



SUPPORTING DOCUMENTATION LIST

This is a guide or health check for your organisation working towards achieving Certificate level.

SOUND MANAGEMENT PLANNING

- Strategic Plan - includes Purpose and Values
- Operational or Business Plan
- Budget aligned to Strategic Plan
- Planning Schedule
- External Environment Scan/Needs/SWOT Analysis
- Stakeholder input (surveys, etc)

GOVERNANCE

- Appointment/induction/roles/responsibilities
- Privacy/Confidentiality Policy (links to Communication)
- Process to ensure systems are reviewed regularly
- Quality management framework in place
- Monitoring of progress both strategic and financial
- List of legislation
- Risk Management register, plan and system
- Compliance to relevant legislation
- Risk Management Policy
- Audit Trail
- Records Management Policy
- Records Archive register
- Information Technology policy (data, back up, off site storage)

FINANCIAL MANAGEMENT AND CONTRACTING

- Effective and suitably controlled record keeping
- Delegations of Authority
- Purchasing controls in place
- Procurement policy
- Asset Management policy
- Environmental management policy
- Regular reporting against KPIs linked to Strategic Plan
- Contracting policy
- Major and strategic contracts are defined
- Contractors are appointed and managed effectively and with integrity
- Funding and Service agreements signed
- Review timetable

PEOPLE PARTNERSHIPS AND COMMUNICATION PEOPLE

- Work, Health and Safety policy and policy manual
- WorkCover policy (including claims management)
- Equal Employment Opportunity policy (complaint)
- Internal audit records
- Regular hazard identification inspections (corrective and preventative records)
- Recruitment and selection policy meet statutory and industrial requirements
- Position descriptions (appropriate staff skills and qualifications)
- Police check policy
- Contract of employment
- Code of conduct
- Induction policy
- Induction handbook
- Rights and responsibilities/role definitions
- Staff immunisations where necessary
- Discipline policy
- Organisational chart
- Grievance policy (staff)
- Training and development plans (appraisals, etc)
- Volunteers policy
- Evidence of working collaboratively
- Diversity included in role definitions
- Healthy Workplace policy
- Smoke Free workplace Policy
- Cultural Safety Framework
- Reconciliation Plan
- Disability/Access and Inclusion Action Plans
- Employee pulse surveys including volunteer satisfaction surveys



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PEOPLE PARTNERSHIPS AND COMMUNICATION

PARTNERSHIPS

- Database (list of key partners - shared purpose)
- Statement of Purpose for relationship (MoUs, contracts, etc)
- How do you identify new opportunities and new partnerships
- Examples of favourable outcomes from working together
- Partnership policy (expectations, accountabilities, evaluation)
- Conflict of interest disclosures

COMMUNICATION

- Data Bases (who do you communicate with)
- Methods of communication and feedback (minutes, brochures etc)
- Communication policy (protocols) for communication
- Complaints and Grievance policy (consumers) (AS 4269)
- Staff meeting minutes
- Data collection methods (responsive to consumer needs)
- Freedom of information policy and/or Privacy policy
- Compliance against legislative standards
- Communication policy
- Information Sharing Guidelines policy
- Privacy Policy

SERVICE PROVISION

CONSUMER INVOLVEMENT

- Consumer policies in place (Customer charter, rights and responsibilities)
- Feedback and Complaints management system
- Demonstrate consumer involvement in decision making and planning
- Responsive to consumer needs
- Case Management/Client Management Systems
- Feedback surveys
- Client and families information packs

SERVICE OUTCOMES

- Outcome measures (surveys, evaluation results, tallies, etc)
- Outcome measures are benchmarked
- Funding Service Agreements