Health Technology Governance Policy

Compliance Audit Tool
February 2026

Health Technology Governance Policy Compliance Audit Tool

Instructions for completing this form

This tool is to assist Health Service Providers (HSPs) and health care facilities to complete an annual audit and report their compliance with the requirements contained in *MP 0072/17 Health Technology Governance Policy*.

When completed, this audit tool must be endorsed by the Chair of the HSP/health care facility's health technology committee (or equivalent).

Completed audits must be submitted to the Department of Health Medicines and Technology Unit (MTU) at WAPACT@health.wa.gov.au by **28 February** each year.

> **Please Note:** *Completed audits must be submitted to MTU via REDCap®* *[MP 0072/17 - Health Technology Governance Policy - Compliance Audit Tool] This writeable pdf version of the compliance audit tool is to assist HSPs with internal processes for audit completion and endorsement.*

If you have any questions regarding the annual audit and reporting process, please contact the MTU at WAPACT@health.wa.gov.au.

Compliance source:	*MP 0072/17 Health Technology Governance Policy*
Compliance owner: (Responsible HSP Executive)	
HSP/Health care facility:	

Documents reviewed:	Attached (Y/N)
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

Definitions	
Where non-compliance is mentioned, the following definitions apply:	
*Major non-compliance	No committee, processes or procedures exist
	No required WAPACT health technology notification undertaken
	No required WAPACT reporting undertaken
**Minor non-compliance	Process and/or procedures exist but are not formalised or require updating
	WAPACT notification undertaken but notification was incomplete
	WAPACT reporting undertaken but reporting was incomplete

Policy Requirement			
A local health technology committee (or equivalent) is established and has the multi-disciplinary representation needed to evaluate the safety, efficacy and cost-effectiveness of health technologies.			
Compliance with policy requirement:	Yes	No	In Progress
If 'Yes', Summary of Evidence:	Please provide copy of Terms of Reference, or equivalent (Attach electronic copy or provide link/URL where available)		
Attached			
Available here (insert link):			
If 'No', is non-compliance:	Major non-compliance*		Minor non-compliance**
Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):			
If 'In Progress':			
• The reason(s) this policy requirement is currently classified as 'in progress'.			
• Anticipated timeframe for compliance:			
• Supporting evidence, if available:			
Attached			
Available here (insert link):			
Local processes and procedures are in place to safely introduce, monitor and evaluate health technologies.			
Compliance with policy requirement:	Yes	No	In Progress
If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)			
Attached			
Available here (insert link):			
If 'No', is non-compliance:	Major non-compliance*		Minor non-compliance**

Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):

If 'In Progress':
• The reason(s) this policy requirement is currently classified as 'in progress'.
• Anticipated timeframe for compliance:
• Supporting evidence, if available:
Attached
Available here (insert link):

Local processes and procedures are in place to ensure use of unapproved health technologies, and the off-label use of health technologies is appropriately governed and occurs within relevant regulatory frameworks.			
Compliance with policy requirement:	Yes	No	In Progress

If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)		
Attached		
Available here (insert link):		
If 'No', is non-compliance:	Major non-compliance*	Minor non-compliance**

Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):

If 'In Progress':
• The reason(s) this policy requirement is currently classified as 'in progress'.
• Anticipated timeframe for compliance:
• Supporting evidence, if available:
Attached
Available here (insert link):

Local processes and procedures are in place to ensure staff members using health technologies are appropriately qualified and/or credentialled.			
Compliance with policy requirement:	Yes	No	In Progress
If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)			

	Attached		
	Available here (insert link):		
If 'No', is non-compliance:		Major non-compliance*	Minor non-compliance**
Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):			
If 'In Progress':			
• The reason(s) this policy requirement is currently classified as 'in progress'.			
• Anticipated timeframe for compliance:			
• Supporting evidence, if available:			
	Attached		
	Available here (insert link):		

Local processes and procedures are in place to ensure that safety events associated with health technologies are reported to the TGA.			
Compliance with policy requirement:	Yes	No	In Progress
If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)			
	Attached		
	Available here (insert link):		
If 'No', is non-compliance:		Major non-compliance*	Minor non-compliance**
Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):			
If 'In Progress':			
• The reason(s) this policy requirement is currently classified as 'in progress'.			
• Anticipated timeframe for compliance:			
• Supporting evidence, if available:			
	Attached		
	Available here (insert link):		
Local processes and procedures are in place to discontinue use of health technologies with evidence of safety concerns or lacking efficacy.			

Compliance with policy requirement:	Yes	No	In Progress

If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)

Attached

Available here (insert link):

If 'No', is non-compliance:	Major non-compliance*	Minor non-compliance**

Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):

If 'In Progress':

- The reason(s) this policy requirement is currently classified as 'in progress'.

- Anticipated timeframe for compliance:
- Supporting evidence, if available

Attached

Available here (insert link):

Local processes and procedures are in place to disinvest in health technologies that lack cost-effectiveness.

Compliance with policy requirement:	Yes	No	In Progress

If 'Yes', supporting evidence (e.g. copy of local processes or procedures documents)

Attached

Available here (insert link):

If 'No', is non-compliance:	Major non-compliance*	Minor non-compliance**

Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):

If 'In Progress':

- The reason(s) this policy requirement is currently classified as 'in progress'.

- Anticipated timeframe for compliance:
- Supporting evidence, if available

Attached

Available here (insert link):

The local health technology committee (or equivalent) has during the audit period: • assessed and notified WAPACT of all new/extended health technologies intended to be implemented in the HSP that are high-risk, highly specialised or have statewide planning, service-delivery or budget implications.			
Compliance with policy requirement:	Yes	No	None Implemented
If 'Yes', please list the health technologies notified to WAPACT during the audit period:			
If 'No', is non-compliance:	Major non-compliance*		Minor non-compliance**
Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):			
The local health technology committee (or equivalent) has during the audit period met any WAPACT reporting requirements.			
Compliance with policy requirement:	Yes	No	No Reporting Required
If 'No', is non-compliance:	Major non-compliance*		Minor non-compliance**
Rationale for non-compliance (include actions and/or requirement to ensure compliance with policy):			

Progress of Action/s	Responsibility	Status	Date Completed

Auditor:	Name and HE	
	Role and Department	
Date of assessment completion:		
Endorsed by:	Name and HE	
	Role and Department	
Date of endorsement:		