



# Heads of Workers Compensation Authorities Australia and New Zealand

## EVALUATION TOOL: Conformance to *Conditions of Approval*

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

**Conformance Rating:**

C: Comply: The requirements of the condition are met

NC: Non-comply: The requirements of the condition are not fully met

NA: Not applicable

CRITERIA: <i>CONDITIONS OF APPROVAL</i>	POSSIBLE EVIDENCE SOURCES	RATING	COMMENTS (if required)
		(C, NC)	
1. Must comply with the Principles of Workplace Rehabilitation.	<ul style="list-style-type: none"> <li>findings from the evaluation of the Principles of Workplace Rehabilitation</li> </ul>		
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. Services must be delivered with descriptions appropriate to the workers compensation authority where approval is being sought.	<ul style="list-style-type: none"> <li>findings from the evaluation of the Principles of Workplace Rehabilitation</li> <li>policies and procedures</li> <li>staff records of induction and development</li> <li>provider marketing material</li> <li>interviews with staff and customers</li> <li>case records</li> </ul>		
3. Management structure must include at least one person who holds a rehabilitation consultant qualification (as outlined in the Principles of Workplace Rehabilitation) and can demonstrate five years' relevant workplace rehabilitation experience.	<ul style="list-style-type: none"> <li>findings from the evaluation of the Principles of Workplace Rehabilitation</li> <li>staffing list</li> <li>staff records</li> <li>staff resume</li> </ul>		
4. Must participate in annual self-evaluations and in independent evaluations as required by the relevant workers compensation authority.	<ul style="list-style-type: none"> <li>Workplace Rehabilitation Provider Self Evaluation: Declaration of Conformity</li> <li>Workplace Rehabilitation Provider summary of self-evaluation findings</li> </ul>		
5. Must demonstrate management of 12 cases (exclude assessment-only 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).	<ul style="list-style-type: none"> <li>caseload monitoring and performance data</li> </ul>		
6. Must maintain the minimum return to work rate as set by the workers compensation authority.	<ul style="list-style-type: none"> <li>caseload monitoring and performance data</li> </ul>		
7. Must provide data to the workers compensation authority consistent with the <i>Conditions of Approval</i> .	<ul style="list-style-type: none"> <li>caseload monitoring and performance data</li> </ul>		
8. Must deliver services in compliance with the Code of Conduct for Workplace Rehabilitation Providers.	<ul style="list-style-type: none"> <li>statement of Commitment to the Code of Conduct for Providers</li> <li>workplace rehabilitation provider summary of self-evaluation findings</li> </ul>		
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.	<ul style="list-style-type: none"> <li>findings from on-site review</li> <li>risk management records</li> </ul>		
10. Must remain financially solvent.	<ul style="list-style-type: none"> <li>Australian Securities and Investment Commission (ASIC) information</li> </ul>		<i>This condition will not usually be assessed as part of an on-site evaluation</i>

CRITERIA: <i>CONDITIONS OF APPROVAL</i>	POSSIBLE EVIDENCE SOURCES	RATING (C, NC)	COMMENTS (if required)
<p><b>11.</b> 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 <i>Conditions of Approval</i> :</p> <ul style="list-style-type: none"> <li><b>i.</b> the business is sold or the controlling interest in the business is taken over by a new shareholder(s), owner(s) or director(s)</li> <li><b>ii.</b> the business changes its trading name or location of premises</li> <li><b>iii.</b> the business supplies or has connections with other suppliers of services within the workers compensation industry</li> <li><b>iv.</b> a new chief executive officer, director or head of management is appointed</li> <li><b>v.</b> there is a major change in the service delivery model and/or staff which may impact on the delivery of the workplace rehabilitation services</li> <li><b>vi.</b> there is any other change that affects, or may affect, the provider’s service quality and procedures</li> <li><b>vii.</b> the provider has entered into voluntary financial administration, becomes insolvent or is the subject of bankruptcy proceedings</li> <li><b>viii.</b> there is any professional misconduct proceedings being taken against the provider or any individuals employed or engaged by the provider.</li> </ul>	<ul style="list-style-type: none"> <li>• correspondence between the provider and the workers compensation authority</li> </ul>		<p><i>This condition will not usually be assessed as part of an on-site evaluation</i></p>
<p><b>12.</b> Must accept that the workers compensation authority may:</p> <ul style="list-style-type: none"> <li><b>i.</b> initiate an evaluation at any time during the period of the approval which may involve an evaluation of conformance to the <i>Conditions of Approval</i></li> <li><b>ii.</b> consult with the relevant professional or industry associations in determining what are reasonable expectations regarding performance</li> <li><b>iii.</b> impose additional requirements</li> <li><b>iv.</b> exchange information with other workers compensation authorities on provider performance</li> <li><b>v.</b> cancel approval status if the above conditions are not met.</li> </ul>	<ul style="list-style-type: none"> <li>• correspondence between the provider and the workers compensation authority</li> </ul>		<p><i>This condition will not usually be assessed as part of an on-site evaluation</i></p>

**Workplace rehabilitation provider:**

**Evaluator(s):**

**Date of evaluation:**

**Conformance Rating:**

C: Comply: The requirements of the condition are met  
 NC: Non-comply: The requirements of the condition are not fully met  
 NA: Not applicable



# Heads of Workers Compensation Authorities Australia and New Zealand

## EVALUATION TOOL: Conformance to the Principles of Workplace Rehabilitation

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

SUMMARY OF FINDINGS	COMMENTS
Areas of strength	
Areas for improvement identified	
Conformance findings: score out of 45, conformance %	
Non-conformance findings	
Level of conformance	

### Conformance Rating:

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**EVALUATION TOOL: Service provision principles**

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

**Conformance Rating:**

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NC: Non-comply: The requirements of the condition are not fully met

NA: Not applicable

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator C/NC/NA
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>1. A focus on recovery at or return to work</b>									
a. Expectations that a SMART 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 recovery at, or return to work.									
c. Services focus initially on recovery at work in the worker's pre-injury employment or, if that is not possible, return to work with another employer.									
<b>2. The right services provided at the right time</b>									
a. Workers receive prompt attention and intervention appropriate to their needs.									
b. Barriers, risks and strengths are identified and strategies promptly implemented.									
c. Service is actively coordinated and integrated with other injury management and recovery at and return to work activities.									
<b>3. Effective service provision at appropriate cost</b>									
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.									

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator C/NC/NA
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>4. Effective communication with all relevant parties</b>									
a. Respectful, open and effective working relationships established and maintained 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 recover at or return to work goal is communicated to interested parties throughout service provision.									
d. Durability of employment is confirmed 13 weeks after placement.									
<b>5. Evidence-based decisions</b>									
a. Assessments demonstrate the need for intervention and appropriateness of the recover at, or return to work strategies.									
b. The extent of workplace rehabilitation intervention and/or the type of service selected is the most appropriate and cost effective of those available to achieve the recover at or return work goal.									
c. An equitable and consistently applied approach to recommending commencement and cessation of service delivery is undertaken.									
d. Consideration is given to workplace industrial relations and human resource matters that may affect the worker's recovery at, or return to work.									

**Workplace rehabilitation provider:**

**Evaluator(s):**

**Date of evaluation:**

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**EVALUATION TOOL: Organisational and administrative principles**

Providers deliver services to workers and employers in a cost effective, timely and proactive manner to achieve a safe and durable return to work.

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

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NA: Not applicable

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>1. Comprehensive and robust corporate governance infrastructure</b>									
a. Systems of probity that avoid conflict of interest as well as prevent, manage and report malpractice/fraud.									
b. Appropriate financial administration including accurate accounting.									
c. Maintenance of appropriate and adequate insurances, including professional indemnity, public liability and workers compensation.									
d. Data collection, analysis and reporting of provider performance including return to work and durable return to work rates.									
<b>2. A records management system meeting State and Commonwealth legislation requirements</b>									
a. Comprehensive, accurate and accessible records pertaining to all clients, staff and business operations.									
b. Security of storage of records in accordance with legislative requirements.									
<b>3. Privacy and confidentiality practices meeting relevant privacy legislation requirements</b>									
a. Systems that incorporate privacy and confidentiality requirements within all aspects of the organisational and administrative arrangements.									
<b>4. Safe work practices as well as return to work and injury management policies</b>									
a. Systems that comply with relevant injury management and workers compensation legislation.									
b. Systems that comply with local workplace health and safety legislation.									

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>5. Organisational management structure requirements</b>									
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 4.4.1a minimum workplace rehabilitation consultant qualifications).									

**Workplace rehabilitation provider:**

**Evaluator(s):**

**Date of evaluation:**

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**EVALUATION TOOL: Quality assurance and continuous improvement principles**

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

**Conformance Rating:**

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NA: Not applicable

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>1. Quality model</b>									
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.									
<b>2. Quality assurance</b>									
a. Implementation of appropriate review mechanisms (e.g. self-evaluations and peer reviews) to assure compliance with the <i>Conditions of Approval</i> .									
b. Implementation and documentation of corrective and preventative actions and monitoring and review of their effectiveness.									
<b>3. Customer focus</b>									
a. System to collect, review, analyse and action solicited and unsolicited feedback from customers.									
b. Implementation of an effective complaints management system.									
<b>4. Continuous improvement</b>									
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.									

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

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**EVALUATION TOOL: Staff management principles**

Workplace rehabilitation provider:

Evaluator(s):

Date of evaluation:

**Conformance Rating:**

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NA: Not applicable

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
<b>1. Qualifications, knowledge and experience</b>									
a. Systems for ensuring that workplace rehabilitation consultants have the minimum qualifications (as outlined in the Guide: Nationally Consistent Approval Framework for Workplace Rehabilitation Providers) and the qualifications are verified.									
b. Workplace rehabilitation consultants have the appropriate skills, knowledge, and experience to deliver workplace rehabilitation services.									
c. Workplace rehabilitation consultants have knowledge of injury management principles and workers compensation legislation, policy and procedure.									
d. All staff interacting with injured workers and workplaces have current checks and clearances where appropriate (police, security, OHS and child protection).									
<b>2. Induction, ongoing learning and development</b>									
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.									

	Policies and procedures		Application of policies and procedures						Overall conformance to principle and indicator (C/NC/NA)
	Evidence	C/NC	Operational Documents & Records		Case Records		Awareness Interviews		
			Evidence	C/NC/NA	Evidence	C/NC/NA	Evidence	C/NC/NA	
d. Staff members are compliant with the professional code of conduct relevant to their particular qualification.									
<b>3. Adequate staff resourcing</b>									
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.									

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