



2019/2020 Comcare Licensee Audit

**Australian National University**

FINAL REPORT

**Rehabilitation Management System Audit**

**Audit Date: 14 – 16 January 2020**

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rehabilitation

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## Scope of Audit

**Organisation:** Australian National University ('ANU')

**Site/Workplace:** BRM Office, Melbourne / Sydney

**Scope of Audit:** The audit examined ANU's rehabilitation management system, processes and outcomes to validate that ANU is meeting its licence conditions and is complying with the *Safety, Rehabilitation and Compensation Act 1988 (SRC Act)* and the *Guidelines for Rehabilitation Authorities 2019 (the Guidelines)*.

16 rehabilitation case files were examined by the auditors. These files were randomly selected from a list of 17 rehabilitation case files where some activity had occurred in the previous 12 months.

The audit encompassed a review of all relevant policies and procedures as they relate to rehabilitation and return to work management and any other relevant, supporting documentation.

Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents.

**Audit Criteria:** This audit assessed the rehabilitation management system against five elements:

1. Commitment and Corporate Governance (3 criteria)
2. Planning (4 criteria)
3. Implementation (13 criteria)
4. Measurement and Evaluation (6 criteria)
5. Review and Improvement (1 criterion)

**Ratings:** The findings in the audit report have been classified and marked as follows:

**Conformance**—indicates that the criterion has been met.

**Non-conformance**—indicates that the criterion has not been met.

**Not able to verify**—indicates that the organisation has documented procedures in place however there are no cases to test that the organisation has followed those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reasons for the finding will be explained by the auditor.

**Not Applicable**—indicates that the criterion does not apply to the organisation.

Where a criterion has been met but the auditor has identified a 'once off' situation or a 'minor' deviation from the documented management system or reference criterion, an **Observation** may be made. These findings, while representing a non-fulfilment of a

requirement, are recognised as being of lower risk to the organisation.

**Date(s) of Audit:** 14 – 16 January 2020

**Auditors:** Sophie Anastasov and Fiona van Ree, BRM Risk Management Pty Ltd (“BRM”)

**Client Contacts:** Ingrid Krauss, Manager, Injury and Claims, Work Environment Group, ANU

**Record of Audit:** This report contains a summary of the audit outcomes. Detailed information is not recorded in the report. A record of the documentation and records sighted, persons interviewed, observations and auditor comments are retained on the auditor's file.

**Acknowledgment:** BRM Risk Management Pty Ltd wishes to acknowledge the cooperation and assistance provided by the management and staff of ANU and thank them for their contribution to the audit process.

## Executive Summary

The Australian National University (ANU) has held a self-insurance licence under the Safety, Rehabilitation and Compensation Act 1988 (SRC Act) since 1 July 2018. Their licence is due to expire on 30 June 2026. BRM was commissioned to audit ANU's rehabilitation management system, processes and outcomes in accordance with Comcare's Rehabilitation Management System audit tool.

The University employs approximately 4500 full time equivalent staff. The main campus is in Canberra, and this is where most staff are employed. ANU has approximately 20 000 students.

ANU has a well-developed Rehabilitation Management System in place with supporting policies, processes and operational processes. Prior to becoming a self-insurer, ANU was a premium payer in the Comcare scheme and required to have a Rehabilitation Management System in place. Since obtaining its licence for self-insurance, ANU continue to review, update and implement a number of improvement initiatives.

There are many positive features of the rehabilitation management system including an experienced, stable, well-resourced and qualified team.

Sixteen files were randomly selected from a population of 17 files with relevant activity over the preceding 12 months. File review identified exceptions relating to criterion 3.7 where rehabilitation programs were issued without a clear commencement date and instances where consideration of s37(3) a-h was not clearly demonstrated at the time of the determination. Further exceptions under 3.9 were noted where it appeared that consideration of s37(3)a-h had been applied retrospectively.

BRM commends The ANU for continuing high level of rehabilitation management practices throughout 2019 where 100% conformance rating for its RMS has been achieved. This strong performance is reflective of a mature and embedded rehabilitation system and The ANU's ongoing commitment to assisting injured employees to return to work and return to full and productive employment as quickly and safely following a work-related injury.

The audit period reviewed was from 15 January 2019 to 13 January 2020.

### NON-CONFORMANCES

No non-conformances were identified during the audit.

### OBSERVATIONS

Five observations were identified during the audit. They are:

Criterion	Observation
1.1	The following policy review dates have expired: <ul style="list-style-type: none"><li>ANUP_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19</li><li>ANUP_014609, Policy: Fitness for Work, v1, effective 10/11/16, rev 10/11/19</li></ul>
3.7	Section 37 Rehabilitation Program determinations have been issued without a commencement date specified.

Criterion	Observation
3.7	Section 37 Rehabilitation Program determinations have been issued prior to completing consideration on s37(3) a-h.
3.9	There were four files that contained s37 determinations that had been signed retrospectively.
3.12	There was one instance where a claim document relating to another case was located on the claim file record (within the Figtree claim module -not on the rehabilitation file).

In summary, for the 27 criteria within the rehabilitation management audit tool, the outcomes are:

	Number of criteria	% of assessed criteria
Conformance (with 5 Observations)	25	100%
Non-conformance	0	Nil
Not able to verify	2	
Not applicable	0	

An action plan, which includes completion/review dates and responsibilities, has been developed by The ANU to address each of the audit findings.

The auditors invite ANU to discuss any aspect of this audit with the auditors.



Signed:  
**Fiona van Ree**



Signed:  
**Sophie Anastasov**

Date: 26 February 2020

## Table of Criteria

AUDIT ELEMENT / CRITERION DESCRIPTION	Criterion	Rating
<b>1. Commitment and Corporate Governance</b>		
Documented commitment	1.1	Conformance with 1 Observation
Internal and external accountability	1.2	Conformance
Identify, assess and control risk	1.3	Conformance
<b>2. Planning</b>		
Delegation schedule	2.1	Conformance
Planning for legislative compliance	2.2	Conformance
Setting objectives and targets	2.3	Conformance
Plans to achieve objectives and targets	2.4	Conformance
<b>3. Implementation</b>		
Adequate resources	3.1	Conformance
Communication—relevant stakeholders	3.2	Conformance
Employees are aware of rights	3.3	Conformance
Training and competency	3.4	Conformance
Early intervention	3.5	Conformance
Rehabilitation assessments	3.6	Conformance
Rehabilitation programs	3.7	Conformance with 2 Observations
Suitable employment	3.8	Conformance
Determinations in accordance with the SRC Act	3.9	Conformance with 1 Observation
Employee non-compliance	3.10	Not able to verify
Reconsiderations	3.11	Not able to verify
Privacy and confidentiality	3.12	Conformance with 1 Observation
Reporting, records, documentation	3.13	Conformance
<b>4. Measurement and Evaluation</b>		
Monitoring core rehabilitation activities	4.1	Conformance
Monitoring provider performance	4.2	Conformance

<b>AUDIT ELEMENT / CRITERION DESCRIPTION</b>	<b>Criterion</b>	<b>Rating</b>
Internal audits	4.3	Conformance
Outcomes of audits are actioned, reviewed	4.4	Conformance
Communicating audit results	4.5	Conformance
Providing reports to Comcare and Commission as requested	4.6	Conformance
<b>5. Review and Improvement</b>		
Continuous improvement	5.1	Conformance

## ELEMENT 1: Commitment and Corporate Governance

### DOCUMENTED COMMITMENT

#### Criterion 1.1

The rehabilitation authority sets the direction for its rehabilitation management system through a documented commitment by senior executive.

#### Finding: Conformance

##### Evidence:

- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- ANUP\_000432, Policy: Work health and safety, v8, effective 8/4/16, rev 13/6/22
- ANUP\_014609, Policy: Fitness for Work, v1, effective 10/11/16, rev 10/11/19
- ANUP\_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19
- ANUP\_000667, Procedure: Rehabilitation and compensation, v11, effective 4/6/18, rev 4/6/21

##### Comment:

ANU sets the direction for its rehabilitation management system through several documented commitments by senior executives.

The "Policy: Rehabilitation and compensation" was approved by the University's Vice-Chancellor and commenced 4 June 2018 (unsigned) and outlines commitments to:

- Helping people return to full and gainful employment following injury or illness.
- Ensure that prompt independent determination of a claim is made.
- Provide claim and rehabilitation services that are compliant with legislation and performance standards.
- Continuous monitoring of claims and rehabilitation services.

Policies and procedures are available to all staff through the ANU website.

##### Observation 1:

The following policy review dates have expired:

- ANUP\_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19
- ANUP\_014609, Policy: Fitness for Work, v1, effective 10/11/16, rev 10/11/19

### CORPORATE GOVERNANCE

#### Criterion 1.2

The rehabilitation management system provides for internal and external accountability.

#### Finding: Conformance

##### Evidence:

- ANU Executive Structure, 9/8/19
- Work Environment Group Organisational Structure, 1/7/18
- Position descriptions:

- WHS Claims Management Senior Consultant (no document control)
- Associate Director, Work Environment (no document control)
- Manager, Injury and Claims (no document control)
- Rehabilitation Case Manager (no document control)
- Team Leader, Injury Management & Rehabilitation (no document control)
- Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
- Claims Manager (Comcare), 20/7/16
- Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019
- ANU Performance Report, Quarter 4 2018-19
- ANUP\_015808, Procedure: Work health and safety committees and representatives, v2, effective 1/7/17, rev 1/7/20
- Annual Report 2018
- Work Health and Safety Council Report, for the period 1 January - 31 December 2018
- Work Health and Safety Council Report, for the period 1 January - 31 October 2019
- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- SLAs:
  - Consultancy Agreement with AM Actuaries, commencement 6/11/19 (initial term 12 mths)
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and APM, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and IPAR, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and Rehabilitation Services, signed 17/06/19
  - BRM Risk Management: Contract arrangement
- Procedure: WHS Audit
- Comcare Regulator Audit November 2018
- Comcare Regulator Audit December 2019
- External Audit report – January 2019
- ANU Corrective Action Plan – January 2019
- Individual Case File Audit
- Monthly case file review template

**Comment:**

ANU's rehabilitation management system provides for internal and external accountability via:

*Internal:*

- Documented WHS Governance Structure
- Senior executive reporting
- Data reporting
- Job descriptions

- Regular team and individual meetings to monitor performance requirements and outcomes.
- Organisational structures for ANU Executive and WEG
- Corrective action plans following independent audits completed by BRM and Niche

*External:*

- SLA's with external parties:
  - AM Actuaries
  - Letter of engagement from BRM Risk Management
  - Service agreements with accredited workplace rehabilitation providers
- LCPI report
- Documented procedures relating to audit
- External audits completed by BRM and Niche

**Criterion 1.3**

The rehabilitation authority identifies, assesses and controls risks to the rehabilitation management system.

**Finding: Conformance**

**Evidence:**

- ANUP\_000462, Policy: Risk Management, v5, effective 1/7/09, rev 22/12/19
- ANUP\_000495, Procedure: Risk Management, v6, effective 1/7/09, rev 22/12/19
- Rehabilitation Management System Risk Register
- Quarterly Progress Report for COO - Example
- WHS Performance Report to University Council - Example
- Attendance at self-insurance licensee forums meetings or regular meetings with scheme management representative
- Monthly Claim review meetings with claim delegates
- Calendar invitations:
  - evidence of meetings with WRPs
  - evidence of meetings with College and Divisional areas for case reviews

**Comment:**

ANU identifies, assesses and controls risks to the rehabilitation management system. The ANU Risk Management Framework including the Risk Management Policy and Procedure provides the basis for the Rehabilitation Management System Risk Register. Specific consideration for the risk register is given to:

- WHS risk management arrangements
- Early intervention activities
- Claims data and case management activities
- Resources; and
- Legislative requirements

The Manager, Injury and Claims is responsible for regular scheduled and event driven review and update of the register while all staff in the Work Environment Group (WEG) contribute in terms of development and delegation of responsibilities. Identified risks and

status are reported regularly to university senior leadership (COO, Vice Chancellor and University Council) along with the WHS committee.

Monitoring of rehabilitation case risks occurs via regular stakeholder reviews including claims delegates and relevant business contacts. Meetings with WRPs are conducted as required.

Rehabilitation Management system and file audits are completed and corrective action monitoring occurs in line with comments above (1.2).

## ELEMENT 2: Planning

### ADMINISTRATIVE ARRANGEMENTS

#### Criterion 2.1

The rehabilitation authority has a delegation schedule, signed by the principal officer, as per section 41A of the SRC Act.

#### Finding: Conformance

##### Evidence:

- Memo dated 12/12/18 to Professor Brian Schmidt, Vice-Chancellor, from Dr Nadine White, Director HR regarding ANU Workers Compensation Delegations, signed 18/12/18
- Delegations Report 186, 14/11/19
- File audit including observation of standard letters and templates

##### Comment:

The ANU has a delegation schedule signed by The Vice Chancellor. Under the Safety, Rehabilitation and Compensation Act 1988, the Vice Chancellor is the Rehabilitation Authority of the Australian National University (ANU) and holds the powers under that authority.

Application of appropriate delegation authority is supported via the use of standard letter and form templates.

##### File Audit:

File audit confirmed compliance with this criterion.

### REHABILITATION PLANNING

#### Criterion 2.2

The rehabilitation authority recognises legislative obligations and plans for legislative and regulatory compliance, having regard to any policy advice that Comcare or the Commission may issue.

#### Finding: Conformance

**Evidence:**

- Claims and Rehabilitation Management Systems, Legislation Register, v3.0, 20/12/19, rev 20/12/20
- Incident notification email
- Early Intervention Assistance Information Pack
- ANU Workers' Compensation Claim Pack, v5.0, approved 22/11/19, rev 30/6/20
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20 - 10.1 Natural Justice and Procedural Fairness
- ANU Intranet page <https://services.anu.edu.au/human-resources/health-safety/workers-compensation-at-anu/forms>
- Position descriptions:
  - WHS Claims Management Senior Consultant (no document control)
  - Associate Director, Work Environment (no document control)
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
  - Claims Manager (Comcare), 20/7/16
- SLAs:
  - Consultancy Agreement with AM Actuaries, commencement 6/11/19 (initial term 12 mths)
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and APM, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and IPAR, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and Rehabilitation Services, signed 17/06/19
  - BRM Risk Management: Contract arrangement

**Comment:**

ANU recognises legislative obligations and plans for legislative and regulatory compliance, having regard to any policy advice that Comcare or the Commission may issue.

At the highest level, the Vice-Chancellor has overall responsibility for ensuring legislative compliance.

The Manager, Injury and Claims monitors SRC legislative changes and obligations and must maintain policies, procedures and documentation within the RMS when relevant changes to legislation occur.

There are a range of policies, procedures and communications that cover rehabilitation and injury management under the SRC Act. These include:

- 'All Staff' emails – sent from the Office of the Vice Chancellor;
- Direct communication to claimants to advise of specific changes relevant to their entitlements or claim provisions;
- Revisions to intranet
- University Council Reports

- University WHS Committee Reports
- Human Resource Leader forums;
- Supervisor training program; and
- Staff forums and presentations.

All identified legislation requirements are documented in the Legislation Register and compliance obligations are included in all relevant procedures and documentation.

The ANU's Rehabilitation Manual provides operational and legislative information to ensure legislative compliance and natural justice.

Position descriptions require demonstrated knowledge of both the SRC Act and the Work Health and Safety Act 2011, experience and legislative competence to be maintained.

SLA's with external providers require compliance with SRC Act.

### Criterion 2.3

The rehabilitation authority sets objectives and targets and identifies key performance measures for its rehabilitation management system.

### Finding: Conformance

#### Evidence:

- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- Human Resources Divisional (HRD) Business Plan 2019
- Work Environment Group Business Plan 2019
- Work Environment Obligations Register.
- Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019

#### Comment:

ANU sets objectives and targets and identifies key performance measures for its rehabilitation management system.

The Rehabilitation and Compensation Policy sets the direction for the Team by committing to provide rehabilitation and claims management services which are fully compliant with legislation and the performance standards and measures for Comcare workers compensation self-insurance licensees, as detailed by the Safety Rehabilitation and Compensation Commission (SRCC).

Detailed objectives and key performance indicators for the Work Environment Group, as approved by the executive group, are detailed in the Human Resources Divisional (HRD) Business Plan 2019.

Key performance indicators (KPIs) for the Work Environment Group are documented in the "The Work Environment Group – Business Plan 2019" which also outlines key initiatives the Business Unit undertakes for safety, injury prevention, rehabilitation and workers compensation claims management. Outcome measures and timeframes are provided against each action. An "Obligations Register" has been implemented to provide continuity of business deliverables.

The LCPI report identifies key activities and achievements over the reporting period and objectives and targets for the coming year. ANU is provided with a summary of its performance against the LKPI's on a monthly basis.

## Criterion 2.4

The rehabilitation authority establishes plans to:

- (i) achieve its objectives and targets
- (ii) promote continuous improvement
- (iii) provide for effective rehabilitation arrangements.

### Finding: Conformance

#### Evidence:

- Human Resources Divisional (HRD) Business Plan 2019
- Work Environment Group Business Plan 2019
- Work Environment Obligations Register.
- Rehabilitation Management System: Corrective Action Plan November 2019
- Rehabilitation Management System: Corrective Action Plan January 2019
- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- Procedure: Rehabilitation and Compensation
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Position descriptions:
  - WHS Claims Management Senior Consultant (no document control)
  - Associate Director, Work Environment (no document control)
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
  - Claims Manager (Comcare), 20/7/16
- Performance Development Review accountabilities established WEG staff

#### Comment:

ANU has established plans to achieve its objectives and targets; promote continuous improvement; and provide for effective claims management arrangements as demonstrated through the HR Division plan, WEG plan and the corrective action plans developed following claims management system audits.

Implementation and monitoring of corrective actions arising out of audit has been verified. Individual accountabilities that link to the strategic plans of the rehabilitation management system are documented and reviewed.

Refer to comments against criterion 2.4 for further comment regarding setting of objectives and plans.

## ELEMENT 3: Implementation

### RESOURCES

#### Criterion 3.1

The rehabilitation authority allocates adequate resources to support its rehabilitation management system.

#### Finding: Conformance

##### Evidence:

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Position descriptions:
  - WHS Claims Management Senior Consultant (no document control)
  - Associate Director, Work Environment (no document control)
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
  - Claims Manager (Comcare), 20/7/16

##### Comment:

ANU allocates adequate resources to support its rehabilitation management system. A detailed review of staffing was undertaken and a restructure of the WEG occurred in May to July 2018.

Staff levels are determined based on number of active rehabilitation cases and complexity. Monitoring of active cases is updated on a weekly basis.

Currently the rehabilitation team within WEG consists of 4 staff:

- 1 Team Leader – Injury Management and Rehabilitation
- 2 Rehabilitation Case Managers
- 1 Case Manager – Psych-social

It is considered that ANU is adequately resourced to effectively manage its rehabilitation caseload.

Early intervention services form part of the ANU rehabilitation management system and funding has been dedicated to support this activity.

ANU uses the Figtree system which interfaces work health and safety, early intervention, rehabilitation and claims management functions to cover key requirements of the SRC Act.

### COMMUNICATION AND AWARENESS

#### Criterion 3.2

The rehabilitation authority defines and communicates responsibilities to relevant stakeholders.

#### Finding: Conformance

**Evidence:**

- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- Procedure: Rehabilitation and Compensation
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- ANU Workers' Compensation Claim Pack, v5.0, approved 22/11/19, rev 30/6/20
- Template Letters
- ANU intranet:
  - ANU Policy Library <https://policies.anu.edu.au/ppl/index.htm>
  - Health and Safety <https://services.anu.edu.au/human-resources/health-safety>
  - Injury Management <https://services.anu.edu.au/human-resources/health-safety/injury-management>
  - Performance Development Review process <https://services.anu.edu.au/human-resources/perform-develop/career-performance-and-development-process-cpdp>.
- SLAs:
  - Consultancy Agreement with AM Actuaries, commencement 6/11/19 (initial term 12 mths)
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and APM, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and IPAR, signed 17/06/19
  - WRP SLA for the provision of workplace rehabilitation provider services between The ANU and Rehabilitation Services, signed 17/06/19
  - BRM Risk Management: Contract arrangement

**Comment:**

ANU defines and communicates responsibilities to relevant stakeholders. ANU has provided a range of documents demonstrating that employees are provided with or have access to information regarding stakeholder responsibilities.

The ANU intranet pages contain comprehensive information on workers' compensation and rehabilitation under the SRC Act and is accessible to all employees. All key policies and procedures are provided in the Policy Library and links to external legislative information are also provided.

A claim pack is provided to all staff members who wish to submit a worker's compensation claim. This pack details extensive information about the process, including:

- ANU - Workers' Compensation Claim Form
- ANU - Authority to Collect, Use and Disclose Personal Information
- ANU - Frequently Asked Questions (FAQ's)
- Medical Certificate of Capacity
- ANU - Claim for Time Off Work Form
- ANU - Medical Services Claim Form

Service agreements with external providers clearly communicate expectations and responsibilities.

Position descriptions set out the responsibilities of rehabilitation staff.

### Criterion 3.3

The rehabilitation authority communicates relevant information regarding the rehabilitation process to its employees including their rights and obligations.

#### Finding: Conformance

##### Evidence:

- Procedure: Rehabilitation and Compensation
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- ANU Workers' Compensation Claim Pack, v5.0, approved 22/11/19, rev 30/6/20
- ANUP\_000760, Guideline: Early Intervention Assistance, v11, effective 22/10/18, rev 22/10/21
- Template Letters
- File audit

##### Comment:

Rehabilitation procedures clearly outline the responsibilities of managers, senior managers and rehabilitation case managers and providers.

Standard letter and form templates are consistently used to ensure communication of rights and obligations when determinations are issued.

The employee claims pack details employee rights and obligations.

New staff are provided an induction guide and a required to attend a "Welcome to New Staff" program and complete mandatory online testing.

Intranet pages contain extensive relevant information regarding the rehabilitation process that is accessible to all ANU employees (see comments under 3.2). All policies and procedures are available on the intranet as well as links to the legislative information and Comcare.

##### File Audit:

File audit confirmed compliance with this criterion.

## TRAINING

### Criterion 3.4

The rehabilitation authority identifies training requirements, develops and implements training plans and ensures personnel are competent.

#### Finding: Conformance

##### Evidence:

- ANUP000843 Induction Guide and Checklist
- Credentialing and Training Matrix
- PULSE on line training 'Responding to Staff Injury and Illness in the Workplace'
- Supervisor Injury Management Guide
- Career development internal training course

**Comment:**

ANU identifies training requirements, develops and implements training plans and ensures personnel are competent.

Rehabilitation case managers have health professional qualifications or extensive experience in occupational rehabilitation. Staff qualifications include occupational therapy, exercise physiology and psychology. This is a requirement detailed in the relevant position descriptions.

Qualifications and training completed by the Rehabilitation personnel are maintained centrally via a spreadsheet. Required training for Rehabilitation Case Managers is ANU Privacy Act Training, Comcare 'Rehabilitation Case Management', with staff also supported to attend Comcare's 'SRC Act in a Day', and Mental Health First Aid. The Team Leader Injury Management and Rehabilitation is required to attend 'New Supervisor' training and Comcare Forums.

Supervisors have access to an online training module '*Responding to Staff Injury and Illness in the Workplace*' which provides guidance on responsibilities, roles, and the assistance which can be provided by the injury management team.

**EARLY INTERVENTION**

**Criterion 3.5**

The rehabilitation authority implements an early intervention program, including the early identification and notification of injury.

**Finding: Conformance**

**Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- ANUP\_000760, Guideline: Early Intervention Assistance, v11, effective 22/10/18, rev 22/10/21
- File audit

**Comment:**

ANU has implemented "Early Intervention Assistance" (EIA) which is an internal process separate to submitting a workers compensation claim. EIA assists staff with the early identification and notification of injury and provides access to funding for medical management as early as possible.

*The Rehabilitation Manual – 5 Early Intervention Assistance* details the early intervention processes and assistance. Early Intervention involves providing an injured employee support and injury management as soon as possible after the injury occurs.

A hazard notification form is completed by the employee or supervisor and within 24 hours a rehabilitation case manager contacts the employee to discuss assistance available and commence the early intervention process.

The Early Intervention Assistance Fund is available to all staff. It is managed by the Work Environment Group and is designed to provide immediate support and medical treatment to staff irrespective of whether a claim for compensation is made.

**File Audit:**

There were ten files eligible for this criterion. File audit confirmed compliance.

## REHABILITATION ASSESSMENTS

### Criterion 3.6

The rehabilitation authority effectively uses the provisions of section 36 to conduct rehabilitation assessments in accordance with the SRC Act and the Guidelines.

#### Finding: Conformance

**Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- File audit

**Comment:**

ANU effectively uses the provisions of section 36 to conduct rehabilitation assessments in accordance with the SRC Act and the Guidelines. Section 6 of the Rehabilitation Manual provides guidelines on section 36 rehabilitation assessments, examinations and determinations and is in line with the *Guidelines for Rehabilitation Authorities 2019*.

A typographical error was noted in the Rehabilitation Manual. 6.3.3, Step 4, Page 41

“When selecting a medical specialist it is at the discretion of the. National companies to consider are:”

**File Audit:**

There were ten files eligible for this criterion. File audit confirmed compliance.

## REHABILITATION PROGRAMS

### Criterion 3.7

The rehabilitation authority provides rehabilitation programs in accordance with section 37 of the SRC Act and the Guidelines, and ensures consultation occurs between all parties in regards to the rehabilitation process.

#### Finding: Conformance with 2 Observations

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20:
  - 9.3 Rehabilitation Programs (s37)
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20:
  - 6.3 Rehabilitation Assessment or Examination
  - 6.8 Rehabilitation Program Planning and development
- Procedure: Return to Work, ANUP\_017614, v2, effective 15/3/18, rev 15/3/21
- WRP SLA for the provision of workplace rehabilitation provider services between:
  - The ANU and APM, signed 17/06/19
  - The ANU and IPAR, signed 17/06/19
  - The ANU and Rehabilitation Services, signed 17/06/19
- File audit

**Comment:**

The 2018 file audit found 4 individual exceptions where the employee was certified as fit for suitable duties however there were no return to work activity or rehabilitation programs in place. A corrective action plan was implemented that incorporated training, strategic review practices and supporting templates. The current audit demonstrated resolution of this observation.

Section 6.8 of ANU's Rehabilitation Manual details rehabilitation program planning and development, Section 6.9 clearly outlines the process for developing a rehabilitation program. Section 6.10 outlines the rehabilitation program implementation, and section 6.11 outlines the processes for rehabilitation program monitoring and review.

It is noted that section 6.9.1 of the Rehabilitation Manual states that:

- The RCM should ensure the goals, responsibilities and timeframes in the rehabilitation program have been explained to all parties clearly;
- The RCM must ensure that they have addressed section 37 (3) a-h when making a determination

The November 2019 audit found that *"There was an inconsistent application of the 'rehabilitation start date' throughout the audit files. There was an instance where the start date was not stated on the s37 form, which made it difficult to determine whether the rehabilitation program started before the rehabilitation form was signed."*

It is noted that a corrective action plan has been implemented effective January 2020, verification of corrective action has therefore is unable to be verified.

**File Audit:**

Of the 11 files applicable to this criterion, file audit found 5 individual exceptions across 4 files:

- 3 files contained s37 determinations that did not specify a start date
- 2 files contained s37 determinations that were determined prior to completing consideration on s37(3) a-h

**Observation 2:**

Section 37 Rehabilitation Program determinations have been issued without a commencement date specified.

**Observation 3:**

Section 37 Rehabilitation Program determinations have been issued prior to completing consideration on s37(3) a-h.

**SUITABLE EMPLOYMENT****Criterion 3.8**

The employer takes all reasonable steps to provide employees with suitable employment or to assist employees to find such employment.

**Finding: Conformance****Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- ANUP\_017614 Return to Work Procedure, V2, effective 15/03/18, review 15/03/21

- File audit

**Comment:**

The ANU Rehabilitation Manual clearly outlines the requirement to provide suitable employment under the SRC Act.

Workplace rehabilitation aims to return injured employees to their pre-injury duties in their own workplace. A 'return to work hierarchy' is applied and detailed in the rehabilitation manual. Where return to original workplace is not possible, alternate work areas are sourced through the Human Resource Managers within various Colleges and Divisions. The manual also outlines the process for identifying alternative employment with external organisations

**File Audit:**

File audit confirmed compliance with this criterion.

**DETERMINATIONS, SUSPENSIONS AND RECONSIDERATIONS**

**Criterion 3.9**

The rehabilitation authority makes determinations in accordance with the SRC Act and the Guidelines:

- (i) that are in writing and give adequate reasons
- (ii) that are signed by the delegate
- (iii) that are not retrospective.

**Finding: Conformance with 1 Observation**

**Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Letter templates and forms
- File audit

**Comment:**

Chapter 6 of ANU's Rehabilitation Manual accurately describes the process for determinations under the SRC Act. ANU utilises template forms when making section 36 and section 37 determinations that satisfied the requirements of the SRC Act to be valid and enforceable.

The November 2019 audit noted that *"There was an inconsistent application of the 'rehabilitation start date' throughout the audit files. There was an instance where the start date was not stated on the s37 form, which made it difficult to determine whether the rehabilitation program started before the rehabilitation form was signed."*

It is noted that a corrective action plan has been implemented effective January 2020, verification of corrective action has therefore is unable to be verified.

**File Audit:**

Of the 14 files applicable to this criterion, file audit found four files that contained s37 determinations that had been signed retrospectively.

Three of these retrospective signings occurred where the s37(3) a-h considerations had been added to the determination post implementation date.

One determination contained a rehabilitation start date prior to the date of determination.

**Observation 4:**

There were four files that contained s37 determinations that had been signed retrospectively.

**Criterion 3.10**

The rehabilitation authority makes determinations in relation to employee non-compliance in accordance with the SRC Act, Guidelines and their written policy and procedures.

**Finding: Not able to verify****Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20 - 8 Employee Non-Compliance with Rehabilitation
- Letter templates
- File audit

**Comment:**

Section 8 of ANU's Rehabilitation manual provides clear guidance on making determinations in relation to employee non-compliance in accordance with the SRC Act, Guidelines and other written policies or procedures.

The manual provides guidance on non-compliance factors to consider and what constitutes a reasonable excuse. It also details that in the event of suspension of entitlement that medical expenses will continue to be paid.

Standard letter templates and forms have been implemented to support compliance to this criterion.

**File Audit:**

File audit found no activity relevant to this criterion.

**Criterion 3.11**

The rehabilitation authority complies with the provisions of the SRC Act when managing reconsiderations or reconsiderations of own motion. [Criterion applicable to licensees only].

**Finding: Not able to verify****Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20 - 8 Employee Non-Compliance with Rehabilitation
- Comcare Deed of Agreement - Reconsideration Services, 11/11/19, review 30/06/20
- Letter templates
- File audit

**Comment:**

The Rehabilitation Manual reflects self insurance arrangements and clearly details the arrangements and procedures for the reconsideration and review of decisions, including the location, classification and expertise of the person(s) who has responsibility for these functions, and the relationship of the reviewer to the initial decision maker.

An injured employee may request a review of decision in writing to the Manager Injury and Claims within the Work Environment Group, within 30 days of the date of notification of the decision.

The reconsideration process will commence with an aim to complete the decision within 30 days. If the matter is complex, of a sensitive nature, or if the Manager Injury and Claims has a conflict of interest, a review may be referred to the Comcare reconsiderations team as per the Deed of Agreement arrangements with Comcare for third party services. Although a review may be completed by a Comcare reconsiderations officer, the delegation for reconsideration of rehabilitation decisions remains with an officer of the ANU in line with the delegation framework.

**File Audit:**

File audit found no activity relevant to this criterion.

**CONFIDENTIALITY**

**Criterion 3.12**

The rehabilitation authority maintains the confidentiality of information and applies legislative requirements.

**Finding: Compliance with 1 Observation**

**Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- ANUP\_010007, Policy: Privacy, v6, effective 1/1/15, rev 31/12/17
- File audit

**Comment:**

ANU maintains the confidentiality of information and applies legislative requirements. ANU has a privacy policy which reflects the requirements of the *Privacy Amendment (Enhancing Privacy Protection) Act 2012* and acts in accordance with its legal obligations. The ANU's Policy – Rehabilitation and Compensation contains a commitment to maintaining confidentiality of personal information in accordance with applicable legislation.

Secure login to the Figtree claims management IT system is restricted to individual user ID and access levels.

Confidentiality of Electronic Records Management System (ERMS) records are protected through a file security system, which restricts access to records. For workers compensation files, these privacy settings ensure that only selected staff are able to view, edit or delete information. A full audit tracking system is available as part of the ERMS function to identify users that have accessed files. Previous paper based rehabilitation files (closed) have been scanned and stored in ERMS.

**File Audit:**

Of the 16 files applicable to this criterion, file audit found 1 individual exception:

- A claim document relating to another case were located on the claim file record within the claims module in Figtree. This was not located on the rehabilitation file.

**Observation 5:**

There was one instance where a claim document relating to another case was located on the claim file record (within the Figtree claim module -not on the rehabilitation file).

**DOCUMENT MANAGEMENT****Criterion 3.13**

The rehabilitation authority maintains the relevant level of reporting, records and/or documentation to support its rehabilitation management system and legislative compliance.

**Finding: Conformance****Evidence:**

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20 - 9 ANU Records Management
- File audit

**Comment:**

Section 9 of the Rehabilitation Manual provides guidance on ANU records Management. ANU largely maintains its Rehabilitation Files on FigTree. A back up of the files is also stored on the WEG teams shared drive in line with the ANU's Electronic Records Management System (ERMS), which is designed to store and manage University records through a series of folder structures called the Business Classification Scheme (BCS). The rehabilitation manual contains a documented file naming convention to ensure consistency.

This audit was undertaken by reviewing the Figtree files only which can be accessed through the university's webpage via secure individual login. Rehabilitation files are created and accessed through the unique incident number and claim number.

Rehabilitation file documents are stored under the case notes section within Figtree and identified under Injury Management.

The indexing of documents and protection from deletion are inherent features of the Figtree electronic file management. All documents uploaded are identified with a user-id and a date and time stamp. Any changes to those documents are electronically recorded.

Rehabilitation Management System documents were observed to contain version control identifiers and scheduled review dates.

**File Audit:**

File audit confirmed compliance with this criterion.

**ELEMENT 4: Measurement and Evaluation****MONITORING****Criterion 4.1**

The rehabilitation authority monitors planned objectives and performance measures for core rehabilitation management activities.

## Finding: Conformance

### Evidence:

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- Work Health and Safety Council Report, for the periods: 1 January - 31 December 2018, 1 January - 31 October 2019

### Comment:

ANU monitors planned objectives and performance measures for core rehabilitation management activities. Performance against measures is reported quarterly to the senior executive and the Vice Chancellor through the University Council meeting. Other regular monitoring and reporting include:

- Quarterly review of WEG deliverables as detailed on WEG business plan
- Quarterly reporting of safety and rehabilitation progress in line with the HR business plan
- Quarterly reporting to the WHS University Committee Meeting
- Monthly review of Figtree incident, injury and claims management system reporting;
- Monthly case file reviews; and
- Quarterly - Individual case file auditing.

## Criterion 4.2

The rehabilitation authority monitors rehabilitation providers' performance in terms of quality of service delivery, costs, progress reports and outcomes.

## Finding: Conformance

### Evidence:

- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Workplace Rehabilitation Provider – Quarterly Review Summary 1 July – 30 Sept 2019
- WRP SLA for the provision of workplace rehabilitation provider services between:
  - The ANU and APM, signed 17/06/19
  - The ANU and IPAR, signed 17/06/19
  - The ANU and Rehabilitation Services, signed 17/06/19
- Examples of feedback to WRPs (email)
- File audit

### Comment:

Section 7.6 of the Rehabilitation Manual details requirements for monitoring performance of Workplace Rehabilitation Providers (WRPs) and includes mechanisms for:

- Regular monitoring of costs and outcomes
- Updates to Service Level agreements
- Annual evaluation of WRP services
- Statistical analysis
- Internal audit of rehabilitation costs (including standard proforma tool)

Current service level agreements have been executed and are regularly reviewed and updated.

**File Audit:**

File audit confirmed compliance with this criterion confirming regular reporting, feedback and consultation on individual rehabilitation cases, some with written monthly reports on file.

Emails and file notes on the file demonstrated the active monitoring of the rehabilitation providers' performance in terms of quality of service delivery, costs, progress reports and outcomes.

**AUDITING AND REPORTING**

**Criterion 4.3**

The rehabilitation authority conducts an audit program—performed by competent personnel and in accordance with the requirements of the Commission and Comcare—to measure performance of its rehabilitation management system.

**Finding: Conformance**

**Evidence:**

- ANUP\_015807 Procedure: WHS Audit, effective 01/07/17, review 01/07/20
- ANU audit schedule 2018 - 2020
- BRM Risk Management: Service Level Agreement
- Comcare Regulator Audit November 2019
- BRM Rehabilitation Management System audit report – January 2019
- ANU Corrective Action Plan – January 2019
- ANU Rehabilitation Management System Corrective Action Plan – 2019-2020
- Individual Case File Audit
- Monthly case file review template

**Comment:**

The conditions of licence require The ANU to conduct an audit program of their rehabilitation management system. The WHS Audit Procedure and ANU audit schedule detail the process to which audit activity should take place.

Verification of independent audit of the Rehabilitation management system was undertaken by Comcare in November 2019 and BRM in January 2019. Both recent audits have resulted in 100% compliance.

Corrective action plans addressing areas of observation have been implemented.

**Criterion 4.4**

Audit outcomes are appropriately documented and actioned. The rehabilitation authority reports to senior executive on its rehabilitation management system performance, including audit outcomes.

**Finding: Conformance**

**Evidence:**

- Comcare Regulator Audit November 2019
- BRM Rehabilitation Management System audit report – January 2019
- ANU Corrective Action Plan – January 2019
- ANU Rehabilitation Management System Corrective Action Plan – 2019-2020

**Comment:**

Corrective action plans have been established following audits in January 2019 and November 2019. These plans have been communicated to Comcare and are available to all personnel via the intranet.

Audit reports and corrective action plans are provided to ANU Senior Executive as attachments to the University Council Report and the University WHS Committee papers. Regular reporting of these improvement actions and progress is reported to senior management

**Criterion 4.5**

The rehabilitation authority communicates the outcomes and results of rehabilitation management system audits to its employees.

**Finding: Conformance****Evidence:**

- ANU Intranet <https://services.anu.edu.au/human-resources/health-safety/rehabilitation-management-system-audit>

**Comment:**

Results of rehabilitation audit results within the ANU are communicated to all staff through the current governance and meeting arrangements for distribution of health and safety information with key stakeholders:

- WHS Policy Committee Meetings;
- College, School and Divisional Work Health and Safety Committees;
- Technical and Advisory Committees;
- HR Leader Forums;
- Staff intranet pages

The ANU intranet page was verified confirming full disclosure of recent audit reports and corrective action plans.

**Criterion 4.6**

The rehabilitation authority provides the Commission or Comcare with reports or documents as requested.

**Finding: Conformance****Evidence:**

- Safety Rehabilitation and Compensation Commission - quarterly performance reporting against the Lead Key Performance Indicators - Example Q4 2018-2019

- Attachment 18: Safety Rehabilitation and Compensation Commission - annual report 1 July 2018 - 28 February 2019

**Comment:**

Monthly Commission Data Warehouse (CDW) submissions are made by the ANU. The ANU also provides quarterly and annual reports and any additional information as requested by Comcare.

## ELEMENT 5: Review and Improvement

### CONTINUOUS IMPROVEMENT

#### Criterion 5.1

The rehabilitation authority analyses rehabilitation management system performance outcomes against documented objectives to determine areas requiring improvement and promotes and implements continuous improvement strategies.

#### Finding: Conformance

**Evidence:**

- Human Resources Divisional (HRD) Business Plan 2019
- Work Environment Group Business Plan 2019
- Work Environment Obligations Register.
- ANUP\_015807 Procedure: WHS Audit, effective 01/07/17, review 01/07/20
- Comcare Regulator Audit November 2019
- BRM Rehabilitation Management System audit report – January 2019
- ANU Corrective Action Plan – January 2019
- ANU Rehabilitation Management System Corrective Action Plan – 2019-2020
- Rehabilitation Manual, v11, approved 20/12/19, review 20/12/20
- Workplace Rehabilitation Provider – Quarterly Review Summary 1 July – 30 Sept 2019

**Comment:**

The ANU has presented a number of documents that demonstrate analysis of rehabilitation management system performance outcomes against documented objectives to determine areas requiring improvement and promotes and implements continuous improvement strategies.

Strategic plans are in place with outcomes and timeframes stipulated.

An audit program is in place. All observations arising out of audit have been addressed via implementation of corrective action plans.

Regular monitoring of caseload data and emerging risks is well documented.

The introduction of a more structured approach to monitoring performance of external WRPs was observed.