

SECTION A – DISCIPLINE AUDITOR CHECKLIST – Version 1.0**To be completed by DA 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 DA.

Instructions on completing the Checklist:

1. The Discipline Auditor (DA) is to work with the Administrative Auditor (AA) throughout to ensure accuracy of incidents recorded.
2. DA to peruse/scan **ALL** matters but **review in detail** at least four (4) matters where applicable.
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 AA prior to submission. Where a question is not applicable, enter '**N/A**'.

Name of Discipline Auditor:	
Unit Audited:	
Personnel Strength at Unit:	
Primary Discipline Point of Contact:	
Legal Officer:	

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NOTES from IN Briefs

Area for handwritten notes, consisting of multiple horizontal lines.

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 incident files examined, 5 exhibited overdue action and missing documentation.
- Disciplinary investigations frequently exceeded prescribed timeframes.
- Required procedural safeguards (such as the provision of charge sheets or rights notifications) were inconsistently documented.
- Focus group feedback and interviews indicated a lack of up-to-date training in discipline process among key staff and confusion about the command chain for summary authority.

Causes (Systemic Issues): (example)

Analysis suggests these deficiencies stemmed from: (examples)

- High turnover in key discipline 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 discipline administration 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 discipline system. 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 discipline arrangements warranting formal remedial action.

Previous IGADF Military Justice Performance Audit Report

Previous audit	Comments
Date of previous IGADF audit & report	Audit: Report:
Total corrective actions:	
Number recommended corrective action relating to discipline:	
Total suggestions:	
Number suggestions relating to discipline:	
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 1 – To be completed Post-physical Audit – Total Unit Incident Reporting Table

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

Instructions:

1. This Item must be completed by the DA and AA together to ensure consistency across checklists. At a minimum, the DA and AA 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 DA and the AA 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 AA to ensure Table A lists only those relevant military justice matters for audit purposes.
3. It is recommended that the DA and AA 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 DA and AA.

INCIDENT REPORTING TABLE A					
Checklist Index Number	DECMS ID or Reference ID to incident number & Include Name	Notifiable Incident? Yes/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	DECMS ID or Reference ID to incident number & Include Name	Notifiable Incident? Yes/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 2 – Discipline Appointments & training

References:

- A. [Summary Discipline Manual \(2022\)](#)
- B. [Disciplinary Infringement Manual \(2022\)](#)

Supplementary References:

- C. [Defence Force Discipline Act 1982 \(Cth\)](#)
- D. [Defence Force Discipline Instruments Register](#)

Instructions:

- Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required. Auditor may need to audit forms for 2 years, depending on when the review period falls.
- Auditor to note appointment and date of appointment on documentation.

Number	Question	Year 1	Year 2 (if applicable)
Commander's guidance on discipline			
2.0	Is there lawful CO guidance in a Directive or Standing order? <i>Note: Commanders can set expectations through briefings such as those delivered during induction, mandatory training and safety stand-downs. Commanders should consider promulgating expectations in writing (e.g. standing or routine orders).</i> (Ref A, para 2.5 and Annex B)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
2.1	Is drill performed as part of discipline?	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
2.1.a	If so, is nature and type of drill detailed in unit orders? <i>Note: Check disciplinary information in promulgated unit orders for accuracy and consistency with authorisations/ appointment documentation.</i> (Ref A, para 2.8(c) – no set Form. Annex D contains an example.)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Appointments and Authorisations			
2.2	Review of forms regularly? <i>Note: Regularly BUT do not lapse CO posting in/out.</i> (Ref A, para 2.23)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Year 1	Year 2 (if applicable)
2.3	Form A1 –Appointment of CO	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.4	Appointment of T/CO? (if applicable) (Ref A, para 2.19(a))	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.5	Form A3—Authorisation to give IN <i>Note: Of or above NCO (CPL). Any limitations?</i> (Ref B, paras 2.2(c) & 2.5)	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.6	Form A4—Discipline Officer <i>Note: Any officer (not MIDN or OCDT) WO/CPO/FSGT. Any limitations?</i> (Ref B, paras 2.2(b) & 2.3)	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.7	Form A5 – Senior Discipline Officer <i>Note: Any officer above rank LCDR/MAJ/SQNLDR (for minor units/detachments, LEUT, CAPT or FLTLT). Any limitations?</i> (Ref B, paras 2.2(a) & 2.4)	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.8	Form A6—Authorisation to access Discipline Infringement records <i>Note: If access has been authorised, ensure the appointment is made by the COS of a service HQ, not the CO.</i> (Ref B, paras 7.12-15)	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:

Number	Question	Year 1	Year 2 (if applicable)
2.9	Form A7—Authorisation of Member for the Laying of Charges <i>Note: Any suitable ADF member or class of members.</i> (Ref A, para 2.8(a))	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.10	Form A9 – Authorisation of a Member for the Administration of Minor Punishments (Ref A, para 2.8(b); Ref B, para 2.6)	Yes ☐ No ☐ N/A ☐ Date: Note:	Yes ☐ No ☐ N/A ☐ Date: Note:
2.11	Other Forms? E.g. A2, Detention (H series), Defence Civilians (I series)	Yes ☐ No ☐ N/A ☐ Date/s: Note:	Yes ☐ No ☐ N/A ☐ Date/s: Note:
2.12	Limiting statement in Forms? E.g. ‘posted to 123 Regt’. <i>Note: Suggestion only.</i> (Ref A, paras 2.11-12, 2.14)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Review / promulgation / record keeping			
2.13	Retention of forms <i>Note: Original forms (or a scan if paper copy) of appointment or authorisation must be kept on a unit register held by the unit’s orderly room or equivalent.</i> (Ref A, para 2.24)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
2.14	Copies given to appointee? (Ref A, para 2.15; Ref B, para 2.9)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
2.15	Copies given to legal officer? <i>Note: Notate which legal office unit seeks advice from.</i> (Ref A, paras 2.15 & 2.24; Ref B, para 2.9)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Year 1	Year 2 (if applicable)
2.16	Appointments promulgated in unit? <i>Note: Are the ROs accurate reflection of appointments?</i> (Ref A, para 2.16; Ref B, para 2.10)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
2.17	Revoked / out of date / previous forms kept on unit files? <i>Note: Retention required because it is a Commonwealth record.</i> (Ref A, paras 2.17 & 2.27; Ref B, para 2.9)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Training			
2.18	Were formal or informal DFDA courses conducted if there are gaps or lapses in the system? <i>Note: Formal – CAMPUS / LXP Informal – arranged by unit (e.g. brief from RSM/CWO, WOFF and Legal Officer)</i> (Ref A, para 2.36)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ 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 3 – Notifiable Incidents (reporting, recording and/or referrals to/from Defence Investigative Authority (e.g. JMPU, Investigations and Public Interest Disclosures Branch))

References:

- A. [Defence Instruction Administration and Governance Provision AG4 – Incident reporting and management](#)
- B. [ADF Incident Management Playbook](#)
- C. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(Smart Forms Interim Approved Processes\)](#)
- D. [Army Standing Instruction \(Personnel\) Part 12 Chapter 10 - Management of Incidents within Army](#)
- E. [Army Order 2026/27 – Annex A – G0 Army](#)
- F. [Air Force Standing Instruction \(Administration\) 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, Ongoing or N/A and provide Comments as required.
2. Auditor to ensure they are familiar with the definition of a Notifiable Incident in accordance with **Ref A**.
3. Consult AA to identify which incidents are being reviewed to ensure Item 1 Table in this DA checklist mirrors Item 15 in AA checklist Table A.
4. The AA has an item to audit under incident reporting which may include Notifiable Incidents.
5. The DA is to audit those class of NIs which must be referred to a Defence Investigative Authority and have a military justice nexus that is listed in Table A.

Number	Question	Comments
Notifiable Incidents		
3.0	Number of Notifiable Incidents that must be referred to a Defence Investigative Authority: (Ref A, AG4.5 & NI definition on page 16-17)	How many: Which incidents (Table A)?
3.1	Any incidents that should have been treated as Notifiable and reported to a Defence investigative authority but weren't?	Which incidents (Table A)? Yes ☐ No ☐ N/A ☐ Note:
3.2	Do unit staff members appear aware of reporting procedures and responsibilities? (Ref A, AG4)	Yes ☐ No ☐ Note:
3.3	Is guidance provided to Duty Members if NI require reporting after hours?	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Reporting					
3.4	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A Was the Notifiable Incident (NI) <u>reported</u> as soon as practicable/within 24hrs of commencing duty? (Refs A and B; Service specific policy Refs C, D, E, F)	CIN: Yes ☐ Date: No ☐ Note:	CIN: Yes ☐ Date: No ☐ Note:	CIN: Yes ☐ Date: No ☐ Note:	CIN: Yes ☐ Date: No ☐ Note:
3.5	On reasonable suspicion that a NI had occurred, was it immediately reported to a Defence Investigative Authority (DIA)? (Ref A, AG4.5 & DIA definition on page 16)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
3.6	Support officer appointed for involved / affected members? <i>Note: Must be in writing for Army and Air Force.</i> (Refs D, E, F)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Recording					
3.7	DECMS ID:	ID:	ID:	ID:	ID:
3.8	Date of incident: Date unit advised / became aware:	Date:	Date:	Date:	Date:
3.9	Date incident recorded:	Date:	Date:	Date:	Date:
3.10	Was the NI <u>recorded</u> as close to the time of the incident as practicable (via DECMS)? (Refs A and B; Service specific policy Refs C, D, E, F)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
3.11	Sufficient Information recorded? (if available and lawfully disclosable) <i>Note: e.g. details of incident, identity of pers managing incident, actions taken, further action required.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
3.12	If incident reported elsewhere (e.g. JMPU, other unit) were there links to other relevant information/DECMS incidents/cases? If linked/related to other unit incidents – include here. LINK: Table A	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
3.13	If further action required, were updates recorded in DECMS? (Ref A, AG4.4) Include in note when / how often.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
3.14	If no further action required, was the matter closed? (Ref A, AG4.4)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
DIA referral back to unit (if applicable)					
3.15	If referred back from the DIA, did the unit take any further action? <i>Note: cross check with AA if any outcomes involved administrative action</i>	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 4 – Discipline investigations

References:

- A. [Summary Discipline Manual \(2022\)](#)
- B. [Military Personnel Manual \(MILPERSMAN\)](#)
- C. [Defence Instruction Administration and Governance Provision AG4 – Incident reporting and management](#)
- D. [Navy Directive 13/2024 – Navy DECMS Reporting Guidance Update \(Smart Forms Interim Approved Processes\)](#)
- 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. [ADF Incident Management Playbook](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required.
2. Choose 4 samples from unit discipline investigations. If there are not 4 unit investigations, include JMPU investigations.

Number	Question	Comments
Discipline Investigations		
4.0	Number of investigations conducted by unit personnel in review period: <i>Note: Crosscheck Notifiable Incident reporting and referral back to unit by a DIA.</i>	
4.1	Number of investigations referred to JMPU in review period:	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sample of Investigations Conducted by Unit					
4.2	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
4.3	Subject matter (brief)				
4.4	Rank / Surname / PMKeyS of accused:				
4.5	Date of alleged Offence. Any delay between date of offence and date reported?	Date: Yes ☐ No ☐ Note:	Date: Yes ☐ No ☐ Note:	Date: Yes ☐ No ☐ Note:	Date: Yes ☐ No ☐ Note:
4.6	Immediate reporting Obvious discipline/criminal; offence within summary authority jurisdiction? (Ref A, Ch 3, paras 3.30-32)	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
Initial investigation by unit					
4.7	Reasonable belief that a service offence has been committed? <i>Note: E.g. Did the investigation identify, based on a reasonable belief, whether the alleged misconduct would support charges being laid?</i> (Ref A, Ch 4, para 4.14)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.8	If initial, was suspected offender questioned and cautioned? (Ref A, Ch 3, paras 3.6(k) & 3.35 and Ch 4, para 4.20(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.9	Format; with Evidence to support charges (Ref A, paras 4.16 & 4.22)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.10	Investigation recommendations? (Ref A, paras 3.6(l) & 4.24 and Annex P)	Ongoing ☐ Note:	Ongoing ☐ Note:	Ongoing ☐ Note:	Ongoing ☐ Note:
4.11	Conclusion. All appropriate steps. <i>Note: If no DFDA action recommended, check with AA for any administrative action.</i> (Ref A, Ch 4, para 4.27 and Annex N)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
Detailed investigation by unit					
4.12	If detailed, did it follow a Not Guilty plea? <i>Note: Detailed only occurs after Not Guilty plea. NOT required for every DFDA inv.</i> (Ref A, Ch 4, para 4.6)	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
4.13	Standard of proof met (beyond reasonable doubt)? <i>Note: Has all relevant evidence been collected to prove the contested facts beyond reasonable doubt/reasonable prospect of conviction?</i> (Ref A, Ch 4, para 4.30)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.14	Appropriate collection of evidence incl. Cautioning? (Ref A, Ch 4, para 4.36 and Annexes M & K)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.15	Anything exculpatory? (Ref A, Ch 4, paras 4.37 & 4.39-40)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.16	Was additional SME assistance sought? (Ref A, Ch 4, paras 4.6 & 4.42)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
JMPU Investigations (if applicable)					
4.17	Was matter referred back to unit to deal with?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.18	Did the unit receive monthly updates from JMPU? <i>Note: Requirement on part of JMPU – best practice for unit for follow up if not.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.19	Matters referred to ODMP? Date?	Yes ☐ Date: Note: No ☐	Yes ☐ Date: Note: No ☐	Yes ☐ Date: Note: No ☐	Yes ☐ Date: Note: No ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
4.20	If matter referred to a Superior Tribunal, was a Welfare Board considered from the accused, complainant or key witnesses? (Ref B, Part 3, Ch 6, para 6.15)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.21	For investigations for serious offences, was an Individual Welfare Board convened? <i>Note: If appropriate under the circumstances (e.g. if a member is under investigation for a serious offence, member may not be aware therefore IWB may not be appropriate).</i> (Ref B, Part 3, Ch 6, para 6.21)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
General requirements					
4.22	Was appropriate support provided to the member/s involved? (Navy - Ref D, Enclosure 1, 'Appoint a Support Officer'.) (Army - Ref E, Appendix 2, para 5(g) – An SO must be appointed in writing to a complainant and respondent.) (Air Force - Ref F, para 41 – An SO is to be offered to complainants/respondents, may be offered to witnesses/impacted members; Annex B – appointments in writing.)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.23	When concluded? (time for both an initial and detailed) Did the time taken reasonably reflect the complexity of the matter?	Date: Note: Yes ☐ No ☐ N/A ☐ Note:	Date: Note: Yes ☐ No ☐ N/A ☐ Note:	Date: Note: Yes ☐ No ☐ N/A ☐ Note:	Date: Note: Yes ☐ No ☐ N/A ☐ Note:
4.24	What action did the unit take on receipt of investigation? Was there a record kept on action (best practice governance)?	Note: Yes ☐ No ☐ N/A ☐ Note:	Note: Yes ☐ No ☐ N/A ☐ Note:	Note: Yes ☐ No ☐ N/A ☐ Note:	Note: Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
4.25	Confidentiality and privacy? (Sensitive: personal) (Ref A, Ch 3, para 3.26)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.26	Was it a Notifiable Incident? (Ref C, AG4, NI definition)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
4.27	Was the investigation correctly recorded in DECMS? (Ref B, 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 5 – Suspensions under the DFDA and Command Power

References:

- A. [Defence Force Discipline Act 1982 \(Cth\)](#)
- B. [Defence Force Discipline Regulations 2018](#)
- C. [Summary Discipline Manual \(2022\)](#)
- D. [Defence Force Discipline Act Law Manual \(13 Dec 22\)](#)
- E. [Military Personnel Manual \(MILPERSMAN\)](#)
- F. [Navy Directive 14/2021 - Suspension of members from Duty](#)
- G. [Army Order 2026/27 – Annex A – G0 Army](#)
- H. [Air Force Standing Instruction \(Administration\) 11-01 - Incident Reporting and Management in Air Force](#)
- I. [DSIM – Air Force – Guide to Incident Management – Air Force](#)
- J. [Form B02 – Suspension from duty of member suspected of having committed a service offence](#)
- K. [Discipline Instruments Register](#)

Supplementary References:

- L. [Defence Regulation 2016](#)

Instruction:

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

Number	Question	Comments:
Suspensions		
5.0	No. of Suspensions (DFDA) (Ref A, DFDA s98 and s99)	
5.1	No. of Suspensions under authority of command power (Army and Air Force) <i>Note: Navy do not have a policy on command power based suspension, however this does not mean Navy is prevented from using a command power.</i> (Ref C, Annex I, para 3) (Ref E, Part 9, Ch 1, paras 116-117) (Army - Ref G, Flag B to Appendix 2 to Annex A)) (Air Force - Ref H, paras 32(a) and 33-35; Ref I)	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sample of Suspensions, s98(2) under investigation for a service offence					
5.2	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
5.3	Rank / Surname / PMKeyS of member:				
5.4	Was suspension from duty considered for member suspected of committed offence and DFDA investigation ordered? (Ref D, Ch 4, para 4.63(a) and Annex 4A; Ref 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
	Note: no power to suspend on suspicion of civilian offence. (Ref C, Annex I, para 17; Ref J (Form B02))				
5.5	If suspended while under investigation – (Ref C, Annex I, paras 9-17) • sufficient information and reasonable time to respond? (Ref C, Annex I, para 15) • remunerated (Ref C, Annex I, para 10) • Notice form – Form B2 (Ref C, Annex I, Enclosure 3) Service of notice of suspension – in accordance with DFD Reg (Ref B, s41)?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.6	Delegation in place? (Ref K)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.7	Suspension reviewed monthly? (Ref E, part 9, Chap 1, para 1.19 and 1.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.8	Suspension cease date and reason?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.9	Was the member charged? • If yes, suspension may continue • if no, suspension must cease Note: If member charged – auto change to DFDA section s 98(1) (Ref C, Annex I, para 12-13)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.10	Suspension recorded in the relevant archival records system/s (i.e. <i>Objective / DECMS</i>)? (Ref E, Part 9, Ch 1, para 1.46 and Part 9, Ch 8, paras 8.7-8.9)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Suspension from Duty, s 98(1) DFDA (on charge for a civil or service offence)					
5.11	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
5.12	Rank / Surname / PMKeyS of member:				
5.13	Reason for consideration of suspension from duty? when charged with an offence? (Ref C, Annex I; Form B3 (AD899)) <i>Note: If so, then procedural fairness must be met.</i>				
5.14	If suspended while on charge: (Ref C, Annex I, para 18-27) - Notice form (Ref C, Annex I, enclosure 4) - Did the Notice provide sufficient time to respond? (Ref C, Annex I, para 15) Service of notice of suspension – in using DFDA Form B3 ‘Suspension from Duty of Member Charged with Offence’? (Ref B, s41)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.15	If suspended while on charge, was there a direction for remuneration (discretionary)? <i>Note: Remuneration is <u>not</u> automatic and requires the relevant authority to be satisfied the member is suffering or has suffered financial hardship as a result of the suspension.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.16	Delegation in place? (Ref K)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.17	Suspension reviewed monthly? (Ref E, part 9, Chap 1, para 1.19 and 1.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.18	Suspension cease date and reason? (Ref C, Annex I, para 21)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.19	Suspension recorded in in the relevant archival records system/s (i.e. Objective / DECMS)?	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref E, Part 9, Ch 1, para 1.46 and Part 9, Ch 8, paras 8.7-8.9)				
DFDA Suspension - Suspension from Duty, s 99 DFDA (on conviction)					
5.20	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
5.21	Rank / Surname / PMKeyS of member:				
5.22	Was suspension from duty considered? pending review of punishment (DFDA or civ offence)? (Ref D, para 8.41) <i>Note: If so, then procedural fairness must be met.</i> (Ref D, para 8.43)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.23	If suspend while on conviction: - Did the Notice provide sufficient time to respond? (Ref D, Ch 8, paras 8.41-46) - Remuneration is not automatic. Was there a direction for remuneration (discretionary)? (Ref D, Ch 8, para 8.46(b)) <i>Note: requires the relevant authority to be satisfied the member is suffering or has suffered financial hardship as a result of the suspension.</i> Service of notice of suspension – in accordance with DFD Reg? (Ref A, s98(6), Ref B s41)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.24	Delegation in place? (Ref K)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.25	Suspension reviewed monthly? (Ref E, part 9, Chap 1, para 1.19 and 1.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.26	Suspension cease date and reason?	Date: Note:	Date: Note:	Date: Note:	Date: Note:
5.27	Suspension recorded in the relevant archival records system/s (i.e. Objective / DECMS)? (Ref E, Part 9, Ch 1, para 1.46 and Part 9, Ch 8 paras 8.7-8.9)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
5.28	Was the member subject to Early End of Service? <i>Note: Determine if AA reviewing the Early end of Service.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Suspension from Duty, Army and Air Force – Command Power					
5.29	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
5.30	Rank / Surname / PMKeyS of member:				
5.31	Why was suspension from duty considered?	Note:	Note:	Note:	Note:
5.32	If member suspended, check the reason for decision was documented and communicated to the member and was fair and reasonable in all the circumstances. (Army Ref G, Flag B to Appendix 2 to Annex A)	Date: Accuracy: Who appoint:	Date: Accuracy: Who appoint:	Date: Accuracy: Who appoint:	Date: Accuracy: Who appoint:
5.33	Suspension regularly reviewed as best practice?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.34	Legal advice obtained? (Mandatory for Army – (Ref G, Appendix 2 to Annex A, para 14 (page A2-7))) <i>Note: Not required for Air Force or Navy, best practice suggestion only.</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
5.35	Suspension cease date? Suspension should only be used as an interim measure or in the short to medium term. (Army Ref G, Flag B to Appendix 2 to Annex A, para 5) (Air Force Ref I, Table 1, para 7; Table 3, paras 4 & 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 6 – Disciplinary Infringement Scheme

References:

- A. [Disciplinary Infringement Manual \(2022\)](#)
 B. [Defence Force Discipline Forms Register](#)
 C. [Defence Force Discipline Act 1982 \(Cth\)](#)

Supplementary References:

- D. [Military Personnel Manual \(MILPERSMAN\)](#)
 E. [Defence Force Discipline \(Consequences of Punishment\) Rules 2018 \(For minor punishments\)](#)
 F. [Disciplinary Infringement Scheme – Resources](#)
 G. [Navy Directive 11-2022 - Interim Arrangements for Disciplinary Infringement Archiving and Record Management](#)

Instructions:

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

Number	Question	Comment
Disciplinary Infringements		
6.0	No. of Infringements	
6.1	Number of infringement notices (INs) in review period:	DO: SDO:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sample of Disciplinary Infringements					
6.3	Rank / Surname / PMKeyS of member (to check DECMS)				
6.4	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A Any Related DECMS incident?	CIN: CIN: Or N/A ☐	CIN: CIN: Or N/A ☐	CIN: CIN: Or N/A ☐	CIN: CIN: Or N/A ☐
6.5	Subject of infringement [very brief description only]				
Infringement Officer Actions: (Ref A, Ch 3; Ref C s 9E)					
6.6	Check IO authorised = Form A3 (Ref A, Ch 2, para 2.2(c))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
6.7	Initial consideration by the IO: (Ref A, Ch 3, paras 3.3 & 3.4, Ref C s 9E)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
6.8	Reasonable grounds mbr committed IN?	Yes ☐	Yes ☐	Yes ☐	Yes ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Ch 3, paras 3.5-3.10, Ref C s 9E(1),(2))	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:
6.9	No reasonable excuse? (Ref A, Ch 3, paras 3.11-3.14; Ref C s 9E(1)(b))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
6.10	Appropriate to deal under DIS? (Ref A, Ch 3, para 3.15)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
6.11	Disciplinary Infringement Notice Information page issued with C1 (to mbr) (Ref A, Ch 3, paras 3.31-3.33)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.12	Only one Infringement (max two per incident) (Ref A, Ch 3, para 3.21)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.13	Adequate statement of alleged contravention (Ref A, Ch 3, para 3.28)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.14	Election period DTG stated (Ref A, Ch 3, para 3.29, 24-48 hours) Any extension? (Ref A, Ch 3, para 3.35)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.15	Election recorded? (Ref A, Ch 3, para 3.36)	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
6.16	Did the IO refer to different person to perform functions of Discipline Officer/Senior Discipline officer? (Ref A, Ch 3, paras 3.23-24)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.17	Form C1, Part 1 completed (Ref A, Ch 3, para 3.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.18	Part 1 signed by IO and member? (Ref A, paras 3.37-38)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.19	Action taken if member did not elect to be dealt with under the DIS? (Ref A, Ch 3, para 3.41-43)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Discipline Officer & Senior Discipline Officer Actions: (Ref A, Chs 4, 5 and 6)					
6.20	Check DO/SDO been authorised = Form A4/A5 (Ref A, Ch 2, paras 2.2(a) & (b), 2.3 & 2.4)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.21	Appropriate to deal? (Ref A, Ch 4, para 4.13 & Ch 9 Annexes 9C & 9D)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.22	Was the IN deferred, referred, amended by the DO? (Ref A, Ch 4, paras 4.19 & 4.22)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.23	Any stmts/docs presented by mbr? (Ref A, Ch 4, para 4.21)	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
	Any mitigation? (Ref A, Ch 4, para 4.24)	Note:	Note:	Note:	Note:
6.24	Decision made? Any reasonable excuse? (Ref A, Ch 4, paras 4.27 and 4.29)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.25	Any behaviour concerns noted at Part 2G? • Member's supervisor de-briefed & noted on C1 (Ref A, Ch 4, para 4.40)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.26	Are all Parts completed correctly, dated and signed by DO/SDO? (Ref A, Ch 4, para 4.37; Form C1 - Parts 2F and 2G)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.27	For SDO: CO Review of SDO decision within 48h (Ref A, Ch 5, para 5.5)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.28	CO decision cfm, subst or dismiss (Ref A, Ch 5, para 5.6)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.29	Any substituted punishment? (Ref A, Ch 5, para 5.8)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.30	Punishments lawful and within DIS limits? (Ref A, Ch 4, para 4.27(c) and Ch 9 Annexes 9F & 9G)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.31	If fine – Form E8 (Ref A, Ch 6, para 6.5), sent to Defence Pay and reference number noted on C1 (Ref A, Ch 6, para 6.7).	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: <i>Fine from SDO should not be actioned until after CO review</i> (Ref A, Ch 6, para 6.6).	Note:	Note:	Note:	Note:
6.32	Form A9 – Authorised members for the administration of minor punishments (Ref A, Ch 2, para 2.6; Ref B, Form A9)				
6.33	Minor punishments (Restriction of Privileges, Stoppage of leave, extra duties, drill)? (Ref A, Ch 6, paras 6.12-6.32 and Table 1)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.34	Implementation of punishments noted on C1, Part 4? (Ref A, Ch 6, paras 6.4, 6.8 & 6.13)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Records management: (Ref B, Chs 7 and 8)					
6.35	Part 7 - Have all relevant admin been completed and noted on C1?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.36	DECMS Data Entry (Ref A, Ch 4, para 4.43, Ch 7, paras 7.8 & 7.10, and Ch 8, paras 8.2 & 8.4. Note references have not been updated to DECMS.)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.37	Copy completed C1 to infringed member (Ref A, Ch 4, para 4.44 & Ch 7, para 7.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.38	Archival events (Ref A, Ch 7, para 7.11) Note: <i>Does the DO mandatory Assessment contain comments?</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.39	Submission of DO Monthly Reports (Form A8)	Yes ☐	Yes ☐	Yes ☐	Yes ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref C, s 9JA; Ref A, Ch 8, para 8.5. Retention on unit's files until <u>archiving</u> ; Ch 7, para 7.7(c). Nil returns not required, Ch 8, para 8.7)	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:	No ☐ N/A ☐ Note:
6.40	Is the CO reviewing the DO Monthly reports? (Ref A, Ch 8, para 8.1)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.41	On CO review, are DO monthly reports being archived to the Service HQ? (Ref A, Ch 7, para 7.11(b))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.42	Retention of records (digitised): C1, supporting evidence, A8 (Ref A, Ch 7, paras 7.7 & 7.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
6.43	Does the unit have a process for ensuring archival events are monitored/actioned?	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 7 – Summary Proceedings

References:

- A. [Summary Discipline Manual \(2022\)](#)
- B. [Defence Force Discipline Act Law Manual \(13 Dec 22\)](#)
- C. [Defence Force Discipline Act 1982 \(Cth\)](#)
- D. [Summary Authority Rules 2019](#)
- E. [Military Personnel Manual \(MILPERSMAN\)](#)
- F. [DGMLS Directive 5/2024 – Technical Requirements for Legal Reports on Summary Authority Proceedings](#)
- G. [Army Order 2026/27 – Annex A – G0 Army](#)
- H. [Air Force Standing Instruction \(Administration\) 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, Ongoing or N/A** and **provide Comments as required.**

Number	Question	Comments
Summary Proceedings		
7.0	What is the number, selection, experience, training, and competence of Unit Defending & Prosecuting Officers?	DO: PO:
7.1	No. of proceedings conducted in review period: CO	
7.2	No. of matters referred in review period to	Another CO: SUPSA: DMP: DISMISSED:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Form C2 – CO hearing - Selection of trials					
7.2	Subject of charge / (DFDA s)				
7.3	Rank / Surname / PMKeyS Accused:				
7.4	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
Pre-Trial Matters - Drafting and Issuing Charges (Ref A, Ch 5)					
7.5	Was the member who issued the charge an authorised member? <i>Note: Charged Members are provided their rights and obligations including Privacy Notice as part of the Form C2</i> (Ref A, Ch 5, para 5.25); (Ref B, para 6.20 Form A7)				
7.6	Support for everyone involved	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Ch 3, paras 3.24-25) Note: <i>In writing for Army and Air Force</i> (Army - Ref G, Appendix 2, para 5(g) and 11) (Air Force – Ref H, para 41 & Annex B)	Note:	Note:	Note:	Note:
7.7	Must Commence dealing 14 days from date charged unless exceptional circumstances. If delayed beyond 21 days, was it reported to higher headquarters for advice? (Ref A, Ch 5, para 5.21(b)(3) and Annex U)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.8	Charge properly drafted? (Ref A, Ch 5, paras 5.16, 5.20 & 5.21)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.9	Was the Prosecution outline prepared for each charge? (Ref A, Ch 5, para 5.21(a), Annex K)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.10	Charges amended? (Ref A, Ch 5, para 5.29(a))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.11	Referral of charges to DMP? (Ref C, s105A(2); Ref A, Ch 5, para 5.29(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.12	Prosecuting Officer or Defending Officer received training prior to exercising their authority? Note: <i>This can be formal (LXP) or informal training (Just-in-time).</i> (Ref A, Ch 2, para 2.36)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Trial Proceedings (Ref A, Ch 6; Ref B, Ch 8)					
7.13	Correct procedures? All parts of the C2 completed?	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	(Ref A, Ch 6)	N/A ☐ Note:	N/A ☐ Note:	N/A ☐ Note:	N/A ☐ Note:
7.14	Hearing standards of fairness (Ref A, Ch 6, para 6.6)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.15	Any applications? (Ref A, Ch 6, paras 6.17-19)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.16	Pre-Trial / 'upfront' election • LTCOL(E) and above • LTCOL(E) and below for non-Sch 1A offences (Ref A, Ch 5, para 5.21(b)(1), Ch 6, paras 6.21-22 and Annex U) Did CO offer up to 24h to decide? (Ref A, Ch 6, para 6.23)	Yes ☐ No ☐ N/A ☐ Note: Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note: Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note: Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note: Yes ☐ No ☐ N/A ☐ Note:
7.17	If election, must be referred to ODMP (Ref A, Ch 6, para 6.24)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.18	Decision to proceed, C2 Part 8 completed? (Ref A, Ch 6, paras 6.25-27)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.19	Referral to another summary authority?	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
7.20	Taking pleas: Guilty or Not guilty (Ref A, Ch 6, paras 6.28-32)	G ☐ Note: NG ☐ Note:	G ☐ Note: NG ☐ Note:	G ☐ Note: NG ☐ Note:	G ☐ Note: NG ☐ Note:
7.21	If not guilty plea, Summary authority must check whether further time is required to prepare for a hearing and complete any detailed investigation tasks. <i>Note: If prepared hearing can continue.</i> (Ref A, Ch 6, para 6.33)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.22	Did the unit/JMPU do a detailed investigation? <i>Note: if unit investigation, ensure link to Item 4.</i>	Yes ☐ No ☐ DECMS ID (if known):	Yes ☐ No ☐ DECMS ID (if known):	Yes ☐ No ☐ DECMS ID (if known):	Yes ☐ No ☐ DECMS ID (if known):
7.23	Not guilty only - Audio recording made of NG contested hearing, transcribed and filed electronically on unit register? (Ref D, SAR rule 41; Ref A, Ch 6, para 6.71 & Ch 7, para 7.17)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.24	In trial election, if required: (Ref A, Ch 5, para 5.21(b)(1), Annex U)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.25	Decision to acquit / convict (Ref A, Ch 6, paras 6.46-47)	Acquit ☐ Convict ☐ Ongoing ☐	Acquit ☐ Convict ☐ Ongoing ☐	Acquit ☐ Convict ☐ Ongoing ☐	Acquit ☐ Convict ☐ Ongoing ☐
Other Considerations					
7.26	Was the CO involved in the investigation of the offence, the issuing of the warrant for arrest, or charging the accused member? (Ref C. s.108A)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Punishments					
7.27	Prosecuting officer: • Submissions on punishment (Ref A, Ch 6, para 6.50; Ref D, Part 6 SA Rules) submits ADO service record, pay slip, etc.	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, Ch 5, para 5.38)	Note:	Note:	Note:	Note:
7.28	Defence: mitigation of punishment (Ref A, Ch 5 paras 5.55-56, Ch 6, para 6.51, and Annexes R & V)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.29	Lawful punishment / Orders? (Ref A, Ch 6, paras 6.56-66 and Annex Z; Ref B, Ch 10) If so, - Form E8 for a fine - Form E3 for detention (Ref A, Annex AA) - Form E2 undertaking of good behaviour	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.30	CO completes & signs all C2 entries (Ref A, Ch 6, para 6.70, Annex W para 10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Automatic Command Review (DFDA = NLT 30 days, Ref A)					
7.31	Referral of document for review (Ref A, Ch 7, para 7.2; Ref B, Ch 11)	Date:	Date:	Date:	Date:
7.32	154 legal report provided to reviewing authority within 7 days. (Ref C, s154; Ref A, Ch 7, para 7.7)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.33	Legal Officer complete Form C2 Part 16B	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.34	154 report filed in Objective/DECMS <i>Note: Check with Legal Officer</i> (Ref A, Ch 7, para 7.18; Ref E, Part 9, Ch 8)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.35	Is Legal Officer LL3 (unless otherwise permitted) <i>Note: If the legal level has not been complied with, this can be raised</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>separately to DGMLS (via DMJPR) as unit may not be aware of the requirement. Non-compliance would not amount to a significant variation for the unit in and of itself.</i> (Ref F)				
7.36	Automatic command review w/in 30 days (Ref C, s152(1)) <i>Note: There is a policy restriction that requires the automatic review to occur within 7 days where the reviewing authority is below O6 rank or 14 days where reviewing authority is O6 or above.</i> (Ref A, Ch 7, para 7.9) and recorded on C2 (Ref A, Ch 7, para 7.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Post-Trial Administration (not to exceed 28 days – ref D)					
7.37	Member received copy of C2: signed Ack (as evidence of notice of review) (Ref A, Ch 7, para 7.13) Electronic ID reference (Ref A, Ch 7, para 7.14) within 30 days or as soon as practical (Ref C, s152(4), Ref A, Ch 7, para 7.11) <i>Note: Unit kept an email of sending completed C2 to accused?</i>	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.38	If convicted, Documents (signed C2, support evidence, legal report) filed: on PD103 (Ref A, Ch 7, para 7.15) audio records (Ref A, Ch 7, para 7.17)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.39	If filed electronically, Form C2 include reference of location (objective ID)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.40	Was the punishment/s actioned? E.g. ROPs carried out? (Ref A, Ch 7, para 7.22)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.41	If punishment of fines, check recorded on Form C2	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
	Note: Form E8 signed and sent.	N/A ☐ Note:	N/A ☐ Note:	N/A ☐ Note:	N/A ☐ Note:
7.42	Summary results published? Note: If so, check what has been published. (Ref B, Ch 8, para 8.38)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.43	DECMS entry detailed / closed appropriately Note: quality of reporting. (Ref E, Part 9 Chapter 8, para 8.7 – 8.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
7.44	Has any inappropriate documentation filed on PD103? (E.g., not guilty proceedings). (Ref A, Ch 6, para 6.47(2)(d))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Elective Review (Ref A, Ch 8)					
7.45	Any elective review (petition) filed? (Ref A, Ch 8, para 8.5) - Lodged within 30 days? - Reviewed within 30 days? - Legal report? - Outcomes notified?	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 8 – Unit / Area Detention Centres

References:

- A. [ADF Detention Manual \(DETMAN\), dated January 2025](#)
- B. [Defence Force Discipline Regulations 2018](#)
- C. [Discipline Forms Register](#)

Supplementary References:

- D. [Defence Force Discipline Act 1982 \(Cth\)](#)
- E. [Summary Discipline Manual \(2022\)](#)

Instructions:

1. Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required.
2. **Note:** ALL fields mandatory if unit operates a Detention Centre.

Number	Question	Comments
8.0	DC Type (unit, area or corrective DC?) (Ref A, paras 1.25-27) Note: Detention in UDC must not exceed 7 days, Detention in ADC must not exceed 14 days. Note: Ref B s7 Definitions – defines unit detention centre as a detention centre that is of a standard that the Chief of Defence Force, service chief or an authorized officer considers suitable for detaining a detainee for a period not exceeding 7 day and corrective detention centre as a detention centre that is of a standard that the Chief of Defence Force, service chief or an authorized officer considers suitable for detaining a detainee for any period.	
8.1	CO appointment of unit DC Note: The CO of a unit that operates a unit detention centre is deemed to be the CO of that detention centre.	Yes ☐ No ☐ N/A ☐ Note:
8.2	Form H1 – Officer in charge Note: CO must authorise member or class of members. (Ref A, Compliance Guide, Ref C)	Yes ☐ No ☐ N/A ☐ Note:
8.3	Form H2 – Visiting officer Note: Authorised officer appoint at least one VO. (Ref A, Compliance Guide, Ref C)	Yes ☐ No ☐ N/A ☐ Note:
8.4	Form H3 - Person Authorised to Open Correspondence Note: Issued by OIC Detention Centre.	Yes ☐ No ☐

Number	Question	Comments
	(Ref A, Compliance Guide, Ref C)	N/A ☐ Note:
8.5	Form H4 / H4A- Authorized Persons for directing (form H4) or for conducting searches (Form H4A) of charged member held in detention. <i>Note: Issued by Commanding Officer.</i> (Ref A, Compliance Guide, Ref C)	Yes ☐ No ☐ N/A ☐ Note:
8.6	Form H5 – Release from custody (Ref A, Compliance Guide, Ref C)	Yes ☐ No ☐ N/A ☐ Note:
8.8	Were searches conducted by an authorised officer conducted in the presence of at least 2 other authorised officers or authorised members? (Ref A)	Yes ☐ No ☐ N/A ☐ Note:
8.9	Frequency of inspections <i>Note: (Ref A para 1.9) states ADF detention centres shall be inspected by CJC not less than annually and as required to ensure compliance)</i> <i>Note: Date of last certification by authorised officer.</i>	
8.10	Are all forms listed above, including the Form H7, displayed on the wall or notice board within the detention facility? (Ref A, Compliance Guide)	Yes ☐ No ☐ N/A ☐ Note:
8.11	Has the CO published Standing Orders annually? (Ref A, para 1.31(k), Compliance Guide)	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 9 – Corrective Training

References:

A. [Military Personnel Manual \(MILPERSMAN\)](#)

Supplementary References:

B. [Defence Instruction Administrative Policy](#)

Instructions:

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

Number	Question	Comments
Corrective Training		
9.0	Is CT conducted at the unit?	Yes ☐ No ☐ Note:
9.1	How many instances of CT during period?	
9.2	Unit have a CT Directive? <i>Note: Auditor to note name of Directive.</i>	Yes ☐ No ☐ N/A ☐ Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Conduct of Corrective Training					
9.3	Ordered by E5 rank (CPL) and above in member's chain of command (Ref A, Part 8, Ch 7, para 7.10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
9.4	Does CT directly and reasonable relate to unsatisfactory performance identified? (Ref A, paragraph 7.12) - additional training outside ordinary duties (Ref A, Part 8, Ch 7, para 7.5(b)) - appropriate, (Ref A, Part 8, Ch 7, para 7.8)	Yes ☐ No ☐ Note: (Include short description of CT):	Yes ☐ No ☐ Note: (Include short description of CT):	Yes ☐ No ☐ Note: (Include short description of CT):	Yes ☐ No ☐ Note: (Include short description of CT):

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
9.5	If group CT: has each member failed to perform to a satisfactory standard (Ref A, Part 8, Ch 7, para 7.9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
9.6	CT occur reasonable timeframe: • between time of 'error' and CT being conducted • length of CT performed is reasonable to correct deficiency. (Ref A, Part 8, Ch 7, para 7.13)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Recording of Corrective Training					
9.7	If CT is carried out, must raise a Monthly Register (Form AF244) (Ref A, Part 8, Ch 7, para 7.14)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
9.8	Must be reviewed by the CO (Ref A, Part 8, Ch 7, para 7.14)	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 10 – Records of civilian offences, diversionary programs and recordable convictions

References:

- A.
- [Military Personnel Manual \(MILPERSMAN\)](#)

Supplementary References:

- B. [Defence Instruction Administrative Policy](#)
 C. [Australian Naval Policy 4104 Part 9, Chapter 7 Reporting, Recording and Dealing with Civil Offences, Service and Civil Convictions and Diversionary Programs](#)
 D. [Navy Australian Fleet General Order 102 Discipline and Administrative Law and Ancillary Matters, Ch 2, p9 102.84-86](#)
 E. [Army Order 2026/27 – Annex A – G0 Army](#)
 F. [Air Force Standing Instruction \(Administration\) 11-01 Incident Reporting and Management in Air Force](#)

Instructions:

- Auditor to provide a response in each of the samples boxes. I.e. Select either **Yes, No, Ongoing or N/A** and **provide Comments as required**.
- Do not include here Sexual Offences – they are to be addressed at Item 11.

Number	Question	Comments
Civil Charges / Convictions		
10.0	No. of Civil Charges in review period:	
10.1	No. of Civil Convictions in review period:	
10.2	How many diversionary programs ?	

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sample of Civil Charges / Convictions					
10.3	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A <i>Note: If civil charge/conviction linked with protection order, cross check with Item 12.</i>	CIN:	CIN:	CIN:	CIN:
10.4	Nature of civil charge/conviction				
10.5	PMKeyS & RANK of member				
Reference A Mandatory Actions:					
10.6	Member advise command within 24 hours of arrest / charge and a Form PD052 raised by member or the unit (Ref A, Part 9, Ch 7, para 7.7(a))	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
10.7	Date of matter reported to unit:	Date:	Date:	Date:	Date:
10.8	Has the unit confirmed that the member advised AGSVA within 24 hours of return to duty of arrest / <u>charge</u>? (Ref A, Part 9, Ch 7, para 7.7(b))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
10.9	Unit liaise with JMPU? (Ref A, Part 9, Ch 7, para 7.8(c))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
10.10	If referred to/from JMPU – JMPU reference: (e.g. IR-ADF01-etc)				
10.11	CO responsibilities: (Ref A, Part 9, Ch 7, para 7.8) a. Is the matter a notifiable incident b. Liaise with JMPU for CIVPOL co-ord c. if drugs, refer MILPERSMAN, Part 4, Ch 3) d. consider admin action (including suspension) e. u18 reporting duties? f. Access to weapons g. Inform CMA. Check with AA if reviewing this matter for administration action	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Recording					
10.12	Information is to be recorded on DECMS (Ref A, Part 9, Ch 8, paras 8.7-9)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
10.13	If conviction is spent, have records been annotated e.g., PD103/DECMS? (Ref A, Part 9, Ch 8, para 8.10) Note: Care needs to be exercised in this space, as records should not be removed, but merely annotated. Certain exemptions exist that allow 'spent convictions' to be used when considering whether to prosecute and making submissions and decisions as to sentence. The spent	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>convictions scheme is set out in Part VIIC of the Crimes Act 1914 (Cth) and in the Crimes Regulations 1990 (Cth). Reg 8 and Sch 4 of the Crimes Regulations provides exemptions from the operation of the Act – the more pertinent exemption is at item 3 of Sch 4.</i>				
10.14	PD052 record of civilian <u>charge</u> is to be placed on member's conduct record with updates, Except where: Member is arrested but not later charged, or where charges are dropped or member found not guilty, Form PD052 is removed from the PD103 (conduct record) and sent to Service Headquarters for archiving and/or disposal as appropriate. <i>Note: In circumstances where a member's civilian <u>charge</u> was 'dismissed' and member placed under a diversionary programme a copy of the Form PD052 is <u>not</u> to be placed on the member's conduct record because there is no finding of 'guilty' or a 'recordable conviction' to enliven a conduct record IAW MILPERSMAN.</i> <i>When administrative action is taken, a copy of Form PD052 is permanently retained by career management agency as supporting material accompanying the record of administrative action.</i> (Ref A, Part 9, Ch 7, para 7.11)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
DFM / Court Martials					
10.15	On conviction by DFM / CM: (Ref A, Part 9, Ch 7, para 7.13) - Attach conviction to member's PD103 Conduct Record - Send to CMA				

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...

2. X

3. X

Suggestions – Best Practices

1. Consider...

2. X

3. X

Item 11 –Reporting and Management of sexual offences

References:

- A. [Complaints and Alternative Resolutions Manual \(CARM\)](#)
- B. [Defence Instruction – Administration and Governance Provision AG4 – Incident reporting and management](#)
- C. [Defence Regulation 2016](#)
- D. [Defence Force Discipline Act 1982 \(Cth\)](#)
- E. [ADF Incident Management Playbook](#)

Supplementary References:

- F. [Public Interest Disclosure Act 2013 \(Cth\)](#)
- G. [Military Personnel Manual \(MILPERSMAN\) Part 9, Chapter 8 – Recording and Tracking of Conduct Matters](#)
- H. [Navy Directive 06/2023 - Notifying Affected Persons, Participants And Stakeholders of Administrative Inquiry, Fact Finding and other Complaint Process Updates and Outcomes \(23 Aug 23\)](#)
- I. [HMP Directive 08/2025 – Interim Career Management Policy – Management of Sexual Violence for Defence members and advice for Career Management Boards regarding sexual violence \(to be transferred to ADFPSIs\)](#)
- J. [CDF Order of the Day – Response to Sexual Violence Facilitated Discussions \(13 November 2025\)](#)

Instructions:

1. Sexual Violence (as defined in the ADF Incident Management Playbook) is a range of behaviours of sexual nature committed by force or intimidation, or are otherwise unwelcome. Includes, but is not limited to sexual discrimination, sexual harassment, sexual offences and the recording, photographing or transmitting of incidents of a sexual nature without the knowledge and consent of all parties.
2. Auditor to provide a response in each of the samples boxes. i.e. Select either **Yes, No, Ongoing or N/A** and **provide Comments as required.**

Number	Question	Comments
Sexual Violence matters		
11.0	How many alleged sexual offences were reported in the review period?	
11.1	Were any alleged sexual violence offences referred back to the unit from DMP/JMPU to be administered? <i>Note: for example, a complainant did not wish for the matter to be dealt with as a criminal / disciplinary matter and the unit considers alternate actions.</i> <i>Cross check with AA on unit actions.</i>	Yes No How many

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sexual Offences Reporting and Recording:					
11.2	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A <i>Note: If alleged sexual offence linked with protection order, cross check with Item 12.</i>	CIN:	CIN:	CIN:	CIN:
11.3	Nature of the alleged sexual offence:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
11.4	Date of alleged Incident: Date reported to unit:	Date: Date:	Date: Date:	Date: Date:	Date: Date:
11.5	Rank / Surname <u>Initial only</u> / PMKeyS: <i>Note: Privacy and confidentiality concerns with this sensitive information. Auditors to protect privacy of involved parties.</i>				
11.6	Was the alleged sexual offence reported on DECMS within 24 hours of commencing duty? (Ref A, Ch 9, para 9.3.0.5)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
11.7	Was the alleged sexual offence recorded as a notifiable incident? (Ref B, AG4; Ref E)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
11.8	Was the alleged sexual offence incident closed on DECMS? (Ref B, AG4.4(c))	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
11.9	If yes, was the incident closed in DECMS within 7 days of the action relating to the incident being finalised? (Ref A, Ch 3, para 3.4.0.5(7))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Sexual Offences Referral/Management:					
11.10	Was the alleged sexual offence correctly referred to JMPU? (JMPU will then liaise with CIVPOL where appropriate) <i>Note: SeMPRO not subject to mandatory reporting obligations for Notifiable Incidents.</i> (Ref A, Ch 9, para 9.3.0.3; Ref B AG4.2-4.4)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
11.11	Was alleged sexual offence responded to promptly and sensitively? (Ref A, Ch 9, para 9.0.0.1)	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
11.12	Was the Complainant informed of their ability to seek support services, or the advice of SeMPRO? (Ref A, Ch 9, Part 4, 9.4.0.5)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
11.13	Were all parties kept informed of the progress (status updates)? (Ref A, 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:
Sexual Offences Outcomes/Decision-Making:					
11.14	What was the outcome of the alleged sexual offence?				
11.15	Were all outcomes/actions (adverse or not) directed by command/JMPU/civilian police implemented and documented on DECMS? (Ref A, Ch 9, para 9.2.0.4(7))	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
11.16	Were outcomes provided to all parties involved? <i>Note: the unit may need to rely on JMPU/external CIVPOL agencies to provide outcome.</i> (Ref A, Ch 4)	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
11.17	Is there pending/finalisation of administrative action/sanction/separation? <i>Note: If the outcome is administrative action and/or separation, liaise with AA to ensure they are addressing, noting mandatory NPS-I for any Defence member who is found to have committed an act of sexual violence.</i>	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:	Yes ☐ No ☐ Ongoing ☐ Note:
11.18	Is there pending/finalisation of criminal or disciplinary action? <i>Note: If yes, ensure it is covered in the relevant item linked to Table A.</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
11.19	Was an interim Stop Sexual Harassment Direction made prior to or during? <i>Note: If yes, cross-check with AA on Item 21.</i> (Ref A, Ch 10)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
11.20	Navy only – Was an Interim Protective Measures Direction implemented? (See <i>Fleet Legal template hyperlinked</i>)	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 12 – Protection Orders

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)
- B. [Defence Instruction – Administration and Governance Provision AG4 – Incident reporting and management](#)
- C. [Complaints and Alternative Resolutions Manual](#)

Supplementary References:

- D. [Commanders and Managers Guide to Responding to Family and Domestic Violence](#)
- E. [Australian Naval Publications 4104, Part 9, Chapter 4, Protections Orders and Weapons Prohibitions Orders](#)
- F. [Navy Directive 06/2018 - Management of Alleged Perpetrators of Family and Domestic Violence](#)
- G. [DEFGAM 440/2025 Responding to Family and Domestic Violence – Updated Guidance for Personnel](#)

Instruction:

- Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required.
- If the imposition of a Protection Order leads to administrative sanction, the DA will need to liaise with the AA

Number	Question	Comments
Protection Orders		
12.0	No. Protection Orders in review period:	Against: For protection: Both Against and for protection:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Sample of Protection Orders					
12.1	Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A <i>Note: If PO linked to civil conviction, cross check with Items 10 and 11.</i>	CIN:	CIN:	CIN:	CIN:
12.2	PMKeyS, RANK, surname of member				
12.3	Reason for PO (e.g. domestic violence). Against (respondent) and/or for protection?	Reason: Respond. ☐ Protect. ☐	Reason: Respond. ☐ Protect. ☐	Reason: Respond. ☐ Protect. ☐	Reason: Respond. ☐ Protect. ☐
In the event of a PO against a unit member, did the unit: (all tasks below are mandatory) (Ref C, paragraph 4.20)					
12.4	Member advise command within 24 hours of PO & Updates (PD052) (Ref A, Part 9, Ch 4, paras 4.7 & 4.11; Ref B, PPL10, para PPL10.1)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.5	Date of matter report to unit:				

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
12.6	Has JMPU been contacted for advice on: - whether criminal offence has occurred - CIVPOL liaison - Mandatory reporting requirements? (Ref C, Ch 9 (sexual offence) and 12 (FDV))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.7	If refer to JMPU – JMPU reference (IR-ADF01-etc)				
CO Responsibilities					
12.8	Risk assessment of member's duties to ensure PO compliance (Ref A, Part 9, Ch 4, paras 4.19(b)-(e))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.9	Notify relevant Career Management (CMA)? (Ref A, Part 9, Ch 4, para 4.19(f))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.10	Notify AGSVA? (Ref A, Part 9, Ch 4, para 4.19(h))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.11	Support to member (Ref A, Part 9, Ch 4, para 4.17). In writing for Army and Air Force members	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.12	Respondent only - Restricted access to ADF weapons? (Ref A, Part 9, Ch 4, paras 4.22-23; Ref B, PPL10, para PPL10.3)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.13	Respondent only - Consider other action warranted? (Check with AA) (Ref A, Part 9, Ch 4 para 4.28)	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
12.15	Complainant only - Ensure duties and tasks of respective members did not make them vulnerable or contribute to a contravention of the PO by the respondent? (Ref A, Part 9, Ch 4, paras 4. 19(b) & (e))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.16	If PO changes, review the matter and check responsibilities (Ref A, Part 9, Ch 4, para 4.19)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.17	Respondent only – If breach of PO – NPS-I considered? <i>Note: if sexual violence NPS-I must be issued. Cross check with AA.</i> (Ref A, Part 9, Ch 4, para 4.29)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.18	If the member posts out, inform gaining CO (Ref A, Part 9, Ch 4, para 4.20)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
DECMS (Ref E)					
12.19	Ensure details of all POs are recorded in DECMS including any interim POs. Details to include the length and cease date for the order, as well as details concerning possession or use of weapons.	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.20	While POs in force, amendments, / updates made?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
12.21	When the PO ceases, the unit is to close the case.	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 13 – Alcohol Management

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)

Supplementary References:

- B. [Defence Instruction Administrative Policy](#)
 C. [Australian Naval Policy 4104, Part 4, Chapter 1 Alcohol Management in the Royal Australian Navy](#)
 D. [Australian Naval Policy 4205, Chapter 2, Drugs and Alcohol](#)
 E. [Navy Australian Fleet General Order 305 Personnel Administration & Workforce Management, Section 5, Management of Alcohol and Prohibited Substances.](#)

Instruction:

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

Number	Question	General management
13.0	Has the CO provided local policy guidance consistent with Ref A on the use and storage of alcohol on service property (including living-in accommodation) and governing the use of alcohol in Mess, club and canteen facilities? (Ref A, Part 4, Ch 1, para 1.27(a)) Note: How is the guidance promulgated?	Yes ☐ No ☐ N/A ☐ Note:
13.1	Has the CO ensured all Defence members under their command have completed annual Alcohol, Tobacco and other Drug (AToD) mandatory training? (Ref A, Part 4, Ch 1, para 1.26(c))	Yes ☐ No ☐ N/A ☐ Note:
13.2	Has the CO determined in what specific circumstances use of alcohol is allowed while members are on duty and authorised each specific circumstance prior to alcohol being consumed? (Ref A, Part 4, Ch 1, para 1.26(d)) Note: How is this promulgated or documented?	Yes ☐ No ☐ N/A ☐ Note:
13.3	Has CO made any civilian premises out of bounds or off-limits? If so, was there a Service requirement connected with maintenance of discipline? (Ref A, Part 4, Ch 1, para 1.25) Note: How is this promulgated? Any documents?	Yes ☐ No ☐ N/A ☐ Note:
Authority for alcohol testing		
13.4	Is there a Commanding Officer for alcohol testing/management purposes?	Yes ☐ No ☐

Number	Question	General management
	Note: 'Commanding Officer' includes an Officer Commanding of an independent unit (not below the rank of O-4), a CO (not below the rank of O-4), a CO of a Naval vessel and an Officer-in-Charge of a Defence establishment/unit. (Ref A, Part 4, Ch 1, Annex 1N Commanding Officer)	N/A ☐ Note:
All fields mandatory if dealing with members (i.e. Problematic drinkers)		
13.5.a	CO must: Remove member from the workplace suspected of being under the influence of alcohol (Ref A, Part 4, Ch 1, para 1.26(f))	Yes ☐ No ☐ N/A ☐ Note:
13.5.b	Identify and monitor problematic drinkers and offer them mental health support and assistance in seeking treatment (Ref A, Part 4, Ch 1, paras 1.26(e) & (g))	Yes ☐ No ☐ N/A ☐ Note:
13.5.c	Take appropriate admin / discipline action in response to problematic use of alcohol and any related unacceptable behaviour? (Ref A, Part 4, Ch 1, para 1.26(i) and Annex 1C para 1.48)	Yes ☐ No ☐ N/A ☐ Note:
13.6	Members must notify CO/supervisor if they believe another member is affected by alcohol on duty (bystanders) (Ref A, Part 4, Ch 1, para 1.33(b))	Yes ☐ No ☐ N/A ☐ Note:
13.7	Any Members engaging in drink spiking others' drinks? If so, were they subject to DFDA or admin action and/or civil charges? (Ref A, Part 4, Ch 1, Annex 1C, para 1.49) Note: Check with AA to confirm admin action undertaken, and if AA reviewing.	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 14 – Alcohol Testing

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)
- B. [Army Standing Instruction \(Personnel\)](#)
- C. [Defence Instruction Administrative Policy](#)
- D. [Navy Directive 19/2017 Alcohol Testing in the Royal Australian Navy](#)

Supplementary References:

- E. [Australian Naval Policy 4104, Part 4, Chapter 2, Alcohol Testing in the Royal Australian Navy](#)
- F. [Army Order 2026/27 – Annex A – G0 Army](#)
- G. [Navy Australian Fleet General Order 305 Personnel Administration & Workforce Management, Section 5, Management of Alcohol and Prohibited Substances.](#)

Instruction:

1. Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required.
2. Choose up to 4 samples for detailed review, taking the samples from separate testing occasions

Number	Question	
14.0	Unit Strength	
14.1	What are the SCA and are they promulgated in Unit Routine Instructions? <i>Note: Ensure not a 'cut N Paste' from MILPERSMAN or the ENTIRE BASE but edited to suit the unit.</i> (Ref A, Part 4, Ch 2, Annex 2B, para 2.26)	SCAs: Promulgated? Yes ☐ No ☐ Note:
14.2	Assess whether SCA is a working environment with a heightened risk to the physical safety of Defence personnel or members of the public, or where key operational decisions are made? (Ref A, Part 4, Ch 2, Annex 2B, para 2.26)	Yes ☐ No ☐ Note:
Alcohol testing		
14.3	How many qualified testers or supervisors? (Ref A, Part 4, Ch 2, Annex 2A, para 2.20(f))	Testers: Supervisors:
14.4	How many alcohol tests conducted and when? <i>Note: exclude trainees from number.</i> <i>Note: total number of tests AND how many occasions (e.g. 65 tests across 5 testing occasions).</i>	
14.5	Were both staff and students/trainees tested (equitable)?	Yes ☐ No ☐ Note:

Number	Question				
14.6	Is testing conducted on a progressive basis throughout the calendar year? (Ref A, Part 4, Ch 2, Annex 2D, para 2.36)	Yes ☐ No ☐ Note:			
14.7	Are 10% members <u>working in a Unit's SCAs</u> tested annually <i>Note: only include SERCAT 6/7, and SERCAT 3/5 members on duty who work in a SCA.</i> <i>Note: Check AD508 for numbers. Any targeted testing.</i> (Ref A, Part 4, Ch 2, Annex 2D, para 2.36)	Yes ☐ No ☐ Note: Note percentage:			
14.8	If trainees / students at the unit, how many alcohol tests? % of trainees (not included in strength)? <i>Note: Calculation is not based just on unit strength e.g. 200 unit strength but only 150 on duty/work in a SCA. Therefore 10% of 150 = 15 tests to be conducted.</i>				
14.9	Testing conducted across the range of members? (Ref A, Part 4, Ch 2, para 2.7 testing applies to all Defence members) (Army - Ref B, Part 10, Ch 1, para 1.21 Regular and Reserve members are equally liable for testing) <i>Note: Trainees NOT included in unit strength but can still be tested.</i>	Yes ☐ No ☐ Note:			
14.10	Did anyone refuse to take the tests? Refusal recorded on AD508 and referred to CO?: (Ref A, Part 4, Ch 2, Annex 2D, para 2.49) What were the consequences? (Ref A, Part 4, Ch 2, Annex 2A para 2.19(i); Ref C, PPL3, para PPL3.4)	Yes ☐ No ☐ N/A ☐ Note:			
Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
Assessment of Testing Process:					
14.11	Sample (choose 4 samples from different testing events)	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:
14.12	Testing process: - Correct Authorisation – AD508 (Ref A, Part 4, Ch 2, Annex 2A, para 2.23(d)) - AD508 completed (Ref A, Part 4, Ch 2, Annex 2D, para 2.50(a)); retained by the	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question				
	member's unit (Navy); scanned & emailed to PSTP Coordinators (Army & Air Force) (instructions on form AD508)				
14.13	Did Supervisor ensure test data is recorded in PMKeyS (Ref A, Part 4, Ch 2, Annex 2A, para 2.23(o) and Annex 2D, para 2.59(c)) (Navy - Ref D, para 7 – 24 hours when possible) (Army - Ref B, Part 10, Ch 1, para 1.44 – within 24 hours)	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
14.14	Are Tester and supervisor trained and current and maintain their qualification and record proficiency in PMKeyS at the time of testing (Ref A, Part 4, Ch 2, Annex 2A, paras 2.23(a) & 2.24(a))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
Positive test results					
14.15	How many positive alcohol tests? (Ref A, Part 4, Ch 2, Annex 2D, paras 2.53-55)				
Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
14.16	Sample of positive test results	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:
14.17	Were Members testing positive removed from the SCA and managed in accordance with Ref A, Part 4, Ch 2, Annex 2E?	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
14.17.a	Was Administrative sanction considered? <i>Note: Check with AA to confirm whether admin action undertaken, and if AA reviewing.</i>	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
14.18	AD509 must be completed and copies provided to: • Member's supervisor • Personnel department • Medical unit	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:

Number	Question				
	(Ref A, Part 4, Ch 2, Annex 2D, paras 2.50(b) & 2.59(b); Form AD509 guidance)				
14.19	Access to appropriate support services and healthcare providers? (Ref A, Part 4, Ch 2, Annex 2A, para 2.20(m))	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:	Yes ☐ No ☐ Note:
14.20	Navy only: member interviewed by a health professional or healthcare provider, or a member of the RAN Alcohol and Other Drug Services (RANAODS)? (Ref A, Part 4, Ch 2, Annex 2E, para 2.60(c))	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 15 – Prohibited Substance Testing

References:

- A. [Military Personnel Manual \(MILPERSMAN\)](#)

Supplementary References:

- B. [Defence Instruction Administrative Policy, Annex I, PPL4 – Management of the use of prohibited substances in the ADF](#)
 C. [Navy Directive 10/2017 - Sport or Nutritional Supplement Use](#)
 D. [Navy Directive 21/2016 - Maintaining the Integrity of our Prohibited Substance Testing Program \(PSTP\)](#)
 E. [Australian Naval Publication 4104 Navy Personnel Manual Part 4, Chapter 3 - Management of the Use of Prohibited Substances in the RAN](#)
 F. [Chief of Army Directive 05/2023 - Prohibited substance testing program \(PSTP\)](#)
 G. [Army Order 2026/27 – Annex A – G0 Army](#)
 H. [Defence \(Prohibited Substances\) Determination 2021](#)
 I. [Navy Australian Fleet General Order 102 Discipline and Administrative Law and Ancillary Matters, Chapter 3, pp 102.129-138](#)
 J. [Navy Australian Fleet General Order 305 Personnel Administration & Workforce Management, Section 5, Management of Alcohol and Prohibited Substances.](#)

Instruction:

- Auditor to provide a response in each of the samples boxes. I.e. Select either Yes, No, Ongoing or N/A and provide Comments as required.
- Do not including testing of visiting members or testing of a unit member that occurred at another location
- Choose up to 4 samples for detailed review, taking the samples from separate testing occasions

Number	Question	Comments
15.0	Unit Strength:	
15.1	Have all members received annual prohibited substance education either face-to-face or via LXP? (Ref A, Part 4, Ch 3, para 3.26)	
15.2	How many qualified PSTP testers / Supervisors? Army /RAAF: min rank of supervisor is E6 (SGT). PSTC-AF can grant exemption for Air Force. (Ref A, Part 4, Ch 3, Annex 3A, para 3.51) Navy = NPC is Coordinator	
15.3	How many PSTP urinalysis tests conducted? How many random and targeted saliva tests? (exclude trainees from number)	urinalysis tests: saliva tests:
15.4	Were 25% (Army/RAAF) / 35% (Navy) tested (urine)? Note: Unit strength for annual urine prohibited substance testing requirements for each Service are derived from the number of permanent (SERCAT 7) members only. (Ref A, Part 4, Ch 3, para 3.12 and Annex 3A, para 3.39) (Army - posted strength at 01 Feb: Ref A, Part 4, Ch 3, Annex 3L, para 3.341)	Yes ☐ No ☐ Note percentage:
15.5	Any Targeted testing? Any hair follicle testing?	Yes ☐ No ☐

Number	Question	Comments
	(Ref A, Part 4, Ch 3, para 3.12)	Note:
15.6	Trainees / students at the unit? % of trainees (not included in strength) How many PSTP tested?	Yes ☐ No ☐ Note percentage: Number of students tested:
15.7	Were 10% of urinalysis test tested for synthetic cannabinoids? <i>Note: From the random annual urinalysis testing conducted by each Service, there is a requirement to randomly test 10 per cent for synthetic cannabinoids. Requirement is 10% of tests conducted not 10% of unit strength.</i> (Ref A, Part 4, Ch 3, para 3.12(a))	Yes ☐ No ☐ Note percentage:
15.8	Any hair follicle testing? How many done?	Yes ☐ No ☐ How Many?
15.9	Any oral saliva testing? How may done?	Yes ☐ No ☐ How Many?
15.10	Is random testing inclusive of all ranks? (Ref A, Part 4, Ch 3, Annex 3C, para 3.90(c))	Yes ☐ No ☐ Note:
15.11	Is testing generally conducted at irregular intervals and on a random basis? (Ref A, Part 4, Ch 3, Annex 3C, para 3.90(d))	Yes ☐ No ☐ Note:
15.12	Any self-referral for prohibited substance use intervention? Were they managed IAW (Ref A, Part 4, Ch 3, Annex 3E)?	Yes ☐ No ☐ Note:
15.13	Any claims of drink or food spiking and the unintended ingestion of a prohibited substance? Were they managed IAW (Ref A, Part 4, Ch 3, Annex 3F)?	Yes ☐ No ☐ Note:
15.14	Did anyone refuse to have a test or provide a sufficient sample? Were they managed IAW (Ref A, Part 4, Ch 3, Annex	Yes ☐ No ☐

Number	Question	Comments
	3C, para 3.97)? Any consideration of disciplinary action or admin action? <i>Note: Check with AA wrt any admin action.</i>	Note:

Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
15.15	Sample of PS tests (choose up to 4 samples from different testing events)	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:	Name: PMKeyS: Date of testing:
15.16	PS testing process: • Correct Authorised Person (Ref A, Part 4, Ch 3, Annex 3A, paras 3.35-36) • Correct Authorisation – Form AD400 (Ref A, Part 4, Ch 3, Annex 3C, para 3.89) • Notice of testing – Form AD401 signed by member in presence of supervisor (Ref A, Part 4, Ch 3, Annex 3C, para 3.94)	Yes ☐ No ☐ N/A ☒ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.17	Were Tester and supervisor trained and current and maintain their qualification and record proficiency in PMKeyS at the time of testing (Ref A, Part 4, Ch 3, Annex 3A, para 3.63)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.18	NAVY / Air Force only: PSTP testing documentation is to be scanned and retained at Unit level? (Navy - Ref A, Part 4, Ch 3, Annex 3K, para 3.308) (Air Force - Ref A, Part 4, Ch 3, Annex 3M, para 3.370)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Testing data Recording					
15.19	Testing data must be entered in PMKeyS (Ref A, Part 4, Ch 3, Annex 3C, paras 3.126(b)(3) & 3.128(a)(2)) • Navy: by the PSTPC-Navy (Ref A, Part 4, Ch 3, Annex 3K, para 3.298(c)) • Army: by units within 5 days of test; (Ref A, Part 4, Ch 3, Annex 3L, para 3.337) • Air Force: by units within 24h of test; (Ref A, Part 4, Ch 3, Annex 3M, para 3.368)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.20	Send (email) PSTP results to single service PSTP Coord Cell • Navy: within 24h testing to PSTPC-Navy: (Ref A, Part 4, Ch 3, Annex 3K, para 3.309) • Army: within 24h testing (email): (Ref A, Part 4, Ch 3, Annex 3L, para 3.339)	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
	Air Force: within 24 hours to PSTPC-AF: (Ref A, Part 4, Ch 3, Annex 3M, para 3.371) Note: Are email retained by the unit of dispatch?				
Pending and/or Positive test results					
15.21	How many pending and positive tests results?	Pending positive: Confirmed positive:			
Number	Question	Sample 1	Sample 2	Sample 3	Sample 4
15.22	Sample of pending/positive test results Checklist Index Number (CIN) per Item 1 Incident Reporting Table: LINK: Table A	CIN:	CIN:	CIN:	CIN:
15.23	Rank / Surname / PMKeyS Testing date	Date:	Date:	Date:	Date:
Pending Results					
15.24	AD 404 Quick Assessment Guide and Member Acknowledgement Record raised? (Ref A, Part 4, Ch 3, Annex 3C, para 3.111)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.25	Support to member? Ref A, Part 4, Ch 3, Annex 3C, para 3.116)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.26	Conduct of employment restrictions assessment? <i>Note: CO risk manage work restrictions, etc.</i> (Ref A, Part 4, Ch 3, Annex 3C, paras 3.117-119)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.27	If negative confirmatory test result was member informed as soon as possible, employment restrictions lifted, and PMKeyS updated to reflect negative test result? (Ref A, Part 4, Ch 3, Annex 3C, para 3.126)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
Confirmed Positive Results (if applicable)					
15.28	Member informed as soon as possible?	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 4, Ch 3, Annex 3C, para 3.128(b)(3))	Note:	Note:	Note:	Note:
15.29	Review or initiate employment restrictions? (Ref A, Part 4, Ch 3, Annex 3C, para 3.128(b)(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.30	Navy members referred to Navy Alcohol and other Drugs Services (NAODS)? (Ref A, Part 4, Ch 3, Annex 3C, para 3.128(b)(3) and Annex 3K, para 3.315(b)(2))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.31	Member made aware of all available support services? (Ref A, Part 4, Ch 3, Annex 3C, para 3.128(b)(4))	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.32	Notice of Positive Test Result (NPTR) issued within 30 days, with not less than 28 days to respond? (Ref A, Part 4, Ch 3, Annex 3D, para 3.137)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.33	Was suspension considered? <i>Note: Check with AA with regard to any admin action.</i> (Ref A, Part 4, Ch 3, Annex 3D, para 3.144)	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.34	Decision on NPTR process?	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:	Yes ☐ No ☐ N/A ☐ Note:
15.35	Advise the Defence Security Incident Coordination Centre (SICC) and the Unit Security Officer within 24 hours of the result of a positive prohibited substance test (electronically submit Form XP188—Security Incident Report)? (Ref A, Part 4, Ch 3, Annex 3D, para 3.151(a))	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

Exit Brief Notes:

[illegible]