<Rehabilitation authority name>

<Date of audit>

Rehabilitation management system audit report

|  |  |
| --- | --- |
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# SCOPE OF review/AUDIT

|  |  |
| --- | --- |
| **Organisation** | [rehabilitation authority name] |
| **Site/Workplace** | [location] |
| **Scope of review/audit** | The review/ audit examined the [employer name]’s rehabilitation management system, processes and outcomes to validate that [employer name] is [meeting its licence conditions and is] complying with the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act) and the *Guidelines for Rehabilitation Authorities Instrument 2019* (the Guidelines)...x.. rehabilitation case files were examined by the auditors. These files were randomly selected from a list of all rehabilitation case files where some activity had occurred in the previous 12 months.The review/audit encompassed a review of all relevant policies and procedures as they relate to rehabilitation and return to work management and any other relevant, supporting documentation. An interview was also conducted with rehabilitation staff.Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents. |
| **Criteria** | This review/audit assessed the rehabilitation management system against five elements:1. Commitment and corporate governance (3 criteria)
2. Planning (4 criteria)
3. Implementation (13 criteria)
4. Measurement and evaluation (6 criteria)
5. Review and improvement (1 criterion)
 |
| **Ratings** | The findings in the review/audit report have been classified and marked as follows:**Conformance—**indicates that the criterion has been met.**Non-conformance**—indicates that the criterion has not been met.**Not able to verify—**indicates that the organisation has documented procedures in place however there are no cases to test that the organisation has followed those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reasons for the finding will be explained by the auditor.**Not Applicable**—indicates that the criterion does not apply to the organisation.Where a criterion has been met but the auditor has identified a ‘once off’ situation or a ‘minor’ deviation from the documented management system or reference criterion, an **Observation** may be made. These findings, while representing a non-fulfilment of a requirement, are recognised as being of lower risk to the organisation. |
| **Date(s) of review/audit** | Date |
| **Auditors** | [auditor names and organisation] |
| **Client contacts** | list |
| **Record of review/audit** | This report contains a summary of the review/audit outcomes. Detailed information is not recorded in the report. A record of the documentation and records sighted, persons interviewed, observations and auditor comments are retained on the auditor’s file. |
| **Acknowledgement**  | The auditor wishes to acknowledge the cooperation and assistance provided by the management and staff of [employer name] and thank them for their contribution to the review/audit process. |

# EXECUTIVE SUMMARY

[the auditor is to provide an overall summary of findings—succinctly outlining the broad strengths and weaknesses of the management system]

## Non-conformances

A number of non-conformances were identified during the review/audit. They are:

|  |  |
| --- | --- |
| **Criterion** | **Non-conformance** |
|  |  |
|  |  |
|  |  |
|  |  |

## Observations

A number of observations were identified during the review/audit. They are:

|  |  |
| --- | --- |
| **Criterion** | **Observation** |
|  |  |
|  |  |
|  |  |
|  |  |

In summary, for the 27 criteria within the rehabilitation management system review/audit tool, the outcomes are:

|  |  |  |
| --- | --- | --- |
|  | **Number of criteria** | **% of assessed criteria** |
| **Conformance** |  |  |
| **Non-conformance** |  |  |
| **Not able to verify** |  |  |
| **Not applicable** |  |  |

An action plan, which includes completion/review dates and responsibilities, must be developed to address each of the review/audit findings.

The auditors invite [rehabilitation authority name] to discuss any aspect of this review/audit with the auditors.

|  |  |  |  |
| --- | --- | --- | --- |
| **Signed** |  | **Signed** |  |
| **Auditor name** |  | **Auditor name** |  |
| **Date** |  | **Date** |  |

# TABLE OF CRITERIA

|  |  |  |
| --- | --- | --- |
| Audit element/criterion description | Criterion | Rating |
| **1. Commitment and corporate governance** |
| Documented commitment | 1.1 |  |
| Internal and external accountability | 1.2 |  |
| Identify, assess and control risk | 1.3 |  |
| **2. Planning** |
| Delegation schedule | 2.1 |  |
| Planning for legislative compliance | 2.2 |  |
| Setting objectives and targets | 2.3 |  |
| Plans to achieve objectives and targets | 2.4 |  |
| **3. Implementation** |
| Adequate resources | 3.1 |  |
| Communication—relevant stakeholders | 3.2 |  |
| Employees are aware of rights | 3.3 |  |
| Training and competency | 3.4 |  |
| Early intervention | 3.5 |  |
| Rehabilitation assessments | 3.6 |  |
| Rehabilitation programs | 3.7 |  |
| Suitable employment | 3.8 |  |
| Determinations in accordance with the SRC Act | 3.9 |  |
| Employee non-compliance | 3.10 |  |
| Reconsiderations | 3.11 |  |
| Privacy and confidentiality | 3.12 |  |
| Reporting, records, documentation | 3.13 |  |
| **4. Measurement and evaluation** |
| Monitoring core rehabilitation activities | 4.1 |  |
| Monitoring provider performance | 4.2 |  |
| Internal audits | 4.3 |  |
| Outcomes of audits are actioned, reviewed | 4.4 |  |
| Communicating audit results | 4.5 |  |
| Providing reports to Comcare and Commission as requested | 4.6 |  |
| **5. Review and improvement** |
| Continuous improvement | 5.1 |  |

#

# ELEMENT 1: COMMITMENT AND CORPORATE GOVERNANCE

## Documented commitment

### Criterion 1.1

The rehabilitation authority sets the direction for its rehabilitation management system through a documented commitment by senior executive.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Corporate governance

### Criterion 1.2

The rehabilitation management system provides for internal and external accountability.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 1.3

The rehabilitation authority identifies, assesses and controls risks to the rehabilitation management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

#

# ELEMENT 2: PLANNING

## Administrative arrangements

### Criterion 2.1

The rehabilitation authority has a delegation schedule, signed by the principal officer, as per section 41A of the SRC Act.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Rehabilitation planning

### Criterion 2.2

The rehabilitation authority recognises legislative obligations and plans for legislative and regulatory compliance, having regard to any policy advice that Comcare or the Commission may issue.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 2.3

The rehabilitation authority sets objectives and targets and identifies key performance measures for its rehabilitation management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 2.4

The rehabilitation authority establishes plans to:

1. achieve its objectives and targets
2. promote continuous improvement
3. provide for effective rehabilitation arrangements.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

#

# ELEMENT 3: IMPLEMENTATION

## Resources

### Criterion 3.1

The rehabilitation authority allocates adequate resources to support its rehabilitation
management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Communication and awareness

### Criterion 3.2

The rehabilitation authority defines and communicates responsibilities to relevant stakeholders.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 3.3

The rehabilitation authority communicates relevant information regarding the rehabilitation process to its employees including their rights and obligations.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Training

### Criterion 3.4

The rehabilitation authority identifies training requirements, develops and implements training plans and ensures personnel are competent.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Early intervention

### Criterion 3.5

The rehabilitation authority implements an early intervention program, including the early identification and notification of injury.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Rehabilitation assessments

### Criterion 3.6

The rehabilitation authority effectively uses the provisions of section 36 to conduct rehabilitation assessments in accordance with the SRC Act and the Guidelines.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Rehabilitation programs

### Criterion 3.7

The rehabilitation authority provides rehabilitation programs in accordance with section 37 of the SRC Act and the Guidelines, and ensures consultation occurs between all parties in regards to the rehabilitation process.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Suitable employment

### Criterion 3.8

The employer takes all reasonable steps to provide employees with suitable employment or to assist employees to find such employment.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Determinations, Suspensions and reconsiderations

### Criterion 3.9

The rehabilitation authority makes determinations in accordance with the SRC Act and the Guidelines:

1. that are in writing and give adequate reasons
2. that are signed by the delegate
3. that are not retrospective.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 3.10

The rehabilitation authority makes determinations in relation to employee non-compliance in accordance with the SRC Act, Guidelines and their written policy and procedures

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 3.11

The rehabilitation authority complies with the provisions of the SRC Act when managing reconsiderations or reconsiderations of own motion. [criterion applicable to licensees only]

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Confidentiality

### Criterion 3.12

The rehabilitation authority maintains the confidentiality of information and applies
legislative requirements.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Document management

### Criterion 3.13

The rehabilitation authority maintains the relevant level of reporting, records and/or documentation to support its rehabilitation management system and legislative compliance.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

#

# ELEMENT 4: MEASUREMENT AND EVALUATION

## Monitoring

### Criterion 4.1

The rehabilitation authority monitors planned objectives and performance measures for core rehabilitation management activities.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.2

The rehabilitation authority monitors rehabilitation providers' performance in terms of quality of service delivery, costs, progress reports and outcomes.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Auditing and reporting

### Criterion 4.3

The rehabilitation authority conducts an audit program—performed by competent personnel and in accordance with the requirements of the Commission and Comcare—to measure performance of its rehabilitation management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.4

Audit outcomes are appropriately documented and actioned. The rehabilitation authority reports to senior executive on its rehabilitation management system performance, including audit outcomes.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.5

The rehabilitation authority communicates the outcomes and results of rehabilitation management system audits to its employees.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.6

The rehabilitation authority provides the Commission or Comcare with reports or documents as requested.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

#

# ELEMENT 5: Review and improvement

## Continuous improvement

### Criterion 5.1

The rehabilitation authority analyses rehabilitation management system performance outcomes against documented objectives to determine areas requiring improvement and promotes and implements continuous improvement strategies.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

# SUMMARY OF FILE FINDINGS

|  |
| --- |
| Summary of file findings |
| **File Ref** | **Audit Criteria** |
| **2.1** | **3.3** | **3.5** | **3.6** | **3.7** | **3.8** | **3.9** | **3.10** | **3.11** | **3.12** | **3.13** | **4.2** |
| ABC1 | Yes | Yes | No | Yes | Yes | Yes | Yes | No | No | Yes | Yes | Yes |
| ABC2 | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | No | Yes | Yes | Yes |
| ABC3 | Yes | Yes | Yes | Yes | Yes | Yes | Yes | Yes | No | Yes | Yes | Yes |

|  |
| --- |
| Individual file findings |
| **File Reference** | **Criterion** | **Finding** |
| All audited files | 3.13 | No audit trail. |
| ABC1 | 3.12 | Other employee details on file |