

## **SUMMARY OF SAI GLOBAL TRIENNIAL AUDIT FINDINGS OF THE AGED CARE AND ACCREDITATION AGENCY LTD**

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### **INTRODUCTION**

SAI Global conducted a Triennial Audit activity of the national and state operations for the Aged Care Standards & Accreditation Agency Ltd during June and July 2010.

The purpose of this audit report is to summarise the degree of compliance with relevant criteria, as defined on the cover page of this report, based on the evidence obtained during the audit of your organisation.

SAI Global audits are carried out within the requirements of SAI Global procedures that also reflect the requirements and guidance provided in the international standards relating to audit practice such as ISO/IEC 17021, ISO 19011 and other normative criteria. SAI Global Auditors are assigned to audits according to industry, standard or technical competencies appropriate to the organisation being audited. Details of such experience and competency are maintained by SAI Global Ltd including the audit team for this triennial audit activity.

### **EXECUTIVE OVERVIEW**

The audit was conducted to the requirements of the ISO9001:2008 Standard. The audit objective was to determine the capability and effectiveness of your organisation's management system in ensuring continual compliance with customer, statutory and regulatory requirements, in meeting its specified objectives, and the conformity of the management system to stated criteria.

The audit findings indicate sufficient evidence was sighted to recommend that **Certification CONTINUES** for the Agency. No 'Non-conformances' or 'Areas of Concern' were recorded. Opportunities for Improvement (OFI) were noted for management information and appropriate action.

In summary, the Agency's is lead by an astute and professional management team that embraces the principles and practice of quality management and encourages a quality culture at all levels of the organisation. Based on the evidence sighted in the system, the Agency was seen to deliver quality service as defined by the organisation's 'Charter of Commitment to Service Quality (Quality Policy)'. Evidence was also sighted where the Agency's Quality Management System (QMS) continues to mature through the application of continual improvement strategy adopted by top management and, the support and commitment displayed through the allocation of human, and infrastructure resources as well as financial investment that aided in the significant improvements of the Agency's operating structure. The audit also observed that a positive team spirit appears to permeate at all levels and across all areas of the Agency.

Personnel interviewed during the audit process displayed confidence and competence in demonstrating the process being sampled, including identifying and accessing records to verify the outcomes of workplace activities.

The audit team would like to thank all who participated in the audit activity and for the cooperation and hospitality shown to the audit team.

## **PAST PERFORMANCE INCLUDING A REVIEW OF THE RESULTS OF PREVIOUS SAI GLOBAL AUDITS**

Typical strengths noted over the past three years regarding the Agency's Quality Management System include, e.g. the system:

- Provides evidence of continual improvement activities through the recording of audit findings, and the implementation of workplace best practice initiatives;
- Provides a controlled environment for capturing, monitoring and tracking vital data against set business objectives, budget forecast and relevant key performance indicators;
- Provides an avenue that enhances a quality focus regarding service deliverables through quality improvement activities;
- Ensures significant checks and balances have been established that aims to ensure that stakeholders' requirements are being met as prescribed in contractual and/or legislative requirements;
- Attest that Management has established a risk management strategy that is integrated into all business critical activities;
- Ensures the sequence and interaction of processes between the functional areas of the Business aligns to the organisation's established criteria and methods needed to ensure the effective operation, management and control of core and support processes which, is well defined in the QMS;
- Provides evidence that the Agency's Executive Management Team implements planning activities that take into consideration the strategic direction of the organisation, encompasses strategies that focus on maintaining a workplace culture that drives the business to meet stakeholder needs and legislative requirements;
- Supports the facilitation role provided by the Quality and Risk Department in maintaining the organisation's QMS is a driving force behind management's policy for quality; and
- Ensures the on-going measures have been implemented to ensure that employees are continually up-skilled to meet the demands of the job incumbent role.

## **CONTINUING EFFECTIVENESS OF THE MANAGEMENT SYSTEM**

A review of the Agency's QMS indicated that improvements to the QMS are on-going. Evidence sighted typically includes:

- The structure of the organisation is captured via the corporate and site specific 'Organisational Chart' that outlines the reporting lines of communication between the functional areas of the Business (refer to v: JUN 10). Positions Descriptions (PD) provide the vocational role and responsibilities associated with each job incumbent's position represented on the Organisation Chart.
- Capturing 'Strategic and Operational Business Planning' initiatives supported by best practice initiatives, good governance and risk controls. At State Office level, senior management monitor and track risks via Case Management reviews. Group Leaders also provide input to identified risk identified from assessment activities;

- The structure of the QMS is embedded in the Agency's centrally controlled corporate web-based intranet system that captures business critical documentation and records accessible to all office staff via business links and support menu bar;
  - The 'Charter of Commitment to Service Quality (Quality Policy)' continues to reflect the scope of core business, focuses on key stakeholders, defines management commitment to quality, sets the framework for quality objects and supports the 'Agency's Value, Vision / Mission Statements';
  - The Quality Manual continues to provide an overview of the scope of the Agency's QMS, including details of and justification of exclusions (refer to 7.6 Monitoring and Measurement of Equipment) The audit also noted that after confirming that no customer property is handled by either the National or State Offices as part of the core business, the Quality Manual was also updated to include Clause 7.5.4 as a justifiable exclusion of the ISO9001 Standard.
  - A description of the interaction of the processes of the QMS and references established QMS Policies and Procedures is also highlighted in the Quality Manual / System;
  - All mandatory QMS Procedures have been updated to meet the requirements of the ISO9001:2008 version Standard;
  - Ensuring that valuable system linkages exists between core and support processes;
  - A system has been established that monitors and tracks the performance of approved suppliers;
  - A review of the Outsourced Contractor Service is clearly outlined in the Purchasing Procedure that clearly defines the criteria for selection and evaluation of approved / preferred suppliers;
  - Capturing Stakeholder (Customer) feedback that refer to satisfaction and complaints regarding service delivery; and
  - A comprehensive system has been developed that captures, collates, monitors, tracks and analyses core business outcomes against planned activities including identifying trends that may potentially impact on business deliverables.
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