



Heads of Workers' Compensation Authorities

WORKPLACE REHABILITATION

PROVIDER

EVALUATION MANUAL

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1. INTRODUCTION

The role of the Workers Compensation Authority as the approval body for workplace rehabilitation providers is to ensure minimum standards are consistently met in the delivery of workplace rehabilitation services to injured workers and employers.

When a provider is assessed as conforming to the Conditions of Approval, the workplace rehabilitation provider is granted an Instrument of Approval. In some jurisdictions this will be sufficient to operate as a workplace rehabilitation provider in that workers compensation system. In other jurisdictions there may be additional requirements. This approval is contingent on the workplace rehabilitation provider's conformance to the Conditions of Approval.

One of the Conditions of Approval is for workplace rehabilitation providers to participate in annual self evaluations and in independent evaluations, as required by the Workers Compensation Authority. This manual details the evaluation process and methodology for undertaking evaluations, as is applicable to providers and workers compensation authorities.

The evaluation methodology reflects a systems approach. A provider's policy and procedure documents and the practical application of these are assessed during an evaluation.

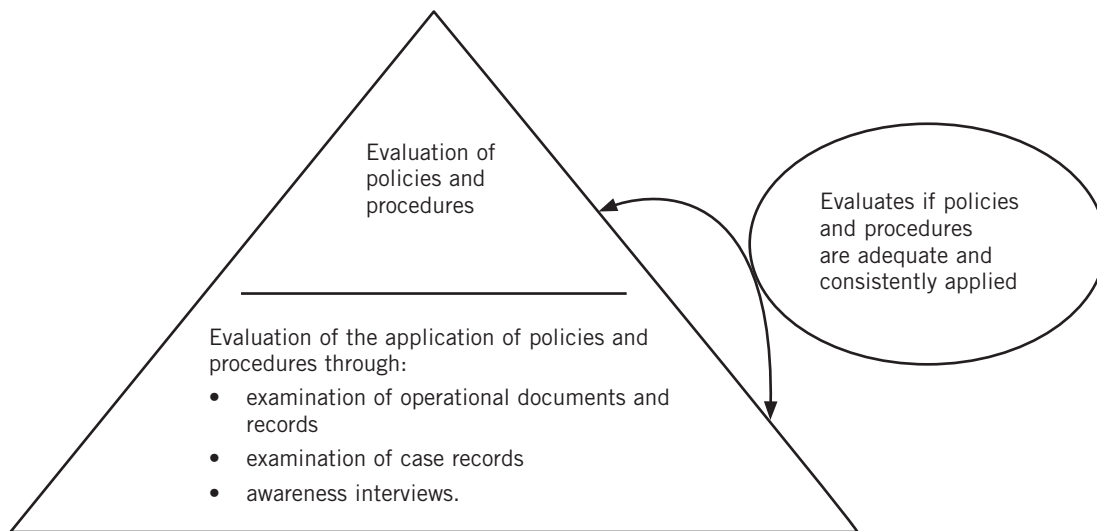
The Guide: *Nationally Consistent Approval Framework for Workplace Rehabilitation Providers'* (the guide) should be read in conjunction with this evaluation manual. The evaluation manual builds on the information contained in the guide and provides workplace rehabilitation providers with guidance, information and tools to conduct self evaluations and participate in evaluations initiated by the Workers Compensation Authority.

Workers compensation authorities may have additional requirements for the evaluation process. Any additional requirements can be found on the website of the relevant workers compensation authority.

2. SYSTEMS EVALUATION

The workers compensation authorities have adopted a systems approach to evaluating workplace rehabilitation providers. This approach is based on the guidelines outlined in ISO 19011:2002 (AS/NZS ISO 19011:2003).

The evaluation focuses on assessing how the provider's management system meets the Conditions of Approval. Evaluation of the management system includes a review of the documented policies and procedures, and application of these, to determine if the workplace rehabilitation provider's management system meets the Conditions of Approval.



The evaluation criteria are the Conditions of Approval and Principles of Workplace Rehabilitation.

Evaluation evidence includes, but is not limited to, records, statements of fact or other information which is relevant to the evaluation criteria and is verifiable.

Whatever means of demonstrating conformance is used, the evaluator must ensure that there is verifiable objective evidence of adherence to the Conditions of Approval.

3. EVALUATION OF PROVIDER CONFORMANCE WITH THE CONDITIONS OF APPROVAL

The primary objective of an evaluation is to determine conformance with the Conditions of Approval. Evaluations may be conducted by a workers compensation authority or as part of the provider's annual self evaluation process.

3.1 SELF EVALUATIONS

An organisation approved by a workers compensation authority must agree to participate in annual self evaluations.

3.2 WORKERS COMPENSATION AUTHORITY EVALUATIONS

Workers compensation authorities may conduct an evaluation according to the following timeline:

First evaluation

An evaluation may be conducted for providers within 12 months.

Periodic evaluation

Providers may undergo a periodic evaluation during each three years of approval.

The workers compensation authority will advise the provider of the intention to carry out an evaluation at least six weeks prior to the scheduled evaluation date.

Evaluation by exception

Providers may undergo an evaluation by exception during each three year approval period. Factors that will initiate an evaluation by exception may include public safety, previous and current provider performance, information obtained about provider activity during insurer reviews and complaints about provider performance.

3.3 CRITERIA FOR EVALUATORS

Evaluations may be performed by workers compensation authority staff and/or an external professional evaluator/auditor engaged by the authority for that purpose.

The evaluation team will include members with the following:

- Successful completion of an ISO9001 lead assessor training course (or equivalent).
- A supervised period of training in practical assessment and auditing.
- An ability to demonstrate understanding of the Conditions of Approval for workplace rehabilitation providers.
- At least five years experience related to the workplace rehabilitation industry.
- Qualifications as per the Workplace Rehabilitation Consultant qualification outlined in the Principles of Workplace Rehabilitation.

3.4 EVALUATION METHODOLOGY AND PLAN

Evaluation will consist of the combined evidence of:

- existence and maintenance of systems and documented policy and procedures that address the Conditions of Approval
- evaluation of conformance with the application of these systems.

The provider will be advised of the evaluation plan and a timeframe for the completion of the evaluation (see 4. Evaluation planning and field work).

Evaluation of conformance with the Conditions of Approval may include:

- desktop review of documented policies and procedures
- verification of the provider's self evaluation
- obtaining feedback from stakeholders which may include worker interviews, staff interviews, employer, doctor, insurer interviews and/or other workers compensation authorities
- examination of provider documents and records that demonstrate the application of systems
- examination of a sample of worker case records. (Samples will be representative of the organisation's caseload and categories. The sample size will be no less than 10 and no more than $0.6 \times \text{square root of the number of cases closed in the previous 12 months plus current open cases}$).

Whatever means of demonstrating conformance, the evaluator shall ensure that there is verifiable objective evidence of adherence to the Conditions of Approval.

The evaluation methodology and preparation of the evaluation plan will be developed on a case by case basis and made available to the provider three weeks prior to the onsite evaluation. The case records/files identified for review will be made available to the provider two working days prior to the onsite evaluation.

Evaluation by exception, in response to serious concerns, will not adhere to this timetable.

3.5 MULTI-SITE PROVIDER EVALUATIONS

For the purpose of approval, a multi-site organisation is one with:

- a single caseload management system
- one system of management control over all sites (if sites or regions are autonomous then they must be evaluated separately)
- central management reviews and evaluations in accordance with the provider's internal evaluation processes.

The following circumstances apply to multi-site organisations:

- The head office of the provider will be included in the evaluation sample.
- A representative sample of sites for evaluation may be selected, taking into consideration:
 - results and reports of self evaluations
 - the number of sites
 - geographical dispersion of the sites
 - results and coverage of previous evaluations
 - variations in the size of the sites
 - variations in working practices and activities undertaken
 - spread of the organisation's personnel over the sites
 - previously mentioned considerations when planning an evaluation
 - work undertaken in that jurisdiction.
- Sampling formula for site numbers for a single period is as follows:

Number of sites within the organisation	Number of sites to be evaluated
1 – 3	1
4 – 6	2
7 – 11	3
12 – 16	4
17 – 25	5
25 – 36	6
37 – 49	7
50 or more	The square root of the number of sites (rounded up)

Should one site be assessed as non-conforming, a multi-site provider may be at risk of losing their Instrument of Approval.

3.6 CROSS JURISDICTIONAL EVALUATIONS

A workers compensation authority identifying a need to conduct an evaluation of a cross jurisdictional provider, may collaborate with other workers compensation authorities in the design of the evaluation methodology and evaluation plan and may exchange information about provider performance.

3.7 SELF EVALUATION

To demonstrate ongoing compliance with the Conditions of Approval, an organisation that has been approved by a workers compensation authority must agree to participate in annual self evaluations. It is recommended the evaluation team carrying out the annual self evaluation will include members who:

- have successfully completed an auditor training course
- have a supervised period of training in practical assessment and auditing
- have at least five years experience related to the workplace rehabilitation industry
- are not personally responsible for the aspects of the business that they evaluate. In particular, they should not evaluate case records if they have been involved in workplace rehabilitation service delivery associated with those cases or, if evaluating staff files, they should not be involved in supervision and training associated with those staff members.

The evaluation methodology and process outlined for the workers compensation authority initiated evaluations can be applied to the provider's self evaluation. Providers must use the evaluation criteria (ie Conditions of Approval and Principles of Workplace Rehabilitation) and may use the evaluation tools (Appendix 3). The team leader for the self evaluation will sign the declaration of conformity (Appendix 3).

For multi-site organisations, refer to arrangements for multi-site organisations when developing the self evaluation methodology.

3.8 ROLES AND RESPONSIBILITIES

Delegation and supervision

Evaluators must have sufficient proficiency and training to carry out tasks assigned to them. The evaluator's work must be carefully directed, supervised and reviewed.

The manager's role includes:

- selecting the evaluation team
- provision of suitable instructions at the outset of the evaluation and approval of the evaluation plan
- ensuring completion of the approved evaluation, unless deviations are both justified and authorised
- determining the work papers adequately support the evaluation findings, conclusions and reports
- ensuring reports are accurate, objective, clear, concise, constructive and timely
- determining that evaluation objectives are being met.

Evaluation team

- Determine the criteria and scope of the evaluation.
- Prepare the evaluation plan and communicate this plan to the provider prior to the date of the evaluation.
- Collect and analyse relevant information, determine findings and summarise the evidence for the evaluation conclusions.

- Seek to resolve any problems that arise during the evaluation.
- Notify the provider of the findings, including recommendations and requirements for improvement.

Workplace rehabilitation provider

- Inform staff about the objectives and scope of the evaluation, as necessary.
- Provide facilities required for the evaluation team in order to ensure an effective evaluation process.
- Provide access to the facilities, staff, relevant information and records, as requested by the evaluation team.
- Cooperate with the evaluation team to enable the evaluation objectives to be achieved
- Appoint appropriate staff to assist the evaluation team as required.
- Appoint a designated person to consult with the workers compensation authority team, should any non-conformances be identified. An opportunity to discuss non-conformance will be provided, however, if the provider and the workers compensation authority evaluator do not agree on a decision, the team leader will make the final decision either during the evaluation or at a later time.
- Participate in the evaluation opening and closing meetings.

4. EVALUATION PLANNING AND FIELD WORK

4.1 PLANNING

Strategic planning

The strategic evaluation plan establishes a work strategy over a period of years (usually three) and enables the allocation of resources in the most effective and efficient manner possible. The plan requires:

- identification of providers/sites subject to an evaluation
- consideration of risk factors, (eg complexity, volume, critical criteria)
- determination of the priority ranking
- a decision as to the frequency, type and scope of evaluation that is most appropriate.

Annual planning

The annual plan is an abstract of the strategic plan. The strategic plan will have a multi year rolling plan with one being the current annual plan. The planning documentation is indicative but must be flexible enough to allow for periodic reviews and necessary amendments should circumstances warrant, (eg reassessment of priorities, emerging issues, non-completion of evaluations etc).

Evaluation planning

Adequate planning must be undertaken for each evaluation, setting out the objectives and scope of the evaluation, and the methodology and resources to be used by the evaluator. Preparing the evaluation plan also requires consideration of:

- the nature, size and operation of the service provider to be evaluated
- previous evaluation results
- complaints which have been investigated and substantiated
- availability and competence of evaluation staff
- evaluation criteria and methodology
- format and general content of the report to be prepared.

4.2 COMMUNICATION

Initial contact with the service provider

The team leader is responsible for writing to the service provider, no less than six weeks prior to a scheduled evaluation, to:

- confirm authority to conduct the evaluation
- provide information on the proposed date, time and duration of the evaluation and the evaluation team members
- schedule the opening meeting
- identify facilities required by the evaluation team, (eg desk, electric point, guide)
- request relevant documents as required
- outline requirements of the service provider, such as:
 - confirmation of the service providers representative
 - provision of relevant information (eg health and safety, and security matters)
 - access to relevant documents
 - logistic arrangements (eg suitable office accommodation and facilities for the evaluation team).

Four weeks prior to on-site evaluation

- Workplace rehabilitation providers must submit documents as requested by the evaluation team leader. In preparation for the evaluation, the evaluation team may review:
 - policy and procedural documentation
 - number and nature of any non-conformities recorded in previous evaluations
 - quality assurance improvement plans and modifications/actions taken in response to the previous evaluations
 - provider's annual performance data from the workers compensation authority's corporate data repository
 - staff employed by the provider within the last 12 months
 - insurances

- number of cases managed by the provider within the last 12 months and the number of current cases
- number and nature of any complaints about the provider received by the workers compensation authority within the current approval period
- certification against other standards obtained by the provider and verified by a recent audit report (may reduce sample size or recognise compliance with some of the Principles of Workplace Rehabilitation).

The evaluation team leader may contact the provider during this time to seek clarification about the information submitted and/or reviewed.

Three weeks prior to on-site evaluation

- The evaluation team leader will develop the evaluation plan and send this to the workplace rehabilitation provider. The evaluation plan will detail:
 - the evaluation criteria and scope (eg applicable principles to be reviewed, parties to be interviewed)
 - dates and places where the on-site evaluation will be conducted
 - anticipated time and duration of on-site evaluation activities (eg opening and closing meetings, staff interviews)
 - resource requirements (eg room allocation, information technology requirements)
 - confirmation of the provider's representative for the evaluation process
 - identification of staff and/or service recipients required for awareness interviews
 - number of case records required for the on-site evaluation.

Two business days prior to on-site evaluation

- The evaluation team leader will advise the workplace rehabilitation provider of the specific case records required for review on the day of the on-site evaluation.

Opening meeting

- Inform the service provider of the objectives and scope of the evaluation
- Describe the evaluation process and the activities involved.
- Confirm avenues of communication including interim feedback meetings.
- Provide an opportunity for the service provider to raise any points they feel are relevant.
- Confirm personnel appointed to assist the evaluation team (if not previously confirmed).
- Provider to deliver brief site induction (including OHS requirements) to the evaluation team.
- Provider to orientate the workers compensation authority evaluation team to the work environment, introduce relevant staff and designate an ergonomically appropriate space for the evaluation team to conduct the evaluation.

Closing meeting

The timing of the closing meeting is by agreement between the service provider and the team leader.

The evaluation team will orally feed back their findings to the provider organisation and provide an opportunity for the provider to discuss matters that arise, and formally indicate their satisfaction or otherwise of the evaluation findings. At this time the evaluator may amend their findings as a result of explanations received or further evidence provided to support compliance.

4.3 SCORING

In order to determine whether conformance with the Conditions of Approval has been achieved and is being maintained, the evaluator will assess the degree, nature and significance of any non-conformity.

Scoring the Conditions of Approval

All Conditions of Approval must be met to maintain an Instrument of Approval. However, conformance with Condition 1: Principles of Workplace Rehabilitation is scored differently to allow for service improvement.

Scoring the Principles of Workplace Rehabilitation

As the Principles of Workplace Rehabilitation reflect professional practice, it is deemed suitable to allow room for ongoing improvement in practice and therefore adherence to the principles.

Each principle and its indicator/s will be assessed as either complying or non-complying:

- Complying – The requirements of the principle and its indicator/s are met.
- Non-complying – The requirements of the principle and its indicator/s are not fully met.

The following conformity ratings will apply to the principles.

- Conformity – Level 1: Ninety five per cent compliance with all indicators (ie up to two non-compliances identified – 43/45).
- Conformity – Level 2: At least 85 per cent compliance with all indicators (ie between three and six non-compliances identified 39/45).
- Non-conformity: Less than 85 per cent compliance with all indicators (ie seven or more non-compliances identified).

Impact of conformance ratings on Condition 1

Conformity – Level 1 – Instrument of Approval is maintained.

Required action: Evidence of correction of any non-compliances to be submitted three months from the date the report is received.

Conformity – Level 2 – Instrument of Approval is maintained pending corrective action.

Required action: Corrective action plan submitted to the workers compensation authority within 30 days from the date the report is received. Evidence of progress towards correcting the non-compliances to be submitted three months from the date the report is received. Failure to provide evidence of the correction within three months will result in automatic reclassification to non-conformity.

Non-conformity – Instrument of Approval is at risk of cancellation

Required action: A corrective action plan is to be submitted to the workers compensation authority within 30 working days from the date the report is received. Evidence of progress towards correcting the non-compliances is to be submitted three months from the date the report is received. An on-site re-evaluation may be conducted within six months from the date the report is received. Failure to correct non-conformance within the agreed specified timeframe may result in automatic cancellation of an Instrument of Approval.

4.4 FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Findings and conclusions

The evaluation findings require the support of factual evidence to establish compliance or non-compliance with the evaluation criteria. The conclusions drawn and any recommendations must be consistent with the evaluation findings.

Recommendations

In determining recommendations, the evaluator must ensure that the recommendation provided is realistic, constructive and feasible. Aspects for the evaluator to consider when formulating recommendations include:

- is the change in accordance with relevant governing legislation?
- how significant is the problem and is the change likely to benefit as a whole?
- what consequential effects could the change have?
- what are the financial implications from the recommended changes?
- does the recommendation represent the most economical option?

Emerging issues

Evaluation findings which are significant in nature but do not form part of the evaluation scope should be recorded as an emerging issue. All emerging issues should be risk assessed and follow up action considered.

Reporting

Evaluation reports are to be issued to the service provider as soon as practicable and within 30 days of completion of the evaluation. If delays occur, the reasons for the delay will be communicated to the service provider and a revised date of issue provided.

Evaluation reports shall:

- be clear, concise, accurate and complete
- clearly explain the scope and objectives of the audit

- present findings and conclusions in a fair and objective manner
- disclose any emerging issues
- ensure findings and conclusions are adequately supported by properly documented evidence
- acknowledge service provider initiated improvements, where appropriate.

5. EVALUATION TOOLS

The evaluation tools within this manual incorporate the criteria to be used for both workers compensation authority initiated evaluations and provider self evaluations. The tools are as follows:

- Conditions of Approval Evaluation Tool (Appendix 1).
- Principles of Workplace Rehabilitation Evaluation Tool (Appendix 2).
- Declaration of Conformity (for self evaluation purposes only) (Appendix 3).

5.1 CONDITIONS OF APPROVAL EVALUATION TOOL (APPENDIX 1)

This tool assists in determining the provider's conformance to the Conditions of Approval.

The evaluator using the tool in appendix 1 assesses and rates each condition as either conforming or non-conforming.

Examples of evidence sources are listed on the tool. The list is a guide and does not represent an exhaustive list of evidence sources.

5.2 PRINCIPLES OF WORKPLACE REHABILITATION EVALUATION TOOL (APPENDIX 2)

An evaluation of a provider's conformance with Condition 1: Principles of Workplace Rehabilitation includes an assessment of the provider's policy and procedures and then an assessment of the provider's application of their policy and procedures through the provider's operational documents, case records or awareness interviews.

Policies and procedures are sets of statements and instructions to guide practice in meeting organisational objectives and the Conditions of Approval.

Operational documents and records are working documents reflecting the application of the organisation's policies and procedures (eg staff records of induction and development, current insurances, meeting minutes).

Case records are documents relating to a worker's case.

Awareness interviews are interviews conducted with workplace rehabilitation provider staff and/or service recipients (eg worker, employer, insurer) regarding the provider's provision of workplace rehabilitation.

Instructions for use:

1. Review the organisation's **policies and procedures** in accordance with each principle and indicator, and determine compliance. Record the evidence and results on the evaluation tool under the 'Policies and Procedures' column.

2. Review the organisation's **application** of policies and procedures in accordance with each principle and indicator and determine compliance utilising:
 - **operational documents and records**
 - **case records**, according to sampling methodology
 - **awareness interviews** conducted with staff and/or service recipients.

In determining compliance with the Service Provision Principles and Indicators, an evaluation of case records must be conducted. The sample of case records available to evaluate is as per the sampling methodology (ie no less than 10 and no more than $0.6 \times \text{square root of the number of cases closed in the previous 12 months plus current open cases}$). However, the number of case records evaluated per indicator is determined by the evaluator, based on their level of confidence that compliance has been consistently demonstrated for that indicator. Other sources of evidence can be used in addition to the case records if necessary.

Record the evidence and results on the evaluation tool in the applicable column under 'Application of Policies and Procedures'.

3. Determine the overall compliance to each principle and its indicator.

If non-compliance is identified in either the policies and procedures or application of policies and procedures review, the overall result is non-compliance.
4. Determine the level of conformance.

Level of Conformance = $\text{number of compliances} / \text{number of applicable indicators} \times 100$.

Possible sources of evidence: The list of possible sources of evidence is a guide and does not represent an exhaustive list of evidence sources. Providers can advise the evaluation team of other sources of evidence during an evaluation.

Policies and procedures: Sets of statements and work instructions to guide practice in meeting organisational objectives and the Conditions of Approval.

Operational documents and records: Working documents reflecting the application of the organisation's policies and procedures, such as:

- staff records of induction and development
- training calendars/records
- quality assurance and continuous improvement assessments, actions plans and reviews
- customer feedback log, actions and review
- referral allocation records
- caseload monitoring and performance data
- OHS and injury management assessment and actions
- current insurances
- previous audit/evaluation reports
- time recording and invoicing records.

Case records: Documentation relating to a worker's case, such as:

- return to work (RTW) plans
- assessments
- case notes
- correspondence
- file reviews
- case handover summaries
- customer feedback
- invoices/timesheets.

Awareness interviews: Interviews conducted with workplace rehabilitation provider staff and/or service recipients (eg worker, employer, insurer) regarding the provider's provision of workplace rehabilitation.

The evaluator will ask the interviewee questions relating to relevant principles and indicators. The evaluator will ask 'how' and 'what' type questions to elicit responses that demonstrate the provider's application of the Principles of Workplace Rehabilitation.

5.3 DECLARATION OF CONFORMITY (APPENDIX 3)

A Declaration of Conformity is required to provide evidence that a self evaluation has been conducted and conformance against the Conditions of Approval have been assessed. If any non-conformances are identified, the provider will detail the non-conformances and related corrective action plans.

The declaration is completed as part of the self evaluation process. Each period of renewal, a provider may be requested to submit a copy of their most recent self evaluation report and the declaration of conformity.

The declaration must include the following components:

- Name of the provider business.
- The following conformity statement: 'The (name of provider business) is in conformity with the Conditions of Approval for workplace rehabilitation providers'.
- Identification of the person(s) who conducted the evaluation, and a declaration that they meet the requirements of an evaluator and were not personally responsible for the aspects of the business that they evaluated.
- Acknowledgement and acceptance of the consequences of making a false declaration.
- Full name and function of the person(s) authorised by the provider business to sign on its behalf, and the date of signing.

APPENDIX 1 – CONDITIONS OF APPROVAL: EVALUATION TOOL

CONFORMANCE TO CONDITIONS OF APPROVAL EVALUATION TOOL

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

Criteria: Conditions of approval	Possible evidence sources	Rating (C, NC)	Comments (if required)
1. Must comply with the Principles of Workplace Rehabilitation.	<ul style="list-style-type: none"> Findings from the evaluation of the Principles of Workplace Rehabilitation. 		
2. Must ensure that all services are delivered in accordance with the Workplace Rehabilitation Model by persons who hold the minimum qualifications, as defined in the Principles of Workplace Rehabilitation, and in accordance with service descriptions appropriate to the workers compensation authority where the approval is being sought.	<ul style="list-style-type: none"> Findings from the evaluation of the Principles of Workplace Rehabilitation. Policies and procedures. Staff records of induction and development. Provider marketing material. Interviews with staff and customers. Case records. 		
3. Management structure must include at least one person who holds a rehabilitation consultant qualification, outlined in the Principles of Workplace Rehabilitation, and who is able to demonstrate five years' relevant workplace rehabilitation experience.	<ul style="list-style-type: none"> Findings from the evaluation of the Principles of Workplace Rehabilitation. Staffing list. Staff records. Staff resume. 		
4. Must participate in annual self evaluations and in independent evaluations, as required by the workers compensation authority, to demonstrate conformance with the Conditions of Approval.	<ul style="list-style-type: none"> Workplace Rehabilitation Provider Self evaluation: Declaration of Conformity. Workplace Rehabilitation Provider Summary of Self Evaluation Findings. 		

Conformance rating

C: Comply: The requirements of the condition are met

NC: Non-comply: The requirements of the condition are not fully met (Would the terms be compliant vs non-compliant?)

<p>5. Must demonstrate management of 12 cases of workplace rehabilitation within any workers compensation jurisdiction for each 12 month period within the three year approval period (due consideration will be given to providers servicing rural and remote areas).</p>	<ul style="list-style-type: none"> • Caseload monitoring and performance data. 		
<p>6. Must maintain the minimum return to work rate as set by the workers compensation authority.</p>	<ul style="list-style-type: none"> • Caseload monitoring and performance data. 		
<p>7. Must provide data to the workers compensation authority consistent with the Conditions of Approval.</p>	<ul style="list-style-type: none"> • Caseload monitoring and performance data. 		
<p>8. Must deliver services in compliance with the Code of Conduct for Workplace Rehabilitation Providers.</p>	<ul style="list-style-type: none"> • Statement of Commitment to the Code of Conduct for WorkCover Providers. • Workplace rehabilitation provider summary of self evaluation findings. 		
<p>9. Facilities at all locations where services are delivered must provide an accessible and appropriate environment for workers, staff and visitors and comply with local workplace health and safety legislation.</p>	<ul style="list-style-type: none"> • Findings from on-site review. • Risk management records. 		
<p>10. Must remain financially solvent.</p>	<ul style="list-style-type: none"> • Australian Securities and Investment Commission (ASIC) information. 		<p>This condition will not usually be assessed as part of an on-site evaluation.</p>

Conformance rating

C: Comply: The requirements of the condition are met

NC: Non-comply: The requirements of the condition are not fully met (Would the terms be compliant vs non-compliant?)

<p>1.1. Must notify the workers compensation authority in advance, or as soon as practical, if any of the following situations arise, and accept that the workers compensation authority will review the status of approval and determine whether the proposed arrangement conforms with the Conditions of Approval:</p> <ul style="list-style-type: none"> i. The business is sold or the controlling interest in the business is taken over by a new shareholder(s), owner(s) or director(s). ii. The business changes its trading name or location of premises. iii. The business supplies or has connections with other suppliers of services within the workers compensation industry. iv. A new chief executive officer or director or head of management is appointed. v. There is a major change in the service delivery model and/or staff which may impact on the delivery of the workplace rehabilitation services. vi. There is any other change that affects, or may affect, the provider's service quality and procedures. vii. The provider has entered into voluntary financial administration, becomes insolvent or is the subject of bankruptcy proceedings. viii. There is any professional misconduct proceedings being taken against the provider or any individuals employed or engaged by the provider. 	<ul style="list-style-type: none"> • Correspondence between the provider and WorkCover. 	<p>This condition will not usually be assessed as part of an on-site evaluation.</p>
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Conformance rating

C: Comply: The requirements of the condition are met

NC: Non-comply: The requirements of the condition are not fully met (Would the terms be compliant vs non-compliant?)

<p>12. Must accept that the workers compensation authority may:</p> <ul style="list-style-type: none"> i. initiate an evaluation at any time during the period of the approval which may involve an evaluation of conformance to the Conditions of Approval ii. consult with the relevant professional or industry associations in determining what are reasonable expectations regarding performance iii. impose additional requirements iv. exchange information with other workers compensation authorities on provider performance v. cancel approval status if the above conditions are not met. 	<ul style="list-style-type: none"> • Correspondence between the provider and WorkCover. 	<p>This condition will not usually be assessed as part of an on-site evaluation.</p>
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Conformance rating

C: Comply: The requirements of the condition are met

NC: Non-comply: The requirements of the condition are not fully met (Would the terms be compliant vs non-compliant?)

APPENDIX 2 – PRINCIPLES OF WORKPLACE REHABILITATION: EVALUATION TOOL

CONFORMANCE TO THE PRINCIPLES OF WORKPLACE REHABILITATION: EVALUATION TOOL

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

SUMMARY OF FINDINGS

Areas of strength:

Areas for improvement identified:

Conformance findings:

Non-conformance findings:

Level of conformance:

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Service provision principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
1. A focus on return to work	Policies and procedures	Operational documents and records		Case records		Awareness interviews		
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Expectations that a return to work goal, and the services required, are established with relevant parties at the commencement and throughout service provision (relevant parties include worker, employer, insurer and other service providers).								
b. Appropriate services are identified and delivered to maximise return to work.								
c. Services focus initially on return to work in the worker's pre-injury employment or, if that is not possible, with another employer.								

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Service provision principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
2. The right services provided at the right time	Policies and procedures	Operational documents and records		Case records		Awareness interviews		
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Workers receive prompt attention and intervention appropriate to their needs.								
b. Barriers, risks and strengths are identified and strategies promptly implemented.								
c. Services are actively coordinated and integrated with other injury management and return to work activities.								

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Service provision principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)	
		Policies and procedures		Operational documents and records		Case records			Awareness interviews
3. Effective service provision at appropriate cost		Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a.	Needs of the worker and employer are identified by means of adequate and appropriate assessment.								
b.	Service levels match the worker and employer needs.								
c.	Service costs match the range and extent of service provision.								

Conformance rating

- C: Comply: The requirements of the principle/indicator are met
- NC: Non-comply: The requirements of the principle/indicator are not fully met
- NA: Not Applicable

Service provision principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
4. Effective communication with all relevant parties	Policies and procedures		Operational documents and records		Case records		Awareness interviews	
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Respectful, open and effective working relationships established and maintained with and between workers, employers and other relevant parties.								
b. The provider acts as the link between treatment providers and the workplace to translate functional gains into meaningful work activity.								
c. Progress towards the return to work goal is communicated to interested parties throughout service provision.								
d. Durability of employment is confirmed 13 weeks after placement.								

Conformance rating

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NA: Not Applicable

Service provision principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)	
5. Evidence based decisions	Policies and procedures	Operational documents and records		Case records		Awareness interviews			
		Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Assessments demonstrate the need for service.									
b. The type of service selected is the most appropriate and cost effective of those available to achieve the return to work goal.									
c. An equitable and consistently applied approach to recommending commencement and cessation of service delivery.									
d. Consideration is given to workplace industrial relations and human resource matters that may affect the worker's return to work.									

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Organisational and administrative principles							Overall conformance to principle and indicator (C/NC/NA)
1. Comprehensive and robust corporate governance infrastructure	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews	C NC NA	
a. Systems of probity that avoid conflict of interest as well as prevent, manage and report malpractice/fraud.			Evidence	C NC NA	Evidence	C NC NA	
b. Appropriate financial administration including accurate accounting.			Evidence	C NC NA	Evidence	C NC NA	
c. Maintenance of appropriate and adequate insurances, including professional indemnity, public liability and workers compensation.			Evidence	C NC NA	Evidence	C NC NA	
d. Data collection, analysis and reporting of provider performance including return to work and durable return to work rates.			Evidence	C NC NA	Evidence	C NC NA	

Conformance rating

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NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Organisational and administrative principles							Overall conformance to principle and indicator (C/NC/NA)
2. A records management system meeting State and Commonwealth legislation requirements	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
a. Comprehensive, accurate and accessible records pertaining to all clients, staff and business operations.			Evidence	C NC NA	Evidence	C NC NA	
b. Security of storage of records in accordance with legislative requirements.							

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Organisational and administrative principles							Overall conformance to principle and indicator (C/NC/NA)
3. Privacy and confidentiality practices meeting relevant privacy legislation requirements	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
a. Systems that incorporate privacy and confidentiality requirements within all aspects of the organisational and administrative arrangements.	Evidence	C NC	Evidence	Evidence	Evidence	C NC NA	

Conformance rating

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NA: Not Applicable

Organisational and administrative principles							Overall conformance to principle and indicator (C/NC/NA)
4. Safe work practices as well as return to work and injury management policies.	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews	C NC NA	
a. Systems that comply with relevant injury management and workers compensation legislation.			Evidence	C NC NA	Evidence	C NC NA	
b. Systems that comply with local workplace health and safety legislation.							

Conformance rating

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NA: Not Applicable

Organisational and administrative principles							Overall conformance to principle and indicator (C/NC/NA)
5. Organisational management structure requirements	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
a. At least one person in the management structure with a qualification recognised as being sufficient to satisfy the requirements of a workplace rehabilitation consultant and who is able to demonstrate at least five years relevant workplace rehabilitation experience (also refer to Staff Management Principles 4.1a).			Evidence	C NC NA	Evidence	C NC NA	

Conformance rating

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NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Quality assurance and continuous improvement principles		Application of policies and procedures				Overall conformance to principle and indicator (C/NC/NA)
1. Quality model	Policies and procedures	Operational documents and records	Case records	Awareness interviews		
		Evidence C NC	Evidence C NC NA	Evidence C NC NA	Evidence C NC NA	
a. Quality systems that ensure customer focused service delivery and collect, analyse and monitor qualitative and quantitative data to identify areas of strength and opportunities for systems and service improvement.						

Conformance rating

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NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Quality assurance and continuous improvement principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
2. Quality assurance	Policies and procedures	Operational documents and records		Case records		Awareness interviews		
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Implementation of appropriate review mechanisms (eg self evaluations and peer reviews) to assure compliance with the Conditions of Approval.								
b. Implementation and documentation of corrective and preventative actions and monitoring and review of their effectiveness.								

Conformance rating

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NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Quality assurance and continuous improvement principles							Overall conformance to principle and indicator (C/NC/NA)
3. Customer focus	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
a. System to collect, review, analyse and action solicited and unsolicited feedback from customers.			Evidence	C NC NA	Evidence	C NC NA	
b. Implementation of an effective complaints management system.							

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Quality assurance and continuous improvement principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
4. Continuous improvement	Policies and procedures	Operational documents and records		Case records		Awareness interviews		
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence	C NC NA
a. Systems for analysing information and data to identify opportunities for improvement.								
b. Planning, piloting, refining and implementing improvement strategies.								
c. Monitoring and reviewing the effectiveness of any improvement strategies.								

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Staff management principles							Overall conformance to principle and indicator (C/NC/NA)
1. Qualifications, knowledge and experience	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
a. Systems for ensuring that workplace rehabilitation consultants have the minimum qualifications (as outlined in the <i>Guide: Nationally Consistent Approval Framework for Workplace Rehabilitation Providers</i>).			Evidence C NC NA	Evidence C NC NA	Evidence C NC NA		
b. Workplace rehabilitation consultants have the appropriate skills, knowledge, and experience to deliver workplace rehabilitation services.			Evidence C NC NA	Evidence C NC NA	Evidence C NC NA		

Conformance rating

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NA: Not Applicable

<p>c. Workplace rehabilitation consultants have knowledge of injury management principles and workers compensation legislation, policy and procedure.</p>					
<p>d. All staff interacting with injured workers and workplaces have current checks and clearances where appropriate (police, security, OHS and child protection).</p>					

Conformance rating

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- NC: Non-comply: The requirements of the principle/indicator are not fully met
- NA: Not Applicable

Staff management principles							Overall conformance to principle and indicator (C/NC/NA)
2. Induction, ongoing learning and development	Policies and procedures		Application of policies and procedures				
	Evidence	C NC	Operational documents and records	Case records	Awareness interviews		
			Evidence	Evidence	Evidence		C NC NA
a. A robust induction and continuous learning and development program to support the acquisition and maintenance of staff skills and knowledge.							
b. Staff have access to, and understand, all current policies and procedures relevant to their work.							
c. Staff have appropriate supervision and support and participate in peer review processes.							
d. Staff members are compliant with the professional code of conduct relevant to their particular qualification.							

Conformance rating

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NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

Staff management principles		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)	
3. Adequate staff resourcing	Policies and procedures	Operational documents and records		Case records		Awareness interviews			
	Evidence	C NC	Evidence	C NC NA	Evidence	C NC NA	Evidence		C NC NA
a.	Caseload management systems that efficiently allocate cases to staff with the experience and skill level to match the worker's injury, needs and potential case complexity.								
b.	Handover practices where cases are reviewed and all relevant parties informed to maintain continuity of care for the worker.								

Conformance rating

C: Comply: The requirements of the principle/indicator are met

NC: Non-comply: The requirements of the principle/indicator are not fully met

NA: Not Applicable

APPENDIX 3 – DECLARATION OF CONFORMANCE

Workplace Rehabilitation Provider Self evaluation:

Declaration of Conformance

1. _____ is in conformance with the Conditions of Approval for workplace rehabilitation providers within the workers compensation system.

Yes / No (please circle)

2. If no, please detail the condition/s to which your organisation did not conform and the corrective actions to address the non-conformance/s. (This information can be in the form of an attachment if required).

Non-conformance:

Action plan:

3. Person(s) who conducted the evaluation:

On behalf of the organisation, the Principal Head(s) declare:

a. the person(s) who conducted the evaluation meet the requirements of an evaluator.

Yes / No (please circle). If no, please outline the person's qualifications.

b. the person(s) who conducted the evaluation were not personally responsible for the aspects of the business that they evaluated.

Yes / No (please circle). If no, please outline the person's responsibilities.

4. On behalf of the organisation, the Principal Head(s) acknowledge and accept the consequences of making a false declaration.

To be signed by the Principal Head(s):

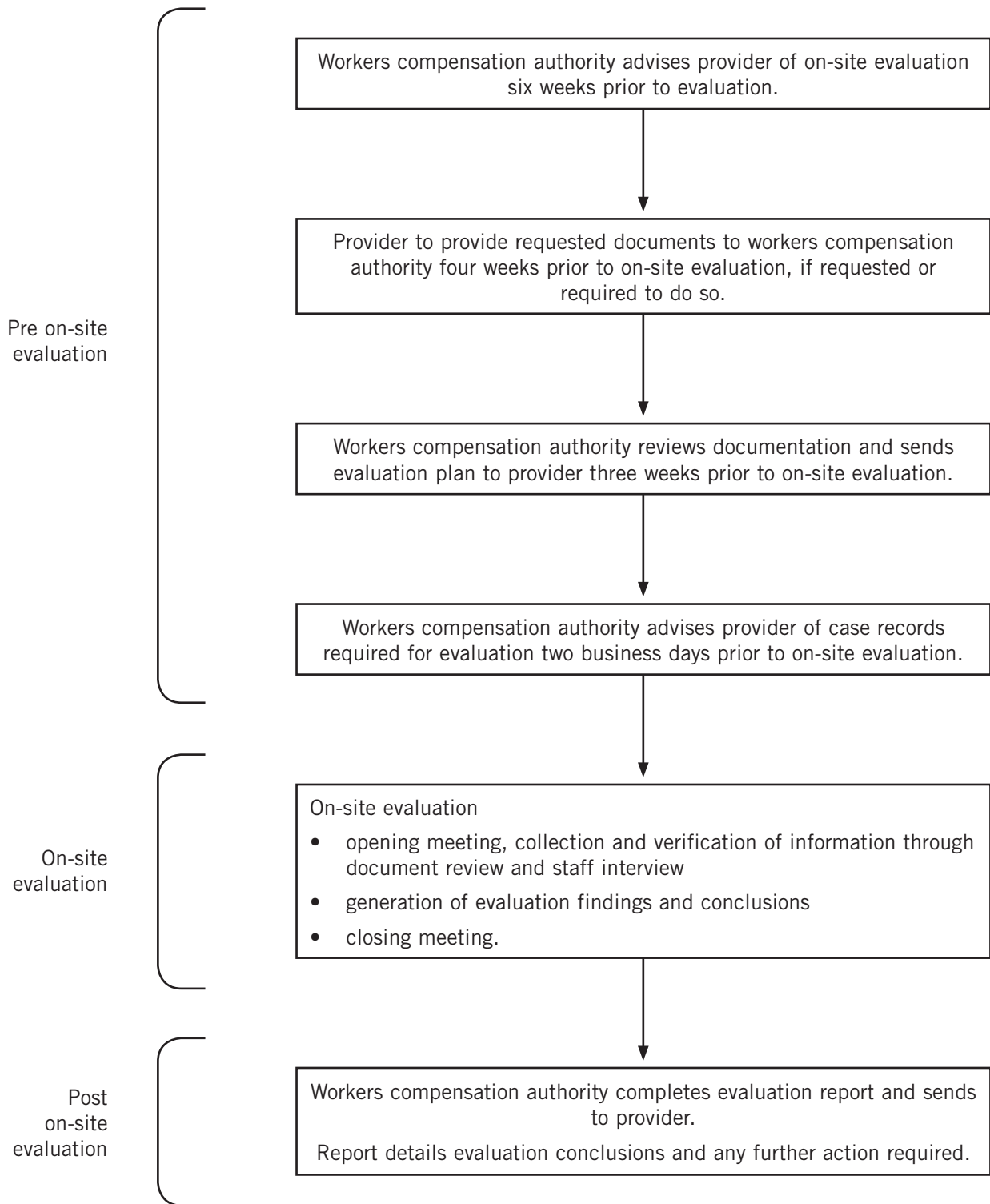
Name: _____ Name: _____

Signature: _____ Signature: _____

Title: _____ Title: _____

Date: _____ Date: _____

APPENDIX 4 – EVALUATION PROCESS FLOWCHART



GLOSSARY OF TERMS

Awareness interviews – Interviews conducted with workplace rehabilitation provider staff and/or service recipients (eg worker, employer, insurer) regarding the provider's provision of workplace rehabilitation.

Case records – Documentation relating to a specific injured worker's case.

Conformity – Fulfillment of the Conditions of Approval and Principles of Workplace Rehabilitation.

Evaluation – Systematic, independent and documented process for obtaining evidence to determine the extent to which the requirements are fulfilled.

Evaluation by exception – Evaluations conducted in response to specific information obtained or received by WorkCover.

Evaluation conclusion – Outcome of the evaluation.

Evaluation criteria – The Conditions of Approval and the Principles (and related indicators) of workplace rehabilitation.

Evaluation evidence – Records, statement of fact or other information, which are relevant to the evaluation criteria and verifiable.

Evaluation findings – Results of the evaluation of the collected evaluation evidence against evaluation criteria.

Evaluation scope – Extent and boundaries of an evaluation.

Evaluation plan – Description of the activities and arrangement for an evaluation.

General guide – *Approval of Workplace Rehabilitation Providers within the NSW Workers Compensation System: General guide.*

ISO 19011: 2002 (AS/NZS ISO 19011:2003) – Guidance material on the management of audit programs of quality and/or environmental management systems.

Non-conformity – Failure to demonstrate fulfillment of the Conditions of Approval and Principles of Workplace Rehabilitation.

Operational documents and records – Working documents reflecting the application of the organisation's policies and procedures.

Periodic evaluation – Evaluation scheduled within the provider's three-year approval period.

Policy and procedures – A set of statements and instructions to guide practice in meeting organisational objectives and the Conditions of Approval.

Provider – Workplace rehabilitation provider.

Self declaration of conformance – Commitment and demonstration to adherence to the Conditions of Approval through self evaluation.

