

Quality Pathway Information Sheet 6

Records and Reporting

This Information Sheet summarises basic record and reporting practices that service providers should have in place for effective quality management.

In addition to having up to date policies and procedures and good general record keeping practices, there are specific documentation and reporting activities that service providers should have in place to:

- Support risk and compliance management
- Plan, monitor and track quality management
- Demonstrate evidence of quality systems.

QUALITY RECORDS

Service providers should consider implementing the documentation and reporting listed below.

► **Compliance records**

Compliance records identify key legal, contractual and reporting obligations relating to insurance, incorporation, taxation, service and performance agreements, and workplace health and safety. A compliance register may be used to record individual obligation details such as relevant legislation/requirement, timing of obligation, monitoring activities, responsibilities, and confirmation of obligation being met.

► **Records of organisation risk**

A record should be maintained of the organisation's major risks, their risk rating, treatments implemented, monitoring activities, review time frames, and persons responsible.

► **Document control record**

A list of the main documents that direct the service provider's business (such as policies and procedures) should be maintained and detail where the document is filed, date and identifier of the current version, review dates and how specific documents will be disposed of.

► **Complaint and Feedback Register**

Complaint Registers summarise all complaints received, how the service provider has responded, and the complaint outcome. Feedback Registers may collate unsolicited feedback received as well as list feedback activities undertaken and reference to feedback reports.

► **Audit and incident records**

A record of all internal audits and subsequent actions should be recorded, including those relating to WHS, financial records, human resources, and customer record management. An incident register records detail of all accidents, injuries or critical incidents, including what has happened, who has been affected, and the action taken by the service provider.

► **Delegations**

A record of delegations lists the key delegations and decision making authority within the organisation, particularly those relating to governance, finances, contract management, WHS, human resources, and media relations.

► **Quality improvement records**

Quality improvement records include plans, progress reports and improvement achievements, and should address the service provider's improvement activities informed by self-assessments, external audit reports, and desired quality goals. Plans provide direction about what quality standards are to be achieved and how it is going to happen. Progress against quality activities should be recorded for monitoring, reporting and celebrating success.

MONITORING AND REPORTING

Once quality records are in place, monitoring and reporting processes are required to support quality management. Monitoring is about regularly checking on the systems already in place to ensure they are working and to inform ongoing quality management. For example, keeping track of feedback and complaints through a register allows for issues to be identified, addressed, and improvements made where needed. Monitoring incidents may highlight areas where the organisation is at risk and improvement action is required.

The governing body, as the legally responsible entity, and those charged with leadership, need regular information about the service provider's performance for governance and strategic decision making. Defining the range of internal reporting requirements through a reporting schedule may assist in monitoring quality management.