been involved in identifying and defining the new and common way of working.
3. The quality policy of the NRC has been discussed and clarified in all departments at the regular staff meetings. 70 % Of Staff can express the core objectives of the Quality Policy.

Example: **Participation**

1. 85% Of the Persons Served confirm that the staff of the departments are taking their feedback into account. 90% Of the Persons Served expressed they feel they have the opportunity to express their views.
2. The vast majority of Persons Served (85 %) expressed that they have been given the opportunity to be involved in the evaluation of the services. All Persons Served (100 %) expressed that they are involved in planning the services of their Individual Plan.
3. All departments review the participation of Persons Served once every 3 months. In some of the departments, measures for increasing participation of Persons Served, have been taken.
4. The concept of empowerment has been defined, described and recorded. 65 % Of the Staff can explain this concept of empowerment in own words. 30 % Of the staff has not heard about this approach and 15 % of the staff might have heard of it, but says that this concept is not applicable for them.

Example: **Person Centred Approach**

1. 35 % Of the staff confirms that they have understood the described concept of ‘Quality of Life’. 30 % Is aware of such a document while 35 % of the staff cannot recall any concept or description. 85 % Of the Persons Served expressed that quality of life is important to them. 45% Of the Persons Served are of opinion that the received services contribute to their quality of life. In the annual satisfaction questionnaire, 75 % Of the (service users) Persons Served, have expressed that the services eventually contribute to their quality of life.
2. All Person Served have an Individual Plan - IP. 90 % Of the Persons Served have expressed that they have been involved in the design of their Individual Plan. They are aware of the content of this plan.