

SECTION A – ADMINISTRATIVE AUDITOR CHECKLIST – Version 1.0**To be completed by AA to ensure compliance with ASAE 3500 (Revised)****Mandatory: Notes and comments contained in this Checklist to be completed to ensure a third party can read and understand matters audited and judgments made by the AA.****Instructions on completing the checklist:**

1. The Administrative Auditor (AA) is to work with the Discipline Auditor (DA) throughout to ensure accuracy of incidents recorded.
2. AA to peruse/scan **ALL** matters but **review in detail** at least four (4) matters (priority Items 18, 19, 20, 22, 27, 29). If unit has no matters in these priority Items, then auditor to exercise professional judgment to select the most serious or complex military justice matters to review in detail.
3. All mandatory requirements are **bold**, and non-compliance will result in corrective action.
4. Discretionary items are not bold; these may result in suggestions if applicable.
5. Ensure **all** cells are populated electronically (post-audit if handwritten during audit e.g. on a ship) and crosschecked with DA prior to submission. Where a question is not applicable, enter 'N/A'.

Name of Administrative Auditor	
Unit Audited:	
Personnel Strength at Unit:	
Primary Admin Point of Contact:	

Contents:

SECTION A – ADMINISTRATIVE AUDITOR CHECKLIST – Version 1.0	1
Tutorial/Guide:	3
Previous IGADF Military Justice Audit Report	4
Item 16 – To be completed Post-physical Audit – Total Unit Incident Reporting Table	5
Item 17 – DECMS Incident Reporting and Recording (<i>excluding</i> UB/sexual violence)	7
Item 18 – Fact Finding and Decision-Making (<i>excluding</i> into unacceptable behaviour and sexual violence matters)	10
Item 19 – Management of Unacceptable Behaviour (not including sexual violence)	18
Item 20 – Reporting and Management of sexual violence (<i>excluding</i> sexual offences)	28
Item 21 – Stop Sexual Harassment Directions	39
Item 22 – Management of Suicidal Episodes	43
Item 23 – Management of Defence (Inquiry) Regulations Inquiries	47
Item 24 – Management of Redress of Grievance	53
Item 25 – Public Interest Disclosure Scheme	56
Item 26 – Management of First Fitness Failures (<i>only</i>)	58
Item 27 – Administrative Sanctions - Formal Warnings (including Second and Subsequent Fitness Failures), Censures, reduction in rank, removal from post, removal from command	61
Item 28 – Suspensions under the Defence Regulation 2016, Reg 28	66
Item 29 – Management of Early End of Service (non-medical) under Defence Regulation 2016 s24(1)	69
Item 30 – Training Management System	73
Item 31 – Workplace Behaviour Advisers and Mandatory Annual Awareness Training	75
Exit Brief Notes:	78

NOTES from IN Briefs

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Tutorial/Guide:

Making comments for each section when completing the evaluation assessment in accordance with the ASAE 3500 (Revised).

Evidence: (example)

During the review period, multiple instances of non-compliance were observed:

- E.g. of 8 incidents files examined, 5 exhibited overdue action and missing documentation.
- Administrative processes frequently exceeded prescribed timeframes.
- Required procedural safeguards (such as the provision of privacy notices) were inconsistently provided to witnesses and documented.
- Focus group feedback and interviews indicated a lack of up-to-date training in administrative process among key staff and confusion about the NTSC process.

Causes (Systemic Issues): (example)

Analysis suggests these deficiencies stemmed from: (examples)

- High turnover in key administrative roles, resulting in loss of expertise and continuity.
- Inadequate induction or refresher training for new staff.
- Insufficient command oversight and ineffective internal monitoring systems.
- Failing to prioritise administration and record keeping amid competing operational tasks.

Consequences/Significance: (example)

These failings risked the procedural fairness due to ADF members, potentially leading to unjust outcomes and erosion of trust and confidence in the unit's administrative arrangements. The volume and pattern of non-compliance, combined with the systemic nature of the causes, meet the ASAE 3500 (Revised) and IGADF Audit Handbook definition of '*significant variation*':

Per Handbook: 'serious non-compliance that adversely impacts individual members' rights, and/or a systemic breakdown in military justice procedures within the unit'.

Conclusion: (example)

Given the number and severity of breaches, their root causes, and their direct impact on members' legal rights and organisational compliance, these are not trivial or isolated issues. They collectively constitute a significant variation in administrative arrangements warranting formal remedial action.

Previous IGADF Military Justice Audit Report

Previous audit	Comments
Date of previous IGADF audit & report	Audit: Report:
Total corrective actions:	
Number recommended corrective action relating to administrative action:	
Total suggestions:	
Number suggestions relating to administrative action:	
Is there evidence the Unit has maintained all implemented corrective actions if still relevant? *Please provide detail below where required.	Finalise this question when spot-check done. Ongoing non-compliance or over taken by events/policy changes?

Comments on the implementation of the previous Audit Report:

No.	Corrective actions	Action taken*	Maintained now? (Yes/No)
No.	Suggestions	Outcome of consideration	Maintained now? (Yes/No)

*All implemented at time?	
*Currently being followed/used?	
*Overtaken by policy changes / events?	

Item 16 – To be completed Post-physical Audit – Total Unit Incident Reporting Table

The purpose of this table is to align the AA/DA confirmation of total unit incidents

Instructions:

1. This Item must be completed by the AA and DA together to ensure consistency across checklists. At a minimum, the AA and DA must confer prior to the commencement of the physical Audit to ensure their respective tables are identical.
2. Briefly review and record all *incidents in pre-audit. Crosscheck with total number of incidents reported in the Unit brief to IGADF and, if a discrepancy is identified, confirm with the unit POC. This will enable the AA and the DA to then select the military justice related matters most suitable to be reviewed in detail (minimum x 4). *If a unit has a large number of matters that are not military justice related, then work with DA to ensure Table A lists only those relevant military justice matters for audit purposes.
3. It is recommended that the AA and DA complete Table A at the conclusion of the physical audit, once all incidents have been identified and responsibility for reviewing them has been determined between the AA and DA.

INCIDENT REPORTING TABLE A					
Checklist Index Number (CIN)	DECMS ID or Reference ID to incident number & Include Name	Notifiable Incident? Yes or No	AA or DA or AA/DA Matter	Brief Description of Matter	List any nexus to the AA/DA Item Checklist Number
1		Choose an item.	Choose an item.		
2		Choose an item.	Choose an item.		
3		Choose an item.	Choose an item.		
4		Choose an item.	Choose an item.		
5		Choose an item.	Choose an item.		
6		Choose an item.	Choose an item.		
7		Choose an item.	Choose an item.		
8		Choose an item.	Choose an item.		
9		Choose an item.	Choose an item.		
10		Choose an item.	Choose an item.		

INCIDENT REPORTING TABLE A					
Checklist Index Number (CIN)	DECMS ID or Reference ID to incident number & Include Name	Notifiable Incident? Yes or No	AA or DA or AA/DA Matter	Brief Description of Matter	List any nexus to the AA/DA Item Checklist Number
11		Choose an item.	Choose an item.		
12		Choose an item.	Choose an item.		
13		Choose an item.	Choose an item.		
14		Choose an item.	Choose an item.		
15		Choose an item.	Choose an item.		
16		Choose an item.	Choose an item.		
17		Choose an item.	Choose an item.		
18		Choose an item.	Choose an item.		
19		Choose an item.	Choose an item.		
20		Choose an item.	Choose an item.		
21		Choose an item.	Choose an item.		
22		Choose an item.	Choose an item.		
23		Choose an item.	Choose an item.		
24		Choose an item.	Choose an item.		
25		Choose an item.	Choose an item.		

Item 17 – DECMS Incident Reporting and Recording (*excluding* UB/sexual violence)

References:

- A. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [Military Personnel Policy Manual \(MILPERSMAN\)](#)
- C. [Army Standing Instruction \(Personnel\) Part 12 Chapter 10 - Management of Incidents within Army](#)
- D. [Army Incident Management Playbook \(Annex B to ASI\(P\), Part 12, Chapter 10\)](#)
- E. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- F. [SURFOR Directive 01/26 – Incident management and reporting](#)
- G. [ADF Incident Management Playbook](#)

Instructions:

1. **Do not include here Unacceptable Behaviour Incidents** (use Item 19) **or Sexual violence matters** (use Item 20). We have deliberately removed CARM references under Item 17 to avoid this occurring.
2. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing and provide Comments as required.**
3. Access to DECMS for pre-Audit data is mandatory for AA. DA also has this mandatory requirement.
4. Expectation AA/DA will discuss and synchronise all matters which have a crossover to ensure matters tracked easily throughout both checklists.

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
17.0	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
17.1	Was a DECMS (or Sentinel if WHS) incident raised? Any difficulties in the unit raising? <i>Note: All Defence incidents must be recorded in DECMS except for work health and safety incidents, which continue to be recorded in Sentinel.</i>	DECMS Yes ☐ No ☐ N/A ☐ Note:	DECMS Yes ☐ No ☐ N/A ☐ Note:	DECMS Yes ☐ No ☐ N/A ☐ Note:	DECMS Yes ☐ No ☐ N/A ☐ Note:
17.1.a	<i>Note: units may also comply with service-specific CCIRs (AA to comment).</i> <i>Note: for deployed/offline/offshore environments - Form AF234 Disconnected Incident (DECMS) JOC - AF257 JOC Detailed Incident Record (DIR)</i> (Ref A, para AG4.4(c)) (Navy SURFOR (disconnected) Ref F, Annex B)	Sentinel Yes ☐ No ☐ N/A ☐ Note:	Sentinel Yes ☐ No ☐ N/A ☐ Note:	Sentinel Yes ☐ No ☐ N/A ☐ Note:	Sentinel Yes ☐ No ☐ N/A ☐ Note:
17.2	Subject of incident & Rank / Surname / PMKeyS				
17.3	Was the incident recorded as soon as practicable on DECMS? (Ref A, para AG4.4(c)) (Navy SURFOR (disconnected) Ref F, Annex B)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
17.4	Was the incident recorded as a notifiable incident in accordance with Ref A? <i>Note: If a Notifiable Incident cross check with DA and refer to Table A</i> (Ref A, AG4 definitions page 16) (Army Ref D) (Air Force Ref E, para 11) (Navy SURFOR Ref F, Annex B)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
17.4.a	If not, should it have been? (per definition in Ref A) <i>E.g. An incident was originally reported in DECMS as an admin matter and the AA identifies the incident is a disciplinary/criminal matter that ought to have been reported and treated as a NI.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
17.5	Where required, was the incident referred to the appropriate internal/external investigation authority? <i>Note: Cross check with DA to confirm DA reviewing as Notifiable Incident.</i> (Ref A, paras AG4.4(b), AG4.5, AG4.6)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
17.6	If further action required, updates have been conducted in DECMS? (Ref A, para AG4.4(c) 'including the management of the incident') <i>Note: Ref B does state the requirements for: The comprehensive management of incidents, including timely reporting and formal updates and closures.</i> (Army - Ref C, para 10.12(b)) (Air Force - Ref E, para 27) (Navy SURFOR (disconnected) Ref F, Annex B)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
17.7	Was the matter closed in DECMS? (Ref A, para AG4.4(c)) (Army - Ref C, para 10.12(c)) (Air Force - Ref E, para 28) (Ref G)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

To address whether managers/commanders managed/recorded the 4 x samples appropriately? (Ref A, AG4.4)

- Significant or Minor Variation to Defence Policy /Law:
 - Evidence:

- Causes (Systemic Issues):
- Consequences/Significance:
- Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 18 – Fact Finding and Decision-Making (excluding into unacceptable behaviour and sexual violence matters)

References:

- A. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [Good Administrative Decision-Making Manual \(GADMMAN\)](#)
- C. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(SmartForms Interim Approved Processes\), Enclosure 1 – Navy Sensitive Incident Management \(SIM\) Companion](#)
- D. [Army Order 2026/27 – Annex A – G0 Army](#)
- E. [Army Standing Instruction \(Personnel\) Part 12 Chapter 10 - Management of Incidents within Army](#)
- F. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- G. [CDF Command Authorisations Instrument – Personnel Related Decision Making Functions 15 December 2025](#)
- H. [Privacy Act 1988 \(Cth\) Schedule 1 – Australian Privacy Principles](#)
- I. [ANP4908 – Navy Fact Finding and Statutory Administrative Inquiries](#)

Supplementary References:

- J. [Navy Directive 06/2023 – Notifying affected persons of administrative updates and outcomes](#)
- K. [DECMS Handbook – OpenText \(page 11\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing** and **provide Comments as required**
2. **Do not include here Unacceptable Behaviour Fact Finding Incidents** (use Item 19) **or Sexual violence matters** (use Item 20). We have deliberately removed CARM references under this Item to avoid this occurring.
3. Auditor to note that if 'Counselling' is delivered to a member following a Fact Find, there is a difference in approach between the Services with respect to forms of counselling (informal/formal) , and whether 'counselling' is an administrative sanction. For audit purposes, where 'counselling' (in whichever form) is adverse in nature to a member, as a general rule procedural fairness applies (the hearing rule is usually extremely flexible IAW Ref B). Any adverse 'counselling' should not be regarded as an administrative sanction for the purposes of Item 27, however adverse counselling records should be recorded and stored as part of the Fact Finding DECMS requirements.

Number	Question	Comments
Fact Finding and Decision-Making		
18.0	Number of recorded Fact Findings in the review period: <i>Note: Fact Finding describes a wide variety of processes that support command decision-making. Auditors are to focus on the more complex Fact Findings conducted in the review period that affect members' rights, interests and legitimate expectations.</i>	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Incident Reporting					
18.1	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
18.2	Nature of the Fact Finding: (e.g. vehicle incident, security incident, etc.)				
18.3	Rank / Surname / PMKeyS: (Respondent if applicable)				
18.4	Date of incident:	Date:	Date:	Date:	Date:
18.5	Was a DECMS Incident and/or Case raised? <i>Note: Cases (2000) can be raised to link and track Incidents (1000) comprehensively to closure (e.g. initial Incident > FF directed and case raised > admin sanction).</i> If yes, DECMS ID/s: (Ref A, para AG4.4(c))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Fact Finding					
18.6	Did the appointing authority have regard to the criteria for appointing a Fact Finding Officer IAW Ref B? (e.g. rank, liaison, research, analytical, report writing and trauma-informed practice skills) (Ref B, Ch 3, para 3.22)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
18.7	Did the FFO complete the <i>Fact Finding in Incident Management</i> course on LXP? <i>Note: Mandatory for Navy</i> (Ref I, Ch 1, para 1.10)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
18.8	Where a Fact Finding Officer was appointed, was the Fact Finding Officer provided with directions for the Fact Finding? <i>Note: A commander may decide to do a Fact Finding on their own initiative and not task someone else.</i> <i>Note: the GADMMAN states written directions must be issued for complex circumstances. For Audit purposes, only a suggestion can be made if referring to the GADMMAN.</i> (Ref B, Ch 3, para 3.25) (Army Ref D, Enclosure 2, paras 5(g) and 11) (Air Force Ref F, para 41)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
18.9	Were the scope and purpose clearly articulated in the directions?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.10	Was appropriate support offered / appointed by Command to parties involved in Fact Finding process? <i>Note: While a Command responsibility for complainants and respondents, in some cases, the fact-finder should arrange a support person for a witness, even if the witness does not ask, particularly where the witness is vulnerable or the interview could cause distress or trauma. Fact-finders should take reasonable steps to minimise stress and anxiety, including providing timely information about available support services.</i>	Offered Yes ☐ No ☐ N/A ☐ Note:	Offered Yes ☐ No ☐ N/A ☐ Note:	Offered Yes ☐ No ☐ N/A ☐ Note: :	Offered Yes ☐ No ☐ N/A ☐ Note: :
18.10.a	<i>Note: Best practice is to retain evidence of support (e.g. email correspondence).</i> (Ref B, Ch 3, para 3.52)	Appointed Yes ☐ No ☐ N/A ☐ Note:	Appointed Yes ☐ No ☐ N/A ☐ Note:	Appointed Yes ☐ No ☐ N/A ☐ Note:	Appointed Yes ☐ No ☐ N/A ☐ Note:
18.11	Were Support Officers appointed in writing? (Army - Ref D, Appendix 2, para 5(g) and 11 – SO must be appointed in writing to a complainant and respondent; consider same for witnesses.) (Air Force - Ref F, para 41 – Offer SO when personnel notified of involvement in FF as complainant or respondent; consider offering to witnesses or other affected members. Incident reports must note when Command offers SO, and outcome. Commander to appoint SO using Annex B (of Ref F))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.12	Was a Privacy Notice required to be given? <i>Note: APP5 requires that, when collecting personal information, where reasonable, individuals be notified at that time or as soon as practicable afterward—or otherwise make sure they are aware of APP5 matters.</i> <i>Note: AA to assess whether privacy notice required.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	Note: even though a Fact Finding Officer may not be appointed, the conduct of ROC may still give rise to a privacy notice required to be issued to witnesses. (Ref B, Ch 3, para 3.37; Template 3) (Ref H, APP5)				
18.12.a	If yes, was one given?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.13	Were interviewed witnesses (if any) advised of their rights and obligations? Note: while the GADMMAN is a guidance document, rights and obligations are required as a matter of law in circumstances where an adverse outcome results. Note: While procedural fairness requirements can be addressed in NTSC process, this does not excuse lack of PF in FF process. (Ref B, Ch 3, para 3.44, Template 3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.14	Did parties have a reasonable opportunity to know the case against them and answer it (the hearing rule)? Note: Each FF will be different. In some cases this may not occur during the FF as the FF Officer may not have all the facts and evidence sufficient to make any adverse findings at this point and may simply be 'interviewing' a party to the FF. PF can be given orally or in writing. See additional question at 18.20 for 'decision-maker' to ensure hearing rule is observed. Note: Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A. Note: while the GADMMAN is a guidance document, hearing rule required to be adhered to as a matter of	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>law in circumstances where an adverse outcome results.</i> (Ref B, Ch 5, paras 5.12-5.22)				
18.15	Was the Fact Finding ceased when it became apparent a disciplinary /criminal offence may have been committed? <i>Note: it is not necessary to cease entire FF; only to suspend that aspect of the FF that relates to a potential criminal/disciplinary offence.</i> <i>Note: No DFDA cautions during Fact Finding IAW CDF Minute EC23-003335 DFDA cautions during administrative action processes (5 Sep 23). 'Disciplinary cautions (also known as DFDA cautions) are only to be used during disciplinary investigations... Issuing a disciplinary caution outside a disciplinary investigation is not consistent with the lawful purpose of a caution, confusing to members, and potentially impacts the both the individuals involved and the processes being undertaken. It is not to occur during administrative processes where the rights and obligations of members are different from disciplinary investigations.'</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.16	Were all affected persons provided Fact Finding progress updates (where appropriate)? (Ref B, Ch 3, para 3.32(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
18.17	Did the Fact Finding Officer provide recommendations/summary of the facts to the decision-maker? (Ref B, Ch 6, para 6.12)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Decision-Making					
18.18	Date Fact Finding was presented to Command/decision-maker:	Date: OR Ongoing ☐ Note:	Date: OR Ongoing ☐ Note:	Date: OR Ongoing ☐ Note:	Date: OR Ongoing ☐ Note:
18.19	Were the decision-maker's directed outcomes implemented?	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
18.20	Was procedural fairness afforded prior to any adverse decision/action taking place? <i>Note 1: This may have occurred by the FF Officer during the FF (see question 18.14); or a failure to observe the hearing rule during fact finding can be corrected by the decision-maker observing the hearing rule before making the decision. If a procedural fairness error is not detected until after a decision has been made, it can be corrected by setting aside the decision, observing procedural fairness, and re-making the decision.</i> <i>Note 2: Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A.</i> (Ref B, Ch 5, paras 5.18 & 5.43)	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:
18.21	Was there bias in making the decision? <i>Note: If evidence of bias, there may be a ROG against decision for AA to check.</i> (Ref B, Ch 2, para 2.19 and Ch 5, para 5.4)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
18.22	Is there documentary evidence of the decision-making process in DECMS? Mandatory for Army (Ref D, para 39) <i>Note: While Objective remains approved records management system (IAW DRMP), the intent of the DI AG4 is that all incident-related information and documentation is captured in DECMS.</i> <i>Note: Case IDs start with 2000; Fact Finding Lead IDs start with 6000.</i> (Ref A, para AG4.4(c)) (Ref B, Ch 8, para 8.10)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
18.23	Was the decision communicated to all involved parties appropriately? <i>Note: preferably in writing or, if verbal, followed by written record.</i>	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	Note: If counselling was conducted, see Instruction 3 of this Item. (Ref B, Ch 8, para 8.1)				
18.24	Were individuals who were adversely affected by the decision advised of their right to seek a review? (Ref B, Ch 9, paras 9.10 & 9.13)	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:
Timeliness					
18.25	Did Fact Finding Officer complete within the timeframe directed?	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
18.25.a	Was an extension requested/granted?	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
18.26	Was a decision made in a timely manner? (Ref B, Ch 1, para 1.9)	Yes ☐ No ☐ Date: Ongoing ☐ Note:	Yes ☐ No ☐ Date: Ongoing ☐ Note:	Yes ☐ No ☐ Date: Ongoing ☐ Note:	Yes ☐ No ☐ Date: Ongoing ☐ Note:
18.27	Was the DECMS Incident closed and linked to the related DECMS incident Case? (Ref A, AG4.4)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 19 – Management of Unacceptable Behaviour (not including sexual violence)**References:**

- A. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [Complaints and Alternative Resolutions Manual](#)
- C. [Military Personnel Manual \(MILPERSMAN\)](#)
- D. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(SmartForms Interim Approved Processes\), Enclosure 1 – Navy Sensitive Incident Management \(SIM\) Companion](#)
- E. [Army Order 2026/27 – Annex A – G0 Army](#)
- F. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- G. [Good Administrative Decision-Making Manual \(GADMMAN\)](#)
- H. [DEFGAM 022/2026 – Complaint, Resolution and Support Services – now live](#)
- I. [Unacceptable Behaviour – Complaints Resolution and Support Services unit – Frequently Asked Questions](#)
- J. [Privacy Act 1988 \(Cth\) Schedule 1 – Australian Privacy Principles](#)
- K. [SURFOR Directive 01/26 – Incident management and reporting](#)
- L. [ANP4908 – Navy Fact Finding and Statutory Administrative Inquiries](#)

Supplementary References:

- M. [Navy Directive 06/2023 – Notifying affected persons of administrative updates and outcomes](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required.
2. **Unacceptable behaviour (as defined in DI PPL7)** is unreasonable conduct at work or in any situation that may be connected to Defence that is offensive, belittling, abusive or threatening to another person, or adverse to morale, discipline or workplace cohesion. This includes unlawful discrimination and harassment.
3. This section is only for UB matters (UB no longer includes the category of sexual violence under the CARM). Do not review sexual violence matters under this Item. Sexual violence is managed under the CARM Chapter 9 and is to be reviewed at Item 20 (excluding sexual offences, which are dealt with by the DA at Item 11).
4. Auditor to note that if 'Counselling' is delivered to a member following UB complaint management action (Fact Finding or otherwise), there is a difference in approach between the Services with respect to forms of counselling (informal/formal) , and whether 'counselling' is an administrative sanction. For audit purposes, where 'counselling' (in whichever form) is adverse in nature to a member, as a general rule procedural fairness applies (the hearing rule is usually extremely flexible IAW Ref G). Any adverse 'counselling' should not be regarded as an administrative sanction for the purposes of Item 27, however adverse counselling records should be recorded and stored as part of the CARM DECMS requirements.

Number	Question	Comments
Unacceptable Behaviour Incidents in Review Period:		
19.0	Number of unacceptable behaviour incidents received / managed by unit:	
19.1	Referred from Complaint, Resolution and Support Services unit (CRSS): (Refs H & I)	
19.2	Received by CRSS and managed EXTERNAL to unit (respondent may be in unit CoC):	

	Note: unit may not be aware of complaints made directly to CRSS—approach with sensitivity. (Refs H & I)	
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Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Unacceptable Behaviour Incident Reporting by Unit:					
19.3	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
19.4	Was incident referred to unit from CRSS? (Refs H & I)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
19.5	Date of alleged incident: Date unit became aware:	Date: Date:	Date: Date:	Date: Date:	Date: Date:
19.6	Rank / Surname / PMKeyS of Respondent/s: Complainant/s:				
19.7	Was the alleged unacceptable behaviour incident recorded in DECMS correctly? Note: All Defence incidents must be recorded in DECMS except for work health and safety incidents, which continue to be recorded in Sentinel (i.e. if not in DECMS unit may have recorded in Sentinel as psychosocial matter). Note: CCIRs are a separate reporting requirement. All CCIRs still require a DECMS entry. (Ref A, AG4.4(c)) (Ref B, Ch 3, Part 4, para 3.4.0.5) (Ref C, Part 9, Ch 8, paras 8.7-8.9) (Navy SURFOR (disconnected) Ref K, Annex B)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.8	Was the incident required to be recorded as a notifiable incident? Note: if not recorded as NI AA to note. E.g. An incident was originally recorded in DECMS as an admin matter and the AA identifies the incident is a disciplinary/criminal matter that ought	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>to have been recorded and reported as a NI.</i> <i>Note: If a Notifiable Incident cross check with DA.</i>				
19.9	Nature of alleged unacceptable behaviour: (e.g., harassment, workplace bullying, discrimination, abuse of power, inappropriate relationships, violent behaviour, other) <i>Note: violent behaviour can include harm to others, which should be addressed in this section and not in Item 22.</i>				
19.10	Did the unit identify the complaint as a specific type of unacceptable behaviour and, if so, did they identify the most appropriate type? (Ref B, Ch 3, 3.0.0.8 and Annex 3A)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.11	Was the matter closed on DECMS?	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
19.11.a	If yes, was the incident closed in DECMS within 7 days of the action relating to the incident being finalised Date matter finalised: Date DECMS incident closed: (Ref B, Ch 3, paras 3.3.0.5(10)(f) & 3.4.0.5(6-12), and Annex 3C)	Yes ☐ No ☐ Ongoing ☐ Note: Date: Date:	Yes ☐ No ☐ Ongoing ☐ Note: Date: Date:	Yes ☐ No ☐ Ongoing ☐ Note: Date: Date:	Yes ☐ No ☐ Ongoing ☐ Note: Date: Date:
Unacceptable Behaviour Incident Management by Unit:					
19.12	Was support offered to complainant and respondent during the unacceptable behaviour complaint process? (ADF - Ref B, 3.1.0.7 para 3(e), 3.3.0.3 para 5, 3.3.0.5 para 3 and Annex 3C) (Navy - Ref D, Encl. 1, Flowchart (3-12) relevant to incident. 'Appoint a Support Officer'.) (Army - Ref E, Appendix 2, paras 5(g) and 11 – SO must be appointed in writing to a complainant and respondent.)	RESPONDENT Yes ☐ No ☐ N/A ☐ Note:	RESPONDENT Yes ☐ No ☐ N/A ☐ Note:	RESPONDENT Yes ☐ No ☐ N/A ☐ Note:	RESPONDENT Yes ☐ No ☐ N/A ☐ Note:
19.12.a		COMPLAINANT Yes ☐ No ☐ N/A ☐	COMPLAINANT Yes ☐ No ☐ N/A ☐	COMPLAINANT Yes ☐ No ☐ N/A ☐	COMPLAINANT Yes ☐ No ☐ N/A ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Air Force - Ref F, paragraph 41 – An SO is to be offered to complainants/respondents, may be offered to witnesses/impacted members; Annex B – appointments in writing.)	Note:	Note:	Note:	Note:
19.13	If Support Officers appointed, was the appointment in writing? <i>Note: Army and Air Force are required to appoint a Support Officer in writing when accepted.</i> (Army - Ref E, Appendix 2, paras 5(g) and 11) (Air Force - Ref F, para 41)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Fact Finding Into Unacceptable Behaviour Incidents					
19.14	Was a Fact Finding conducted? <i>Note: not all unacceptable behaviour incidents necessarily require a Fact Finding. (Ref B, Annex 3B - flowchart)</i> <i>Note: units may choose not to conduct a 'Fact Finding' but still conduct an interview/ROC (which is a form of FF). It is important for the AA to ensure the same rights and obligations, including PF, apply during the administrative process adopted.</i> DECMS Fact Finding ID:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.15	Did the appointing authority have regard to the criteria for appointing a Fact Finding Officer? (e.g. rank, liaison, research, analytical, report writing and trauma-informed practice skills) (Ref G, Ch 3, para 3.22)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.16	Did the FFO complete the <i>Fact Finding in Incident Management</i> course on LXP? <i>Note: Mandatory for Navy (Ref L, Ch 1, para 1.10)</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
19.17	Was a Privacy Notice required to be given? <i>Note: APP5 requires that, when collecting personal information, where reasonable, individuals be notified at that time or as soon as practicable afterward—or otherwise make sure they are aware of APP5 matters.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	Note: AA to assess whether privacy notice required. Note: even though a Fact Finding Officer may not be appointed, the conduct of ROC may still give rise to a privacy notice being issued to witnesses. (Ref G, Ch 3, para 3.37; Template 3; Ref J, APP5)				
19.17.a	If yes, was one given?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.18	Were interviewed witnesses (if any) advised of their rights and obligations? Note: while the GADMMAN is a guidance document, rights and obligations are required as a matter of law in circumstances where an adverse outcome results. Note: While procedural fairness requirements can be addressed in NTSC process, this does not excuse lack of PF in FF process. (Ref G, Ch 3 paras 3.37 & 3.44)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.19	Did parties have a reasonable opportunity to know the case against them and answer it (the hearing rule)? Note: Each FF will be different. In some cases this may not occur during the FF as the FF Officer may not have all the facts and evidence sufficient to make any adverse findings at this point and may simply be 'interviewing' a party to the FF. PF can be given orally or in writing. See additional question at 19.24 for 'decision-maker' to ensure hearing rule is observed. Note: Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A.	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>Note: while the GADMMAN is a guidance document, hearing rule required to be adhered to as a matter of law in circumstances where an adverse outcome results.</i> (Ref B, 3.3.0.5, para 7 & 3.3.0.10, para 1) (Ref G, Ch 5, paras 5.12-23 & 5.30-32)				
19.20	If incident may be an offence, did unit contact JMPU? <i>Note: When the incident involves family and domestic violence, or there is uncertainty as to whether the incident may be an offence, contact the Joint Military Police Unit (JMPU) before conducting fact-finding.</i> (Ref B, Ch 3, para 3.3.0.7 (2(a) Note 2)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.21	Were all parties kept up to date with the complaint management process? <i>Note: When responding to a complaint of unacceptable behaviour, the commander, manager, supervisor or appointed complaint manager is to keep the parties informed of actions to be taken in response to the complaint and ensure parties are kept up to date throughout the complaint management process.</i> (Ref B, Ch 3, para 3.3.0.5(7))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.21.a	Were these updates recorded in writing (e.g. in an OC097 or via emails)? <i>Note: if no records, make suggestion to record in writing.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Decision-Making and Outcome					
19.22	Is there documented evidence of the decision making process? <i>Note: This could be DM commenting 'Agree with FFO' where findings and recommendations made. Otherwise DM needs to record their findings/directions.</i> (Ref A, AG4.4(c)) (Ref G, Ch 8, para 8.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
19.23	What was the outcome of the complaint? (substantiated/unsubstantiated) <i>Note: If outcomes recommended DFDA action, consult with DA to confirm action taken.</i>	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:
19.24	How was complaint resolved? (e.g. lowest level, administrative action against respondent?)				
19.25	Was procedural fairness afforded prior to any adverse decision/action taking place? <i>Note: This may have occurred by the FF Officer during the FF (see question 19.18); or a failure to observe the hearing rule during Fact Finding can be corrected by the decision-maker observing the hearing rule before making the decision. If a procedural fairness error is not detected until after a decision has been made, it can be corrected by setting aside the decision, observing procedural fairness, and re-making the decision.</i> <i>Note: If the commander, manager, supervisor or appointed complaint manager proposes to make an adverse decision about a Defence member, they must ensure that the Defence member is afforded procedural fairness in relation to that adverse decision.</i> <i>Note: Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A.</i> (Ref B, Ch 3, paras 3.3.0.5(8) & 3.3.0.10(1)(c)) (Ref G, Ch 5, paras 5.18 & 5.43)	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:
19.26	Were all outcomes/action (adverse or not) directed by command followed through and documented appropriately?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	Note: If counselling was conducted, see Instruction 4 of this Item. (Ref A, AG4.4(c)) (Ref G, Ch 8, para 8.10)				
19.27	Was meaningful notification of outcomes provided to all parties involved? (Ref B, Ch 4, paras 4.0.0.1(1) & 4.1.0.3(1) and Annex 4A)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.28	Was there any other follow on administrative process? e.g. Administrative Sanction / ROG Note: If any follow on action, ensure it is covered in the relevant Items i.e. Item 24, 27, 29.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.29	Were the respondent and complainant from different units?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.30	Was the authority appropriate to manage the complaint (e.g. the respondent's Commanding Officer)? (Ref B, Ch 3, para 3.3.0.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.31	Did the responsibility for managing the unacceptable behaviour incident change? (e.g. was the member posted, was there a change of Command?) (Ref B, Ch 3, para 3.3.0.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.32	Did the unit correctly handover responsibility? (Ref B, Ch 3, para 3.3.0.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Timeliness					
19.33	Was the response to an incident of unacceptable behaviour finalised as soon as possible? Note: In most circumstances, a response to an incident of unacceptable behaviour is to be finalised as soon as possible	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>ideally within two to three weeks of the commander, manager, supervisor or complaint manager becoming aware of the incident. Incidents of unacceptable behaviour that are complex or involve formal inquiries or multiple parties may take longer to resolve. Best practice suggests that complex incidents of unacceptable behaviour are to be finalised within three months.</i> (Ref B, Ch 3, para 3.3.0.5(5))				
19.34	If the incident of unacceptable behaviour was complex, was it finalised within three months? (Ref B, Ch 3, para 3.3.0.5(6))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
19.35	If over 3 months to finalise, did unit report this on DECMS? <i>Note: If finalising a response to an incident of unacceptable behaviour is likely to take more than three months, the responsible commander, manager, supervisor or complaint manager must report through DECMS:</i> <i>a. How long it is likely to take to finalise the response; and</i> <i>b. The reason for not being able to finalise the incident of unacceptable behaviour earlier.</i> (Ref B, Ch 3, para 3.3.0.5(6))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 20 –Reporting and Management of Sexual Violence (excluding sexual offences)

References:

- A. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [Complaints and Alternative Resolutions Manual](#)
- C. [Military Personnel Manual \(MILPERSMAN\)](#)
- D. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(SmartForms Interim Approved Processes\), Enclosure 1 – Navy Sensitive Incident Management \(SIM\) Companion](#)
- E. [Army Order 2026/27 – Annex A – G0 Army](#)
- F. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- G. [Good Administrative Decision-Making Manual \(GADMMAN\)](#)
- H. [DEFGRAM 022/2026 – Complaint, Resolution and Support Services – now live](#)
- I. [Unacceptable Behaviour – Complaints Resolution and Support Services unit – Frequently Asked Questions](#)
- J. [Privacy Act 1988 \(Cth\) Schedule 1 – Australian Privacy Principles](#)
- K. [Defence Regulation 2016](#)
- L. [SURFOR Directive 01/26 – Incident management and reporting](#)
- M. [ANP4908 – Navy Fact Finding and Statutory Administrative Inquiries](#)

Supplementary References:

- N. [Public Interest Disclosure Act 2013 \(Cth\)](#)
- O. [Navy Directive 06/2023 – Notifying affected persons of administrative updates and outcomes](#)
- P. [CDF Order of the Day – Response to Sexual Violence Facilitated Discussions \(13 November 2025\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing and provide Comments as required.**
2. The CARM Chapter 9 defines the term ‘sexual violence’ as sexual activity that happens where consent is not freely given or obtained, is withdrawn or the person is unable to consent due to their age or other factors. It occurs any time a person is forced, coerced or manipulated into any sexual activity. Such activity can be sexualised touching, sexual abuse, sexual assault, rape, sexual harassment and intimidation and forced or coerced watching or engaging in pornography. Sexual violence can be non-physical and include unwanted sexualised comments, intrusive sexualised questions or harassment of a sexual nature. Forms of modern slavery, such as forced marriage, servitude or trafficking in persons may involve sexual violence.
3. Although the definition of sexual violence includes sexual offences, for the purposes of Item 20, the AA is only to review those sexual violence matters that do not amount to sexual offences. Sexual offences are a particular category of sexual violence and are subject to criminal penalties IAW the applicable legislation in the relevant jurisdiction. The DA will be responsible for reviewing sexual offences that are dealt with under the DFDA/civil criminal system at Item 11.
4. Where a sexual offence is not dealt with under the DFDA/civpol (e.g. JMPU refers back to unit), the unit may decide to commence administrative action. The AA is to review unit administrative actions with particular regard to rights and obligations of parties, including procedural fairness in the event of an adverse finding.
5. Auditor to note that if ‘Counselling’ is delivered to a member following Sexual Violence complaint management action (Fact Finding or otherwise), there is a difference in approach between the Services with respect to forms of counselling (informal/formal) , and whether ‘counselling’ is an administrative sanction. For audit purposes, where ‘counselling’ (in whichever form) is adverse in nature to a member, as a general rule procedural fairness applies (the hearing rule is usually extremely flexible IAW Ref G). Any adverse ‘counselling’ should not be regarded as an administrative sanction for the purposes of Item 27, however adverse counselling records should be recorded and stored as part of the CARM DECMS requirements.

Number	Question	Comments
Sexual Violence Incidents in Review Period:		
20.0	Number of sexual violence incidents received / managed by unit:	
20.1	Referred from Complaint, Resolution and Support Services unit (CRSS): (Refs H & I)	
20.2	Received by CRSS and managed EXTERNAL to unit (respondent may be in unit CoC): <i>Note: unit may not be aware of complaints made directly to CRSS—approach with sensitivity.</i> (Refs H & I)	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sexual Violence Incident Reporting by Unit:					
20.3	Checklist Index Number per Item 16: Reporting Incident Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
20.4	Was incident referred to unit from CRSS? (Refs H & I)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
20.5	Date of alleged incident:				
20.5.a	Date unit became aware:				
20.6	Rank / Surname / PMKeyS of Respondent/s: Complainant/s:				
20.7	Was the alleged sexual violence incident recorded in DECMS within 24hrs of commencement of duty? <i>Note: All Defence incidents must be recorded in DECMS except for work health and safety incidents, which continue to be recorded in Sentinel (i.e. if not in DECMS unit may have recorded in Sentinel as psychosocial matter).</i> <i>Note: CCIRs are a separate reporting requirement. All CCIRs still require a DECMS entry.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, AG4.4(c)) (Ref B, Ch 9, para 9.3.0.5) (Ref C, Part 9, Ch 8, paras 8.7-8.9) (Navy SURFOR (disconnected) Ref L, Annex B)				
20.8	Was the incident required to be recorded as a notifiable incident? <i>Note: E.g. An incident was originally reported and recorded in DECMS as a discipline/criminal matter and the incident was referred back to the unit. (as per Instruction 3 in this Item)</i> <i>Note: When the incident involves family and domestic violence, or there is uncertainty as to whether the incident may be an offence, contact JMPU before conducting Fact Finding.</i> (Ref A, AG4 NI definition) (Ref B, Ch 9, para 9.3.0.3)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
20.9	Nature of alleged sexual violence (e.g. harassment, discrimination) <i>Note: This may include incidents previously recorded as an offence but referred back to unit to deal with administratively. Therefore, the incident is no longer a sexual 'offence' for the purposes of Item 20.</i>				
20.11	Was the matter closed on DECMS?	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
20.11.a	If yes, was the incident closed in DECMS within 7 days of the action relating to the incident being finalised (Ref B, Ch 3, Part 3, paras 3.3.0.5(10)(f) & 3.4.0.5(6-12))	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
20.11.b	Date matter finalised:				
20.11.c	Date DECMS incident closed:				
Sexual Violence Incident Management by Unit:					
20.12	Was support offered to complainant and respondent during the sexual violence complaint process?	RESPONDENT Yes ☐ No ☐ N/A ☐	RESPONDENT Yes ☐ No ☐ N/A ☐	RESPONDENT Yes ☐ No ☐ N/A ☐	RESPONDENT Yes ☐ No ☐ N/A ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
		Note:	Note:	Note:	Note:
20.12.a	(Ref B, Ch 9, para 9.2.0.6 (complainant), 9.2.0.7 (respondent), Ref B, Ch 9, Pt 4) (Navy - Ref D, Encl. 1, Flowchart (3-12) relevant to incident. 'Appoint a Support Officer'.) (Army - Ref E, Appendix 2, paras 5(g) and 11 – An SO must be appointed in writing to a complainant and respondent.) (Air Force - Ref F, paragraph 41 – An SO is to be offered to complainants/respondents, may be offered to witnesses/impacted members; appointments in writing using Annex B of Ref F)	COMPLAINANT Yes ☐ No ☐ N/A ☐ Note:	COMPLAINANT Yes ☐ No ☐ N/A ☐ Note:	COMPLAINANT Yes ☐ No ☐ N/A ☐ Note:	COMPLAINANT Yes ☐ No ☐ N/A ☐ Note:
20.13	If Support Officers appointed, was the appointment in writing? <i>Note: Army and Air Force are required to appoint a Support Officer in writing when accepted.</i> (Army - Ref E, Appendix 2, paras 5(g) and 11) (Air Force - Ref F, para 41)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.14	Was an interim Stop Sexual Harassment Direction (SSHD) made prior to or during? <i>Note: If yes, cross check with any Stop Sexual Harassment Directions in Item 21 and refer to the Table A incident reference which resulted in the Stop Sexual Harassment Direction</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
20.15	If a SSHD was made, did the unit report the outcome of the sexual violence incident management process to the Authorised Application Officer? (Ref B, Ch 10, paras 10.0.0.4, 10.0.0.7(3))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Fact Finding Into Sexual Violence Incidents					
20.16	Was a Fact Finding or other administrative process conducted? <i>Note: units may choose not to conduct a 'fact find' but still conduct an interview/ROC (which is a form of FF). It is important for the AA to ensure the same rights and obligations, including PF, apply during the administrative process adopted.</i> DECMS Fact Finding Lead ID:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
20.17	Did the appointing authority have regard to the criteria for appointing a Fact Finding Officer? (e.g. rank, liaison, research, analytical, report writing and trauma-informed practice skills) (Ref G, Ch 3, para 3.22)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.18	Did the FFO complete the <i>Fact Finding in Incident Management</i> course on LXP? Note: <i>Mandatory for Navy</i> (Ref M, Ch 1, para 1.10)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
20.19	Was a Privacy Notice required to be given? Note: <i>APP5 requires that, when collecting personal information, where reasonable, individuals be notified at that time or as soon as practicable afterward—or otherwise make sure they are aware of APP5 matters.</i> Note: <i>AA to assess whether privacy notice required.</i> Note: <i>even though a Fact Finding Officer may not be appointed, the conduct of ROC may still give rise to a privacy notice being issued to witnesses.</i> (Ref G, Ch 3, para 3.37; Template 3) (Ref J, APP5)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
20.19.a	If yes, was one given?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.20	Were interviewed witnesses (if any) advised of their rights and obligations? Note: <i>while the GADMMAN is a guidance document, rights and obligations are required as a matter of law in circumstances where an adverse outcome results.</i> Note: <i>While procedural fairness requirements can be addressed in NTSC process, this does not excuse lack of PF in FF process.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref G, Ch 3, para 3.44, Template 3)				
20.21	Did parties have a reasonable opportunity to know the case against them and answer it (the hearing rule)? <i>Note: Each FF will be different. In some cases this may not occur during the FF as the FF Officer may not have all the facts and evidence sufficient to make any adverse findings at this point and may simply be 'interviewing' a party to the FF. PF can be given orally or in writing. See additional question at 20.26 for 'decision-maker' to ensure hearing rule is observed.</i> <i>Note: Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A.</i> <i>Note: while the GADMMAN is a guidance document, hearing rule required to be adhered to as a matter of law in circumstances where an adverse outcome results.</i> (Ref B, Ch 3 3.3.0.5, para 7 & 3.3.0.10(1)) (Ref B, Ch 9, para 9.3.0.9(5) PF requirement) (Ref G, Ch 5, paras 5.12-23 & 5.30-32)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
20.22	Was Fact Finding ceased when it became apparent a disciplinary /criminal offence may have been committed? <i>Note: it is not necessary to cease entire FF; only to suspend that aspect of the FF that relates to a potential criminal/disciplinary offence.</i> <i>Note: No DFDA cautions during Fact Finding IAW CDF Minute EC23-003335 DFDA cautions during administrative action processes (5 Sep 23). 'Disciplinary cautions (also known as DFDA cautions) are only to be used during</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>disciplinary investigations... Issuing a disciplinary caution outside a disciplinary investigation is not consistent with the lawful purpose of a caution, confusing to members, and potentially impacts the both the individuals involved and the processes being undertaken. It is not to occur during administrative processes where the rights and obligations of members are different from disciplinary investigations.'</i>				
20.23	Were all parties kept up to date with the complaint management process? <i>Note: Commanders and managers responding to sexual violence complaints are to inform all parties involved about the response to the complaint and keep the parties informed on progress. All parties need to be informed if a complaint is going to take longer than three months to finalise and be provided with the reasons for the extended timeframe.</i> (Ref B, Ch 9, para 9.3.0.9(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.23.a	Were these updates recorded in writing (e.g. in an OC097 or via emails)? <i>Note: if no records, make suggestion to record in writing.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Decision-Making and Outcome					
20.24	Is there documented evidence of the decision making process in DECMS? <i>Note: This could be DM commenting 'Agree with FFO' where findings and recommendations made. Otherwise DM needs to record their findings/directions.</i> (Ref A, AG4.4(c)) (Ref B, Ch 9, para 9.2.0.4(7)) (Ref G, Ch 8, para 8.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.25	What was the outcome of the complaint? (substantiated/unsubstantiated) <i>Note: If outcomes recommended DFDA action, consult with DA to confirm action taken.</i>	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:	Sub ☐ Unsub ☐ DFDA ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
20.26	If substantiated, did the unit refer the matter to MPD for NPS-I consideration? <i>Note: Unit level CO is <u>not</u> the Delegate for issuing the NPS-I & imposing Early End of Service.</i> <i>Note: Where it is identified that a member has engaged in any form of sexual violence, the matter must be referred to Military Personnel Division (MPD) for consideration. This could be a result of an internal ADF fact finding or inquiry, discipline process or civilian criminal conviction.</i> <i>Note: In any matter where a decision was made on or after 13 Dec 25, involuntary separation action must be initiated. Where information on the complaint management process before that date is unclear or insufficient, advice should be sought from MPD to determine the appropriate course of action.</i> <i>Note: if decision subject to ROG, include as sample at Item 24.</i> (Ref K, Reg 24A; 24(1)(d) Ref C, Pt 10, Ch 2, Annex 2A)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.27	Was procedural fairness afforded prior to any adverse decision/action taking place? <i>Note: s 24A(5)(b)(i) Defence Regulation 2016 states the Chief of the Defence Force is satisfied that a person or body (other than an Australian court or an Australian tribunal), following the conclusion of a process that accorded procedural fairness to the member, has made a finding that the member engaged in certain conduct.</i> <i>Note: This may have occurred by the FF Officer during the FF (see question 20.20); or a failure to observe the hearing rule during Fact Finding can be corrected by the decision-maker</i>	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:	Yes ☐ No ☐ Ongoing ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>observing the hearing rule before making the decision. If a procedural fairness error is not detected until after a decision has been made, it can be corrected by setting aside the decision, observing procedural fairness, and re-making the decision.</i> Note: <i>If the commander, manager, supervisor or appointed complaint manager proposes to make an adverse decision about a Defence member, they must ensure that the Defence member is afforded procedural fairness in relation to that adverse decision.</i> Note: <i>Cross check with any administrative sanctions in Item 27 if relevant and refer to incident number in Table A.</i> (Ref B, 3.3.0.5(8); 3.3.0.10(1)(c)) (Ref B, Ch 9, para 9.3.0.9(5)) (Ref G, Ch 5, paras 5.18 & 5.43)				
20.28	Were all outcomes/action (adverse or not) directed by command followed through and documented appropriately? Note: <i>If counselling was conducted, see Instruction 5 of this Item.</i> (Ref A, AG4.4(c); Ref G Ch 8, para 8.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.29	Was meaningful notification of outcomes provided to all parties involved? (Ref B, Ch 4, 4.0.0.1(1) & 4.1.0.3(1) and Annex 4A)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.30	Was there any other follow on administrative action? e.g. Administrative Sanction / ROG Note: <i>If any follow on action, ensure it is covered in the relevant Items i.e. Item 24, 27.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
20.31	Were the respondent and complainant from different units?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.32	Was the authority appropriate to manage the complaint (e.g. the respondent's Commanding Officer)? (Ref B, Ch 9, para 9.3.0.8(1))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.33	Did the responsibility for managing the sexual violence incident change? (e.g. was the respondent posted, was there a change of Command?) (Ref B, Ch 3, para 3.3.0.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
20.34	Did the unit correctly handover responsibility? (Ref B, Ch 3, para 3.3.0.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Timeliness					
20.35	If over 3 months to finalise, were all parties informed that the complaint would take longer than 3 months to finalise and provided with the reasons for the extended timeframe? (Ref B, Ch 9, para 9.3.0.9(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 21 – Stop Sexual Harassment Directions

References:

- A. [Defence Regulation 2016, Part 6A – Stop Sexual Harassment Directions \(37A – 37H\)](#)
 B. [Complaints and Alternative Resolutions Manual \(CARM\)](#)

Supplementary References:

- C. [CDF Order of the Day – Response to Sexual Violence Facilitated Discussions \(13 November 2025\)](#)

Instructions:

- Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing** and **provide Comments as required**
- When auditing a Headquarters (including Service Headquarters) only audit those that have authorisation to impose Stop Sexual Harassment Directions (per appointments in Ref B, Chapter 10, paragraph 10.0.0.4)

Number	Question	Comments
Stop Sexual Harassment Directions		
21.0	How many Stop Sexual Harassment Direction applications in review period?	
21.1	Is the unit executive aware of the Stop Sexual Harassment Directions? <i>(If not, educate)</i> (Ref A)	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Stop Sexual Harassment Directions					
21.2	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
21.3	Date of Incident: Date reported to unit:	Date: Date:	Date: Date:	Date: Date:	Date: Date:
21.4	Rank / Surname / PMKeyS of Respondent:				
21.5	Date Stop Sexual Harassment Direction application made to the Authorised Application Officer:	Date:	Date:	Date:	Date:
21.6	Did the Authorised Application Officer begin dealing with Stop Sexual Harassment Direction application within 14 Days? (Ref B, Ch 10, para 10.0.0.5(3))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
21.7	Had the matter been previously reported as sexual violence? <i>Note: If yes, link to relevant Item 20.</i> (Ref B, Ch 10, para 10.0.0.5 (5))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.8	Was the Stop Sexual Harassment Direction recorded in DECMS?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.9	Was an interim Stop Sexual Harassment Direction application made? (Ref B, Ch 10, para 10.0.0.6)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.10	If the Stop Sexual Harassment Direction application indicates a potential sexual violence, did the Authorised Application Officer refer the matter to JMPU and/or SeMPRO? If yes, which agency? <i>Note: Ensure link to Item 20 if applicable. Check with DA if this incident was audited on DA checklist.</i> (Ref B, Ch 10, para 10.0.0.5(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.11	If applicable, date Authorised Application Officer referred the matter for unit action: (Fact Finding, etc.)	Date: OR N/A ☐	Date: OR N/A ☐	Date: OR N/A ☐	Date: OR N/A ☐
21.12	Did the Authorised Application Officer follow up with relevant participants? (Ref B, Ch 10, para 10.0.0.7(3))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.13	Did the Authorised Application Officer issue a final decision within 60 days of receiving the application? (Ref B, Ch 10, paras 10.0.0.5(6) & 10.0.0.7(4))	Yes ☒ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
21.14	Was a written copy of the Stop Sexual Harassment Direction provided to each respondent or applicable person? (Ref B, Ch 10, para 10.0.0.7(5))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.15	Did the Authorised Application Officer provide written notice of the decision to responsible person dealing with the allegations (Commanding Officer, JMPU, etc.) <i>Note: The AAO may also give written notice of the decision to any other person who is responsible for dealing with the allegation of sexual harassment made in the application.</i> (Ref B, Ch 10, para 10.0.0.7(5))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.16	Did the Applicant request an Internal Review of Authorised Application Officer decision (within 21 days of decision, or 60 days if no decision made)? (Ref B, Ch 10, paras 10.0.0.8(1–2))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.17	Did the Applicant request an External Review of the Authorised Application Officers decision to the Fair Work Commission? (Ref B, Ch 10, para 10.0.0.8(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
21.18	Did the Respondent request an External Review of Authorised Application Officer decision through Redress of Grievance or APS Review of Actions? <i>Note: If yes, specify which and if Redress of Grievance, link to Item 24.</i> (Ref B, Ch 10, para 10.0.0.8(5))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 22 – Management of Suicidal Episodes

References:

- A. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [Military Personnel Manual \(MILPERSMAN\)](#)
- C. [Defence Health Manual - Level 3, Part 10, Chapter 2 - Procedures for Assessing and Managing Members at Risk of Suicide, Self-Harm or Harm to Others](#)

Supplementary References:

- D. [Defence Health Manual - Level 2, Part 10 Chapter 2 - Assessing and managing members at risk of suicide, self-harm or harm to others](#)
- E. [Defence Instruction PPL12 – Defence Support to Coronial Inquiries](#)

Instruction:

1. AA to adopt **trauma informed** approach when engaging with the unit regarding these incidents. AA to ensure they have reviewed DSIR pre-audit data **prior to** physical audit.
2. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing and provide Comments as required.**

Number	Question	Comments
Suicidal Episodes		
22.0	Number of suicidal episodes at unit in review period? <i>Note: Include ideation, self-harm, attempt and fatal incidents identified through pre-audit data / unit records.</i>	Ideation: Self-harm: Attempt: Fatality:
22.1	Is the unit aware of requirements around at risk behaviours perceived as a joke? <i>Note: if not, auditor to educate.</i> <i>Note: if a commander or manager considers a joking comment or behaviour is an indication that a member may be at risk, they must refer the member to a health practitioner for assessment and ensure the member is treated with dignity and compassion throughout the process.</i> <i>Note: if a commander or manager considers a comment or behaviour to be inappropriate, rather than an indication of risk, they are to counsel the member with a focus on how such comments or behaviours can unintentionally contribute to stigma and discourage help-seeking among those genuinely at risk.</i> (Ref B, Part 3, Ch 9, paras 9.29–9.31)	Yes ☐ No ☐ Note:

22.2	Was there any death at the unit in the review period that should reasonably have triggered command consideration of broader welfare support and/or Critical Incident Mental Health Support (CIMHS)? (Ref B, Part 3, Ch 8, paras 8.12–8.17) (Ref B, Part 3, Ch 9, paras 9.11–9.12)	Yes ☐ No ☐ Note:
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Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Suicidal Episodes – Reporting and Recording					
22.3	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
22.4	Type of suicidal episode: (ideation, self-harm, attempt, fatal)? <i>Note: If fatal, confirm relevant inquiry / DSIR / casualty reporting pathway in pre-audit data.</i>				
22.5	Rank / Surname / PMKeyS:				
22.6	Was the incident reported to the manager or commander as soon as practicable and within required timeframes? (Ref A, AG4.1) (Ref B, Part 3, Ch 9, para 9.17)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
22.7	Was the incident appropriately recorded on DECMS? (Ref A, AG4.4(d))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
22.8	Where applicable, was the incident assessed/reported as a Notifiable Incident and referred immediately to the relevant Defence Investigative Authority? <i>Note: Cross check with DA re total number of NIs and refer to Table A.</i> (Ref A, AG4.4(b), AG4.5)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.9	Were any additional reporting / notification requirements considered and actioned where applicable (e.g. Sentinel, Comcare, NOTICAS, DSIR, coronial or other service-specific reporting)? <i>Note: Do not assume DECMS / NI reporting alone satisfied all obligations.</i> (Ref A, AG4)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
22.10	Were records at unit filed appropriately to protect the member's privacy, with access limited to need-to-know and only workplace-relevant information retained? (Ref B, Part 3, Ch 6, paras 6.5–6.10, 6.32, 6.43) (Ref B, Part 3, Ch 9, para 9.7)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.11	Was the matter closed in DECMS? (Ref A, para AG4.4(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Suicidal Episodes – Management					
22.12	Where the unit identified the member may be at risk of suicide or self-harm, did command refer the member to a health practitioner for assessment (e.g. via a Form PM008 – <i>Referral for Mental Health/Psychological Assessment and Management Advice</i> for non-fatal cases, or direct / urgent referral where required)? <i>Note: Some cases will go straight to / be identified by medical.</i> (Ref B, Part 3, Ch 9, para 9.26)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.13	If the member was assessed as at risk, did the unit convene an Individual Welfare Review as soon as practicable and no later than 14 days? <i>Note: if not convened, what was the reason?</i> (Ref B, Part 3, Ch 6, paras 6.23, 6.24, 6.27) (Ref B, Part 3, Ch 9, para 9.32)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.14	Was an Individual Welfare Plan developed or updated, with actions, responsibilities, timelines and follow-up review documented? (Ref B, Part 3, Ch 6, paras, 6.38–6.41)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.15	Did command consider and manage immediate safety, including emergency response and access to weapons / means of harm where applicable? (Ref B, Part 3, Ch 9, paras 9.15–9.20, 9.27) (Ref C, Annex 2A, para 8)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
22.16	If the member was admitted to hospital / inpatient care, did the unit coordinate post-discharge support and follow-up with the local health facility? (Ref B, Part 3, Ch 9, paras 9.21–9.23) (Ref C, paras 2.23–2.24)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.17	Was support provided to the member? <i>Note: May include command support, health follow-up, chaplain/spiritual support, DMFS, rehabilitation or other agreed support arrangements.</i> (Ref B, Part 3, Ch 9, paras 9.2, 9.8–9.10, 9.32–9.34)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
22.18	Where the incident had broader impact on the workplace or unit, did command consider wider welfare support and/or request CIMHS as appropriate? (Ref B, Part 3, Ch 8, paras 8.12–8.17) (Ref B, Part 3, Ch 9, paras 9.11–9.12)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 23 – Management of Defence (Inquiry) Regulations Inquiries

References:

- A. [Defence \(Inquiry\) Regulation 2018](#)
- B. [Administrative Inquiries Manual Edition 4](#)
- C. [Good Administrative Decision-Making Manual \(GADMMAN\)](#)
- D. [Defence Instruction – Administration and Governance Provision AG4 – Incident reporting and management](#)
- E. [Chief of Army Directive 11/2021 - Directorate of Army Administrative Inquiries](#)
- F. [Air Force Standing Instruction \(Administrative\) - Management of Serious and/or Complex Administrative Inquiries in Air Force](#)
- G. [Defence Instruction – Administration and Governance Provision AG7 – Legal Services in Defence](#)
- H. [Navy Directive 06/2023 - Notifying affected persons of administrative updates and outcomes](#)
- I. [Army Order 2026/27 – Annex A – G0 Army](#)

Supplementary References:

- J. [Navy Directive 12/2022 - Serious Incident Management and Reporting Update](#)
- K. [ANP4908 – Navy Fact Finding and Statutory Administrative Inquiries](#)
- L. [Air Force Standing Instruction \(Administrative\) 11-01 - Incident Reporting and Management in Air Force](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required
2. **Inquiries under the Defence (Inquiry) Regulations** Administrative Auditor need only review one (1) Inquiry if available.

Number	Question	Sample 1
23.0	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:
23.1	What was the subject of the inquiry?	
23.2	Was the matter recorded in DECMS? (Ref B, Ch 1, paras 1.11(a)(3), 1.11(e)(4)) (Ref B, Ch 3, paras 3.15–3.16, 3.104–3.105)	Yes ☐ No ☐ N/A ☐ Note:
23.3	Is there evidence the matter was assessed as requiring a Defence (Inquiry) Regulations inquiry, rather than local fact finding only? (Ref B, Foreword; Ch 2 paras 2.2–2.10) (Ref C, Ch 3, paras 3.18–3.21)	Yes ☐ No ☐ N/A ☐ Note:
23.4	Was the matter referred to the relevant single-Service inquiry cell / specialist inquiry capability where required by Service direction? Note: Within Army, potential administrative inquiries into serious or complex incidents must be referred through the	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1
	<i>chain of command to the DAAI for approval by DCA or COS-A. (Ref E, paras 9–14; Ref I, para 47)</i> Note: <i>In Air Force, a commander or manager considering whether to appoint an IO is to seek an assessment from DAI-AF. (Ref F, paras 7–15)</i>	
23.5	Was the matter referred to IGADF rather than managed solely through a Service inquiry process?	Yes ☐ No ☐ N/A ☐ Note:
23.6	Where there was a potential criminal / service offence issue, was the matter referred to civilian police / JMPU / relevant Defence Investigative Authority, and was the inquiry managed so as not to prejudice disciplinary or criminal proceedings? Note: <i>If yes, confirm with Discipline Auditor.</i> (Ref B, Ch 2 para 2.15; Ch 3 paras 3.26–3.27) (Ref D AG4.4(b), AG4.5, AG4.6)	Yes ☐ No ☐ N/A ☐ Note:
23.7	Was the matter connected with a Public Interest Disclosure (PID) or other protected disclosure process, and if so, was that handled consistently with applicable confidentiality obligations? If yes, Link to Item 25. Note: <i>Care should be taken to not disclose information that will identify a person who has made a Public Information Disclosure complaint.</i> (Ref B, Ch 3, para 3.54)	Yes ☐ No ☐ N/A ☐ Note:
23.8	Was the Appointing Authority the correct person, with legal authority / delegation to appoint the inquiry? (Ref A) (Ref B, Ch 1, para 1.13(a); Ch 2 paras 2.13, 2.16–2.19, 2.31)	Yes ☐ No ☐ N/A ☐ Note:
23.9	Is there evidence the Appointing Authority considered whether they held an actual, potential or perceived conflict of interest / bias before appointing the inquiry? (Ref B, Ch 2, paras 2.16–2.17) (Ref C, Ch 5, paras 5.4–5.10)	Yes ☐ No ☐ N/A ☐ Note:
23.10	Was the Inquiry Officer (and Inquiry Assistant if appointed) appropriately trained, experienced, qualified and suitable for the subject matter of the inquiry? (Ref B, Ch 2, paras 2.33–2.39) (Ref E, para 8)	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1
	(Ref F, paras 11 & 23–24; Annex B)	
23.11	Is there evidence the proposed Inquiry Officer / Inquiry Assistant was checked for actual, potential or perceived bias / conflict of interest before appointment? (Ref B, Ch 2, para 2.37; Ch 3 para 3.12) (Ref C, Ch 5)	Yes ☐ No ☐ N/A ☐ Note:
23.12	Was the Instrument of Appointment issued in writing? (Ref A; Ref B, Ch 2, paras 2.41–2.42)	Yes ☐ No ☐ N/A ☐ Note:
23.13	Were the Terms of Reference (TOR) issued and clearly scoped to the matters to be inquired into? (Ref B, Ch 2, paras 2.13, 2.43–2.45)	Yes ☐ No ☐ N/A ☐ Note:
23.14	Were the TOR reviewed with appropriate advice (including legal advice) before issue or amendment? (Ref B, Ch 2, paras 2.41 & 2.45) (Ref G, para AG7.10(d))	Yes ☐ No ☐ N/A ☐ Note:
23.15	If the TOR were amended, was that amendment made in writing and appropriately authorised? (Ref B, Ch 3, paras 3.20–3.25)	Yes ☐ No ☐ N/A ☐ Note:
23.16	Was an inquiry plan prepared by the Inquiry Officer and approved / monitored by the Appointing Authority? (Ref B, Ch 1, para 1.11(b)(1); Ch 3 paras 3.14, 3.39–3.41)	Yes ☐ No ☐ N/A ☐ Note:
23.17	Were witnesses / participants provided with their rights and obligations? (Ref B, Ch 3, para 3.60) (Ref C, Ch 3, paras 3.36–3.41)	Yes ☐ No ☐ N/A ☐ Note:
23.18	If the inquiry involved vulnerable persons or sensitive subject matter, was a person-centred / trauma-informed approach used? (Ref B, Ch 3, paras 3.56–3.58, 3.75) (Navy - Ref H paras 3–12)	Yes ☐ No ☐ N/A ☐ Note:
23.19	Were complainants, respondents and other relevant participants kept informed of progress / updates, where appropriate? (Ref B, Ch 3, paras 3.17–3.19) (Navy - Ref H, paras 8–132)	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1
23.20	Was the inquiry conducted fairly, economically, quickly and informally, consistent with the Regulations and Manual? (Ref A, Regs 16(2)(a) and 51(2)(a)) (Ref B, Ch 3, para 3.42)	Yes ☐ No ☐ N/A ☐ Note:
23.21	Was the inquiry completed within the timeframe in the Instrument of Appointment, or if delayed, was an extension approved / documented? (Ref B, Ch 3, paras 3.29–3.30)	Yes ☐ No ☐ N/A ☐ Note:
23.22	Were affected persons given notice of any potential findings and/or recommendations adverse to them, as well as the evidence and reasoning on which these are based, and provided with an opportunity to respond before the report is finalised? (Ref B, Ch 3, para 3.69) (Ref C, Ch 5, paras 5.12–5.40)	Yes ☐ No ☐ N/A ☐ Note:
23.23	Is there evidence the Inquiry Officer considered any responses to procedural fairness before finalising findings/recommendations? (Ref B, Ch 3, para 3.9(c)(3)–(4)) (Ref C, Ch 5, para 5.41)	Yes ☐ No ☐ N/A ☐ Note:
23.24	Was the report prepared in writing and did it adequately address the TOR, findings of fact, evidence and recommendations (if authorised)? (Ref B, Ch 3, paras 3.99–3.103)	Yes ☐ No ☐ N/A ☐ Note:
23.25	Did the report receive a legal review before submission to the Appointing Authority? (Ref B, Ch 3, paras 3.94–3.98) (Ref G, para AG7.10(d))	Yes ☐ No ☐ N/A ☐ Note:
23.26	If the legal review identified deficiencies, is there evidence the report was corrected / refined before final submission? (Ref B, Ch 3, paras 3.96–3.98)	Yes ☐ No ☐ N/A ☐ Note:
23.27	Did the Appointing Authority consider whether the inquiry report was adequate and fit for purpose before making decisions? (Ref B, Ch 4, paras 4.2–4.5)	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1
23.28	If the report was inadequate, did the Appointing Authority require further inquiry, amendment, replacement of inquiry officials, or other corrective action? (Ref B, Ch 4, para 4.3; Ch 3, paras 3.31–3.33)	Yes ☐ No ☐ N/A ☐ Note:
23.29	Did the Appointing Authority make and record decisions on the findings and recommendations, including where recommendations were not accepted? <i>Note: DECMS must be updated of incident management process.</i> (Ref D, para AG4.4(c)) <i>Note: Mandatory for Army to store incident related documentation in DECMS.</i> (Ref I, para 39) (Ref B, Ch 4, paras 4.4–4.5) (Ref C, Ch 6, para 6.2) (Ref D, para AG4.4(c))	Yes ☐ No ☐ N/A ☐ Note:
23.30	Did the Appointing Authority / Inquiry Officer issue an Implementation Plan where recommendations were accepted? (Ref B, Ch 4, para 4.6)	Yes ☐ No ☐ N/A ☐ Note:
23.31	Did the Appointing Authority ensure the inquiry recommendations were implemented through to completion? (Ref B, Ch 4, paras 4.6, 4.9, 4.11)	Yes ☐ No ☐ N/A ☐ Note:
23.32	If the Appointing Authority / Inquiry Officer lacked power to implement a finding or recommendation, did they refer it to the next superior HQ / appropriate authority? (Ref B, Ch 4, para 4.7)	Yes ☐ No ☐ N/A ☐ Note:
23.33	Did the Appointing Authority determine the inquiry complete in writing? <i>Note: DECMS must be updated of incident management process.</i> (Ref D, para AG4.4(c)) <i>Note: Mandatory for Army to store incident related documentation in DECMS.</i> (Ref I, para 39) (Ref A) (Ref B, Ch 4, para 4.9)	Yes ☐ No ☐ N/A ☐ Note:
23.34	Were complainants, respondents, affected persons, witnesses and, where applicable, next of kin, given written notification of the outcome?	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1
	Note: Mandatory for Army to store incident related documentation in DECMS. (Ref I, para 39) (Ref B, Ch 4, paras 4.15–4.20) (Navy - Ref H para 2)	
23.35	Was outcome notification provided using a person-centred and trauma-informed approach, including reasonable efforts to brief the person before or when sending the written outcome? (Ref B Ch 4 paras 4.16–4.19) (Navy - Ref H paras 3–12)	Yes ☐ No ☐ N/A ☐ Note:
23.36	Were inquiry records stored and managed appropriately, including in accordance with records management and privacy/security requirements? Note: Mandatory for Army to store incident related documentation in DECMS. (Ref I, para 39);(Ref B, Ch 3, paras 3.104–3.106) (Ref C, Ch 8, para 8.10)	Yes ☐ No ☐ N/A ☐ Note:
23.37	Was the inquiry record / case closed in DECMS once all required actions were complete? (Ref B, Ch 1, para 1.11(e)(4); Ch 4 paras 4.9, 4.11) (Ref D, para AG4.4(c))	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 24 – Management of Redress of Grievance

References:

- A. [Defence Regulation 2016](#)
 B. [Complaints and Alternative Resolutions Manual \(CARM\)](#)

Instructions:

- Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required
- Ensure link to Items 18, 19, 20, 23, 27, 28 and 29 as appropriate.

Number	Question	Comments
Redress of Grievances		
24.0	Number of Redress of Grievances received at the unit:	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Redress of Grievance					
24.1	Checklist Index Number per Item 16: Reporting Incident Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
24.2	Was the Redress of Grievance reported by the unit on DECMS as an incident? Note 1: For clarity, Directorate of Military Redress and Review (DMRR) at OIGADF do not create 'Incidents' in DECMS. When a ROG is received by DMRR, DMRR create a 'Case' in DECMS (for Office of the IGADF purposes). This does not, however, alleviate unit responsibility for raising and managing the incident in DECMS, as the initial receiver or the ROG (via CO). Note 2: Of note on the DECMS webpage: not all <u>Cases</u> will be created from an Incident. There are 3 specific Case types that do not have to be linked to an Incident and 'Manage Redress of Grievance' is one of these that has its own Case type on DECMS and is managed by IGADF. Note 3: link to relevant Items if applicable.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.3	Subject of the grievance:				
24.4	Rank / Surname / PMKeyS of Complainant:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
24.5	Was initial assessment of the complaint completed within 14 days? (Ref B, Ch 6, para 6.0.0.9(1)(b)-(d))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
24.6	Was a Fact Finding or other form of statutory administrative inquiry conducted? <i>Note: If yes, refer to relevant Item 18, 19, 20 or 23.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
24.7	Did the unit notify IGADF of the Redress of Grievance within 14 days of receipt and record at Part 2 of the Form AD841? (Ref A, Part 7, s43) (Ref B, Ch 6, para 6.0.0.9(1)(e))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.8	If the CO took action to address the complaint, was member notified of the outcome of CO consideration of complaint on part 4 of the Form AD841? <i>Note: If Office of the IGADF removes responsibility from unit handling the decision-making process, then IGADF will inform the member and CO of the decision.</i> (Ref B, Ch 6, paras 6.0.0.9(h), 6.0.0.11(9))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.9	If the CO referred the complaint to another person to progress, was Part 5 of the Form AD841 completed? (Ref B, Ch 6, para 6.0.0.9(1)(j))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.9.a	Once recipient of the referral completed their consideration, did CO complete Part 5 of AD841 and notify the member and IGADF of that action? (Ref B, Ch 6, para 6.0.0.9(1)(j))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.10	Did the CO/ACR update the member on the progress every 30 days using Part 3 of the Form AD841? (Ref B, Ch 6, para 6.0.0.9(1)(g))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.11	Did the member withdraw their complaint prior to receiving the Commanding Officer Decision?	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Part 7, s47; Ref B, Ch 6, para 6.0.0.9(1)(l) and 6.0.0.10(10))	Note:	Note:	Note:	Note::
24.12	Did the Unit advise the Office of the IGADF of the grievance withdrawal? (Ref A, Part 7, s47; Ref B, Ch 6, paras 6.0.0.9(1)(l) & 6.0.0.10(10))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
24.13	Did the unit close the incident in DECMS once the Office of the IGADF notification of outcomes was received? <i>Note: Once the decision has been communicated to the member (and CO), Office of the IGADF will close the 'case' on DECMS.</i> (Ref B, Ch 6, para 6.0.0.9(1)(m))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**

- Evidence:
- Causes (Systemic Issues):
- Consequences/Significance:
- Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 25 – Public Interest Disclosure Scheme

References:

- A. [Public Interest Disclosure Act 2013 \(Cth\) \(14 October 2024\)](#)
- B. [Complaints and Alternative Resolutions Manual \(CARM\)](#)
- C. [Public Interest Disclosure – Supervisors Checklist](#)

Supplementary References:

- D. [Defence Instruction - Administration and Governance Provision AG4 – Incident reporting and management](#)

Instructions:

- Auditor to provide a response in each of the sample boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required
- A disclosure is information that tends to show, or that the public official reasonably believes tends to show, disclosable conduct. Disclosable conduct is conduct engaged in by an agency, public official or contracted service provider, which can include: a contravention of the law; corruption; perverting the course of justice; maladministration; an abuse of public trust; wastage of public money; or conduct that is a danger to health, safety or the environment.

Number	Question	Sample
Public Interest Disclosures		
25.0	Did the unit report any conduct under the Public Interest Disclosure scheme in the review period? If yes, how many? (Ref A, Part 2, Division 2, Subdivision B, section 29; Ref C)	Yes ☐ No ☐ Note:
25.1	State the type of disclosable conduct reported by the unit (list if more than one disclosure):	
25.2	Were there any incidents recorded or reported that constituted disclosable conduct but were not managed under the Public Interest Disclosure scheme? Checklist Index Number per Item 16: Incident Reporting Table - LINK: Table A <i>Note: Check reported incidents and if applicable.</i>	Yes ☐ No ☐ N/A ☐ Note:
25.3	Did the Supervisor inform the discloser the report will be treated as a Public Interest Disclosure with associated protections given under the Public Interest Disclosure Act? (Ref A, Part 4, Division 1, section 60A(2); Ref C)	
25.4	Did the Supervisor report the disclosable conduct to a Public Interest Disclosure authorised officer? (i.e. Authorised Officer, Disclosure's Agency or another agency and investigated by the principal officer of that agency)	

Number	Question	Sample
	(Ref A, Part 4, Division 1, section 60A(3); Ref B, Ch 3, paras 3.3.0.7(1)(b); Ref C)	

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 26 – Management of First Fitness Failures (only)

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)
- B. [Australian Naval Policy 4104 Navy Personnel Manual](#)
- C. [Army Standing Instruction \(Personnel\)](#)
- D. [Air Force Physical Training and Testing Manual](#)

Supplementary References:

- E. [Air Force Personnel Standing Instruction – Chapter 7 – Individual Readiness Requirements](#)
- F. [Australian Navy Publication 4205, Chapter 5 – Physical Training](#)
- G. [Navy Directive 07/2023 - Trial Reduction of Initial Minimum Period of Service \(IMPS\) and removal of Physical Fitness Assessment \(PFA\) for ab-initio recruitment](#)
- H. [Letter – the Chief of Army decision to discontinue AIRN dated \(WEF 1 Jul 26\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required
2. Second and subsequent fitness failures are to be addressed in Item 27 (admin sanctions)

Number	Question	Comments
Fitness Failures		
26.0	Number of first fitness failures that occurred in review period:	
26.1	Is the unit recording first fitness failures in PMKeyS to update IR data? <i>Note: only most recent update visible in PMKeyS – unless any members are yet to undertake 2nd attempt, verbal confirmation from unit will suffice.</i> (Ref A, Part 3, Ch 1, para 1.14)	Yes ☐ No ☐ N/A ☐ Note:
26.2	Is the unit reporting first fitness failures as an Incident in the DECMS? <i>Note: not mandatory – suggestion only because a first fitness failure is not considered an 'incident' for DECMS purposes.</i>	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Fitness Failures					
26.3	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
26.4	Rank / Surname / PMKeyS:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
26.5	Was the appropriate counselling given to the member after an initial fail? <i>Note: counselling in this context does not amount to an adverse administrative process captured in auditor instructions in Items 18, 19 and 20.</i> (Ref A, Part 3, Ch 1, para 1.15)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
26.6	Did the member complete a re-test within the required time period? (Navy - Ref B, Part 3, Ch 1, Annex 1B, para 37 – 90 days) (Army - Ref C, Part 8, Ch 4, Appendix 3, para 4.26 – 30 days) (Air Force - Ref D, Ch 5, para 5.34(b) – 90 days)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
26.7	If applicable, was the second fitness assessment failure reported on DECMS? <i>Note: Second fitness failures are addressed at Item 27 as an administrative sanction. This question applies where a member fails a second or subsequent fitness assessment that does not result in an administrative sanction, but still requires a DECMS incident to be raised.</i> (Ref A, Part 3, Ch 1, para 1.16; Part 9, Ch 8, paras 8.7-8.9).	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...

2. X

3. X

Item 27 – Administrative Sanctions - Formal Warnings (including Second and Subsequent Fitness Failures), Censures, reduction in rank, removal from post, removal from command

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)
- B. [Good Administrative Decision-Making Manual \(GADMMAN\)](#)
- C. [CDF Command Authorisations Instrument – Personnel Related Decision Making Functions 15 Dec 2025](#)
- D. [Defence Regulation 2016](#)
- E. [Complaints and Alternative Resolutions Manual Chapter 12 – Responding to family and domestic violence](#)

Supplementary References:

- F. [Army Order 2026/27 – Annex A – G0 Army](#)
- G. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- H. [Air Force Personnel Standing Instructions, Chapter 17 – Managing and recording Sub-standard Performance and Conduct](#)
- I. [Navy Directive 06/2023— Notifying affected persons of administrative updates and outcomes](#)
- J. [CDF Order of the Day – Response to Sexual Violence Facilitated Discussions \(13 November 2025\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing** and **provide Comments as required**
2. Counselling should not be interpreted as a sanction for this Item - save for CARM exceptions for Defence members who are found to have perpetrated FDV may also be subject to administrative sanctions including counselling.

Number	Question	Comments
Admin Sanctions		
27.0	Number and type of administrative sanctions in review period:	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Admin Sanctions					
27.1	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
27.2	Did the unit record, monitor and manage Administrative Sanctions in DECMS? (Ref A, Part 9, Ch 8, paras 8.7-8.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note::
27.3	Rank / Surname / PMKeyS:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
27.4	Type of conduct warranting an administrative sanction: (e.g. unacceptable behaviour, values, 2 nd fitness assessment failures)? <i>Note: where applicable, link relevant first fitness failure from Item 26 to demonstrate that the correct process was followed that led to second fitness failure actions. i.e. the unit didn't jump straight to admin action for a first fitness failure.</i>				
27.5	Was a written Notice to Show Cause (Notice) issued to the member? (Ref A, Part 9, Ch 2, Annex 2A, para 2.49(a))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.6	Type of administrative sanction proposed: (e.g Formal Warning, Censure, Reduction in Rank, Early End of Service etc)? <i>Note: may be different to that imposed.</i> (Ref A, Part 9, Ch 2) (Ref D s14(1)(a)/(b)) (Ref E)				
27.7	Was the Notice issued in conjunction with Defence Force Discipline Act proceedings or a criminal trial? <i>Note: If yes, confirm with DA and ensure link in audit between these Items.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.8	Was the Initiating Authority authorised? (Ref A, Part 9, Ch 2, para 2.5; Ref C)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.9	Was the member provided with sufficient time (minimum 21 days for formal warning / censure) to respond to the Notice? <i>Note: If the commander, manager, supervisor or appointed complaint manager proposes to make an adverse decision about a Defence member, they must ensure that the Defence member is afforded procedural fairness in relation to that adverse decision.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Part 9, Ch 2, Annex 2A, para 2.49(f))				
27.10	Did the Commander/Manager consider a referral for mental health/psychological assessment for managing the member's well-being when subject to adverse administrative action? (Ref A, Part 9, Ch 2, para 2.43)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.11	Did Command consider an Individual Welfare Review for managing the wellbeing of the member? <i>Note: Confirm if unit recorded that an IWR was completed.</i> (Ref A, Part 9, Ch 2, para 2.30)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.12	Did member provide a response within timeframe specified?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.13	Did the member request an extension?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.14	Was the request for extension approved?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.15	Were there separate appointments for Initiating and Imposing Authorities? (Ref A, Part 9, Ch 2, paras 2.17-2.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.16	Was the Imposing Authority authorised? (Ref A, Part 9, Ch 2, para 2.5; Ref C)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
27.17	Was a sanction imposed? If yes, what sanction was imposed?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.18	Did the Imposing Authority make a decision to impose a different sanction than the Notice? If yes, what sanction was proposed vs imposed?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.19	If the sanction was a formal warning, was the duration appropriate? <i>Note: Formal Warning duration discretionary between 3 and 24 months; censures indefinite.</i> (Ref A, Part 9, Ch 2 para 2.23-24)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.20	Was the Imposing Authority's decision to impose a sanction communicated to the member? (Ref A, Part 9, Ch 2, Para 2.71)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.21	Was the relevant Career Management Agency informed of the administrative sanction? (Ref A, Part 9, Ch 2, para 2.27)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.22	If applicable, was early release or cancellation documentation completed and recorded? (Ref A, Part 9, Ch 2, Annex 2A, paras 2.72-2.74)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.23	If member was posted, was gaining unit informed of the administrative sanction? (Ref A, Part 9, Ch 2, para 2.73)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
27.24	Was all information and procedural steps (including not imposed/cancellation, etc.) regarding the administration sanction entered into DECMS? (Ref A, Part 9, Ch 8, paras 8.7-8.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- Significant or Minor Variation to Defence Policy /Law:

- Evidence:
- Causes (Systemic Issues):
- Consequences/Significance:
- Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 28 – Suspensions under the Defence Regulation 2016, Reg 28

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)
 B. [Defence Regulation 2016](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required

Number	Question	Comments
Defence Regulation 2016 R.28 Suspension from Duty		
28.0	No. of suspensions under Defence Reg 28:	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
28.1	Checklist Index Number per Item 16: Reporting Incident Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
28.2	Rank / Surname / PMKeyS of member:				
Initiating Actions					
28.3	What was the reason for suspension from duty? (Ref A, Part 9, Ch 1 para 1.5-1.6)				
28.4	Was the decision to initiate suspension from duty reasonable in the circumstances? (Ref A, Part 9, Ch 1, para 1.10)				
28.5	NTSC requirements met? (Ref A, Part 9, Ch 1 para 1.30; Ref B, s30) • Proposed pay arrangements	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
28.5.a	• Reason for proposed suspension	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
28.5.b	• Invite member to respond (including in relation to mental health) & note time	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
28.5.c	• Details of support agencies, including legal	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
28.5.d	As appropriate, invite member to provide informed consent via <u>Form AE993 – Consent to Use or Disclose Personal, Sensitive and/or Health Information</u>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Decision-making actions					
28.6	Delegation in place? (Ref A, Part 9, Ch 1 para 1.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.7	If suspension without pay or part pay, was NTSC process followed? If part pay, the effect in percentage terms on member's pay must be specified in writing Can suspend with pay during this time (without NTSC) (Ref A, Pt 9, Ch 1 paras 1.25 & 1.26)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.8	Were personnel management measures reviewed every month? (Ref A, Pt 9, Ch 1 paras 1.19-1.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.9	Suspension reviewed once a decision made regarding ongoing service? (Ref A, Part 9, Ch 1, para 1.27(a))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.10	If relevant, Notice given if varying suspension will adversely impact member's pay? (Ref A, Part 9, Ch 1, paras 1.27(b) & 1.30 NTSC requirements)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.11	Command responsibilities: Support for member (Ref A, Part 9, Ch 1, para 1.38(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.11.a	Consider whether Individual Welfare Review was appropriate? (Ref A, Part 9, Ch 1, para 1.38(d))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.11.b	Consider temporarily placing member under alternative administrative command? (Ref A, Part 9, Ch 1, para 1.38(f))	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐	Yes ☐ No ☐ N/A ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
		Note:	Note:	Note:	Note:
28.12	Monitor wellbeing as appropriate - Regular contact - Engage partner, health (with consent) Referrals to chaplain, legal, DMFS, etc. (Ref A, Part 9, Ch 1, paras 1.39-40)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
28.13	Suspension cease date? (Ref A, Part 9, Ch 1, para 1.27(a))	Date: OR Ongoing ☐	Date: OR Ongoing ☐	Date: OR Ongoing ☐	Date: OR Ongoing ☐
28.14	Suspension recorded in DECMS? (Ref A, Part 9, Ch 1, para 1.46 and Ch 8, paras 8.7-8.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 29 – Management of Early End of Service (non-medical) under Defence Regulation 2016 s24(1)

References:

- A. [Military Personnel Policy Manual \(MILPERSMAN\)](#)
- B. [Defence Regulation 2016 \(Chief of the Defence Force\) Delegations 2025 \(No. 2\)](#)
- C. [CDF Command Authorisations Instrument – Personnel Related Decision Making Functions 15 Dec 2025](#)
- D. [Air Force Personnel Standing Instructions, Chapter 17 – Managing and recording Sub-standard Performance and Conduct](#)
- E. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(SmartForms Interim Approved Processes\), Enclosure 1 – Navy Sensitive Incident Management \(SIM\) Companion](#)
- F. [Army Order 2026/27 – Annex A – G0 Army](#)
- G. [Defence Regulation 2016](#)

Supplementary References:

- H. [Australian Navy Publications 4104 – \(NAVPERSMAN\) Part 10, Chapter 2 – Involuntary Separation in the RAN](#)
- I. [Navy Directive 11/2021 - Revised Policy for Separation of Service in the Defence Force For More Than One Reason](#)
- J. [Army Standing Instruction \(Personnel\), Part 2 Chapter 4 - Army Transitions](#)
- K. [Navy Directive 06/2023 – Notifying affected persons of administrative updates and outcomes](#)
- L. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- M. [Australian Defence Force Transition Manual](#)
- N. [CDF Order of the Day – Response to Sexual Violence Facilitated Discussions \(13 November 2025\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing and provide Comments as required**
2. Defence now uses the term Early End of Service. The words 'Termination of Service'; 'Involuntary Separation' no longer exist under the Defence Regulation 2016 which now reflects 'Early End of Service'.
3. As Early End of Service for medical reasons are managed centrally, please select non-medical matters to audit.
4. Ensure that all Early End of Service matters are linked to the applicable Item in the AA and DA audit checklist.

Number	Question	Comments
Early End of Service under Defence Regulation 2016 s 24(1)		
29.0	How many Early End of Service matters occurred during the review period?	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Early End of Service – Initiating Actions					
29.1	Checklist Index Number per Item 16: Incident Reporting Table. LINK: Table A	CIN:	CIN:	CIN:	CIN:
29.2	Reason for Early End of Service:				
29.3	Rank / Surname / PMKeyS:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
29.4	Was a Notice of Proposed Separation – Involuntary issued to the member providing reasons for Early End of Service, including all supporting documentation? <i>Note: Unit level CO is <u>not</u> the Delegate for issuing the NPS-I & imposing Early End of Service for Sexual Violence matters.</i> <i>Note: Where it is identified that a member has engaged in any form of sexual violence, the matter must be referred to Military Personnel Division (MPD) for consideration. This could be a result of an internal ADF fact finding or inquiry, discipline process or civilian criminal conviction.</i> (Ref A, Part 10, Ch 2, paras 2.6(d), 2.15 & 2.24; Ref B, s24(1)(d))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.5	Was Initiating Authority authorised? (Ref C, Schedule 1, item 8)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.6	If applicable, was the member suspended during the Separation process? <i>Note: If yes, check Item 28 and liaise with DA whether link with Item 5.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.7	Did the unit appoint a Support Officer? (Ref A, Part 10, Ch 2, para 2.45) (Navy - Ref E, Enclosure 1, Flowchart relevant to incident. 'Appoint a Support Officer'.) (Air Force - Ref N, p 41) (Army - Ref F, Appendix 2, para 5(g))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.8	Did Command conduct an Individual Welfare Review? (Ref A, Part 10, Ch 2, para 2.13)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.9	Was member given at least 21 days to respond? (Ref A, Part 10, Ch 2, para 2.15) (Ref G, s24(2A)(a)(ii)) <i>Note: exceptions under Defence Reg s24(3) include where a member: is within</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	<i>a probationary period; failed to meet a condition of appointment/enlistment; is sentenced to imprisonment for an offence; is AWOL for 3 months or more; pleads guilty to, or is convicted of, an offence.</i> Note: At least 28 days for separation for positive PST. (Ref A, Part 4, Ch 3, Annex 3D, para 3.137)				
29.10	Did member provide a written response to the Notice?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.11	Was there a separation of the Initiating and Imposing Authorities? (Ref A, Part 10, Ch 2, para 2.23)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Early End of Service – Post Decision-Maker Actions					
29.12	Was member advised in writing of the decision, reasons and date separation was to take effect? (Ref A, Part 10, Ch 2, para 2.31)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.13	Was separation a period up to 90 days from date the member was notified of the separation decision? Note: not mandatory as delegates are to 'consider' a period of up to 90 days. (Ref A, Part 10, Ch 2, para 2.39)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.14	Did the member submit a Redress of Grievance? Note: must be within 21 days of notification of decision IAW Defence Regulation s41(2)(a). Note: If yes, link to the same sample in Item 24.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
29.15	Were details of the Early End Of Service entered in DECMS? Note: suggestion only as DECMS not specifically mandated as the records management system in MILPERSMAN.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Part 10, Ch 2, para 2.61; Part 9, Ch 8 paras 8.7 – 8.9)				

Auditor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 30 – Training Management System

References:

- A. [Air Force – Implement Phase Authority Practitioner Guide, Annex 3B – Suspension Procedures](#)
- B. [Australian Navy Publication 5714 – Trainee Management](#)
- C. [Army Training Manual](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either Yes, No, N/A or Ongoing and provide Comments as required
2. Only to be used when auditing a training unit noting each unit and Service will adopt different approaches to training management. Key aspect is that fairness is applied throughout training management process to ensure balance between protecting members' rights and sound command decision-making.

Number	Question	Comments
Training Management System		
30.0	Number of members who failed and/or were removed from training/back coursed during the review period? <i>Note: This Item deals with removal of trainees related to course performance. If any trainees were removed for other reasons, (i.e. disciplinary, adverse reasons) please note / number separately.</i>	Failed: Removed: Back-coursed: Note:
30.1	Type of training conducted at unit: (e.g. ab-initio, IET)	
30.2	Is there an effective training management system in place at the Unit?	Yes ☐ No ☐ Note:
30.3	Is the training failure policy procedurally fair?	Yes ☐ No ☐ Note:
30.4	Does the training failure policy involve a separation of powers?	Yes ☐ No ☐ Note:
30.5	Is the unit using its training management system in cases where disciplinary action may be more appropriate?	
30.6	Number of members who were informed of shortcomings/failures during the review period (e.g. Trainee Progress Reports for Navy)?	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Training failures / removals					
30.7	Rank / Surname / PMKeyS				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
30.8	Was there evidence the trainee was afforded procedural fairness when informed of shortcomings or failures? <i>Note: Refer to applicable training policy to confirm how fairness is applied.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
30.9	Was the member provided opportunity to rectify shortcomings in their training to meet requirements? <i>Note: did unit follow their own failure/removal policy to ensure fairness?</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:

Audit/Thankor Comments:

- **Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

1. Ensure...
2. X
3. X

Suggestions – Best Practices

1. Consider...
2. X
3. X

Item 31 – Workplace Behaviour Advisers and Mandatory Annual Awareness Training

References:

- A. [Complaints and Alternative Resolutions Manual \(CARM\)](#)
- B. [Military Personnel Manual \(MILPERSMAN\)](#)
- C. [Navy – Australian Fleet General Orders 305 Personnel Administration and Workforce Management](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, N/A or Ongoing** and provide **Comments** as required

Number	Question	Comments																								
WBA Arrangements																										
31.0	State number of trained WBAs identified to support unit: <i>Note: IAW Ref A, training establishments should have a greater ratio of WBAs.</i> <i>Note: WBAs are a location resource rather than a unit specific resource.</i> (Ref A, Ch 2, Part 4, Division 2, para 2.4.2.3(5))	Posted to unit: Wider location resources:																								
31.0.a	Navy only: for seagoing platforms, does this number comply with Ref C? (Navy Ref C, para 305.179)	Yes ☐ No ☐ N/A ☐ Note:																								
31.1	Navy only: did the CO appoint a Workplace Behaviour Network Coordinator (WBNC)? <i>Note: preferably the Command Warrant Officer, but must be of at least CPO rank.</i> (Navy Ref C, para 305.181)	Yes ☐ No ☐ Note:																								
Mandatory Annual Awareness Training																										
31.2	Percentage of unit personnel current with all annual mandatory workplace training: • Workplace Behaviour Mandatory Awareness • Work Health & Safety for Defence • Security Awareness • Alcohol, Tobacco and Other Drugs • Fraud and Integrity Awareness • Suicide Awareness • Defence Family and Domestic Violence Awareness • Defence Youth Protection – Awareness	<table border="1"> <thead> <tr> <th>Training by SERCAT</th><th>3/5</th><th>6/7</th></tr> </thead> <tbody> <tr> <td>Workplace Behaviour</td><td></td><td></td></tr> <tr> <td>Work Health & Safety for Defence</td><td></td><td></td></tr> <tr> <td>Security Awareness</td><td></td><td></td></tr> <tr> <td>Alcohol, Tobacco & other drugs</td><td></td><td></td></tr> <tr> <td>Fraud & Integrity Awareness</td><td></td><td></td></tr> <tr> <td>Suicide Awareness</td><td></td><td></td></tr> <tr> <td>Defence Family & Domestic Violence Awareness</td><td></td><td></td></tr> </tbody> </table>	Training by SERCAT	3/5	6/7	Workplace Behaviour			Work Health & Safety for Defence			Security Awareness			Alcohol, Tobacco & other drugs			Fraud & Integrity Awareness			Suicide Awareness			Defence Family & Domestic Violence Awareness		
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Defence Family & Domestic Violence Awareness																										

	Note: Single services have different requirements, but these courses are common to all three and reflect issues of military justice concerns. (Ref B, Part 2, Ch1, para 1.21)	Defence Youth Protection – Awareness (triennial)																	
31.3	Does the unit use PMKeyS to manage and monitor the following: - capture details of members who have not completed Mandatory Annual Awareness Training - monitor completion of the training? If no, then What process/system does the unit use?	Yes ☐ No ☐ Note:																	
31.4	Sexual violence training: All Defence staff must complete 5 modules, once per year for 5 years, but will only need to complete each module once: Year 1 (2023): Sexual Misconduct Foundations of Knowledge (FOUNDOK) course Year 2 (2024): Sexual Misconduct Application of Knowledge (APPOK) Module 1 – Consent Matters Year 3 (2025): APPOK Module 2 – Peer Response to a Disclosure Year 4 (2026): APPOK Module 3 – Tech with respect Year 5 (2027): APPOK Module 4 – TBA (Ref A, Ch 9, para 9.0.0.8(3))	<table border="1"> <thead> <tr> <th>Training by SERCAT</th><th>3/5</th><th>6/7</th></tr> </thead> <tbody> <tr> <td>Sexual Misconduct FOUNDOK (2023)</td><td></td><td></td></tr> <tr> <td>APPOK Module 1 (2024)</td><td></td><td></td></tr> <tr> <td>APPOK Module 2 (2025)</td><td></td><td></td></tr> <tr> <td>APPOK Module 3 (2026)</td><td></td><td></td></tr> </tbody> </table>			Training by SERCAT	3/5	6/7	Sexual Misconduct FOUNDOK (2023)			APPOK Module 1 (2024)			APPOK Module 2 (2025)			APPOK Module 3 (2026)		
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Sexual Misconduct FOUNDOK (2023)																			
APPOK Module 1 (2024)																			
APPOK Module 2 (2025)																			
APPOK Module 3 (2026)																			
31.5	SERCAT 3 – 5: Did the unit factor in the requirement for MAAT when allocating reserve days for SERCAT 3 – 5 personnel?	Yes ☐ No ☐ N/A ☐ Note:																	

Auditor Comments:

- Significant or Minor Variation to Defence Policy /Law:**
 - Evidence:
 - Causes (Systemic Issues):
 - Consequences/Significance:
 - Conclusion:

Corrective actions (must align with policy/law – include reference/s)

- Ensure...
- X
- X

Suggestions – Best Practices

- Consider...

2. X

3. X

Exit Brief Notes:

[illegible]