



Australian Government
**Safety, Rehabilitation and
Compensation Commission**

2016–17 Annual Report against the Regulator Performance Framework

30 JUNE 2017

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Australian Government
**Safety, Rehabilitation and
Compensation Commission**

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21 February 2018

The Hon Craig Laundry MP
Minister for Small and Family Business, the Workplace and Deregulation
Parliament House
CANBERRA ACT 2600

Dear Minister Laundry

I have pleasure in presenting to you the Regulator Performance Framework (RPF) self-assessment report for 2016-17 for the Safety, Rehabilitation and Compensation Commission (Commission).

I certify, as the Accountable Authority of the Commission, that this document has been drafted consistent with the requirements of the Government's RPF, approved by the Commission, externally validated and once approved by you, will be published on the Commission's website.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'Rig'.

Rosemary Vilgan
Chairperson



Executive summary

This is the second annual self-assessment by the Safety, Rehabilitation and Compensation Commission (Commission) against the Government's Regulator Performance Framework.

The self-assessment identified that the Commission has met 16 out of 18 (89 per cent) of the measures that fall under the six key performance indicators (KPIs).

Background

The Commission is established by the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act). It has functions under both the SRC Act and the *Work Health and Safety Act 2011* (WHS Act).

One of its key functions is regulating self-insurance under the SRC Act, which includes granting and revoking licences and monitoring licensees' compliance against the Commission's conditions of self-insurance licence.

The Commission consulted directly with regulated entities (self-insurance licensees) both in developing its Regulator Performance Framework KPIs and on its 2016–17 self-assessment.

Findings

The self-assessment found that of the 18 measures, 16 were fully met and two continue to be rated partially met.

The measure rated as partially met are:

KPI 2.1: The Commission provides guidance and information that is up to date, clear, accessible and concise through media appropriate to the target audience. Guidance material and information complies with government accessibility guidelines.

KPI 6.3: The Commission regularly shares feedback from stakeholders and performance information (including from inspections) with policy departments to improve the operation of the regulatory framework and administrative processes. Documented procedures are in place to facilitate the flow of information between the regulator and policy departments.

In relation to KPI 2.1, not all of the documents on the Commission's website comply with the Government's accessibility guidelines. Through an existing body of work to review and update the Commission's website, the website and published documentation continue to be reviewed and updated in line with the Government's accessibility guidelines.

Furthermore, with release of the new regulatory model and implementation of all elements by 30 June 2017, the requirement to finalise updates of information and guidance to reflect the model continues to progress beyond the self-assessment period to 30 June 2017. *Note—completion of the first stage update to the website has been completed and reference links provided on pages 5 to 33 are to the updated site.*

In relation to KPI 6.3, whilst work has progressed to revise and strengthen the Commission's governance documentation to better facilitate the flow of information between the Commission and the Department of Employment (its policy department), final document control processes remain in progress.

These improvements will continue to be made in the 2017-18 year.

Reporting against the key performance indicators

Summary

KPI	Measure	Status
KPI 1: The Commission does not unnecessarily impede the efficient operation of regulated entities.	1.1 The Commission demonstrates an understanding of the operating environment of the industry, or organisation, or the circumstances of individuals and the current emerging issues that affect the sector.	●
	1.2 The Commission takes actions to minimise the potential for unintended negative impacts of regulatory activities on regulated entities or affected supplier industries and supply chains.	●
	1.3 The Commission implements continuous improvement strategies to reduce the costs of compliance for those they regulate.	●
KPI 2: The Commission communicates with regulated entities in clear, targeted and effective manner.	2.1 The Commission provides guidance and information that is up to date, clear, accessible and concise through media appropriate to the target audience.	●
	2.2 The Commission considers the impact on regulated entities and engages with industry groups and representatives of the affected stakeholders before changing policies, practices or service standards.	●
	2.3 The Commission's decisions and advice are provided in a timely manner, clearly articulating expectations and the underlying reasons for decisions.	●
	2.4 The Commission's advice is consistent and supports predictable outcomes.	●
KPI 3: Actions undertaken by the Commission are proportionate to the regulatory risk being managed.	3.1 The Commission applies a risk-based, proportionate approach to compliance obligations, engagement and regulatory enforcement actions.	●
	3.2 The Commission's preferred approach to regulatory risk is regularly reassessed. Strategies, activities and enforcement actions are amended to reflect changing priorities and evolving regulatory threats, without diminishing regulatory certainty or impact.	●
	3.3 The Commission recognises the compliance record of regulated entities, including using earned autonomy where this is appropriate. All available and relevant data on compliance, including evidence of relevant external verification is considered.	●
KPI 4: Compliance and monitoring approaches are streamlined and coordinated.	4.1 The Commission's information requests are tailored, coordinated, only when necessary and utilises existing information to secure regulatory objectives, and information requests are made to minimise impact.	●
	4.2 The Commission bases monitoring and inspection approaches on risk and, where possible, takes into account the circumstance and operational needs of the regulated entity.	●
KPI 5: The Commission is open and transparent in its dealings with regulated entities.	5.1 The Commission's risk-based frameworks are publicly available in a format which is clear, understandable and accessible.	●
	5.2 The Commission is open and responsive to requests from regulated entities regarding the operation of the regulatory framework, and approaches implemented by the Commission.	●
	5.3 The Commission's performance measurement results are published in a timely manner to ensure accountability to the public.	●
KPI 6: The Commission actively contributes to the continuous improvement of regulatory frameworks.	6.1 The Commission establishes and maintains cooperative and collaborative relationships with stakeholders to promote trust and improve the efficiency and effectiveness of the regulatory framework.	●
	6.2 The Commission engages all relevant stakeholders in the development of options to reduce compliance costs. This could include changes to the overarching regulatory framework, or other strategies to streamline monitoring and compliance approaches.	●
	6.3 The Commission regularly shares feedback from stakeholders and performance information (including from inspections) with policy departments to improve the operation of the regulatory framework and administrative processes.	●

Legend: ● Indicator is met ● Indicator is partially met/at risk of not being met for the period ● Indicator is not met

KPI 1: The Commission does not unnecessarily impede the efficient operation of the regulated entities

Measure of Good Regulatory Performance 1.1: The Commission demonstrates an understanding of the operating environment of the industry, or organisation, or the circumstances of individuals and the current emerging issues that affect the sector.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Access to documented knowledge base on regulated entities, their environment and issues impacting them.</p>	<p>At its quarterly meetings the Commission is provided with updates on:</p> <ul style="list-style-type: none"> • issues relevant to current regulated entities (licensees) • forward looking issues relevant to potential licence applications (self-insurance matters update paper) • strategic update from Comcare on issues impacting on it as well as scheme performance and a work health and safety regulatory matters update (Comcare strategic update paper). <p>The Commission is provided with an annual report by each licensee, or group of licensees (the Licensee Compliance, Performance and Improvement (LCPI) report), which includes its achievements for the year, key issues impacting on them and their performance, and the key actions planned for the next reporting period (refer June 2017 paper, LCPI reports and meeting minutes).</p> <p>Commissioners have access to a range of historical papers, performance information and governance documentation.</p> <p>Commissioners are provided with a weekly email update that includes a summary of media relevant to their roles and the entities they regulate.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Sections: SRCC meetings Latest news</p>

Measure of Good Regulatory Performance 1.2: The Commission takes actions to minimise the potential for unintended negative impacts of regulatory activities on regulated entities or affected supplier industries and supply chains.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Regular, ongoing consultations or engagement with stakeholders on policies and procedures, including independent experts and industry associations, where relevant.</p>	<p>The Commission is comprised of Members representing the interests of the scheme, including:</p> <ul style="list-style-type: none"> • three Members representing the interests of employees • one Member representing the interests of licensees • one Member representing the interests of the Commonwealth • one Member representing the interests of the Defence Force • one Member representing the interest of the Australian Capital Territory • the Chief Executive of Safe Work Australia. <p>The Commission, in the development of its Licence Compliance and Performance Model (self-insurance regulatory model), consulted extensively with:</p> <ul style="list-style-type: none"> • licensees • unions • experts • Comcare. <p>The Commission held a 60 minutes panel session (consisting of Comcare, licensees, unions and premium payers) at Comcare's 2016 National Conference titled "Meeting the WHS challenges from changing nature of work".</p> <p>The Commission consulted with stakeholders (including licensees and affiliates) in developing guidance for licensees on Provision of Information and Consultation Requirements.</p> <p>The Commission holds an annual meeting with licensees to discuss matters impacting on them. This year it occurred on 8 March 2017 and matters such as the new self-insurance regulatory model and the progress of the final elements for implementation, as well as general self-insurance issues were discussed. Further to the annual meeting, the Commissioner representing licensees presents, through liaison with licensees, better practice shared learnings of licensees to Commission meetings as applicable.</p> <p>Stakeholder engagement and consultation included, but was not limited to:</p> <ul style="list-style-type: none"> • Licensee/Comcare/Affiliate working group meetings—three (3) meetings conducted across August to October 2016. • Safety, Rehabilitation and Compensation Licensees Association (SRCLA) RPF Consultation Meeting—29 November 2016 • Licensee Liaison Forums—five (5) forums conducted; 143 attendances by licensees. • Annual Meeting with Licensees—attended by representatives of 23 licensees. 	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: About the Commission—Commissioners SRCC Annual Report 2016–17 Sections: Membership Operations of the Commission Licensing</p>

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Documented responsiveness to feedback from regulated entities, including feedback from existing complaint mechanisms and surveys of regulated entities.	Supporting evidence as per detail provided against KPI 1.2.		Indicator met. Continuous Improvement Opportunity—explore opportunities to expedite responses to licensee feedback.	As above
Regulatory operations consider the knowledge base prior to commencing action.	<p>The key document through which the Commission considers regulatory action is the annual assessment of licensee performance provided yearly at the June Commission meeting. This paper provides Commissioners with:</p> <ul style="list-style-type: none"> • an overview of the Commission’s self-insurance regulatory model • a range of performance related information for each licensee (based on the requirements of the Commission’s self-insurance regulatory model), including performance against KPIs and the outcomes of and actions taken following audits of licensees’ management systems • an assessment by Comcare of this performance information against the Commission’s LCPI report against the self-insurance regulatory model and its recommendations for regulatory action. <p>The Commission also has access to its own policies, including:</p> <ul style="list-style-type: none"> • Policy on variation of a licence under Part VIII of the SRC Act • Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act • Policy on suspension or revocation of a licence under Part VIII of the SRC Act • Policy on extension of a licence under Part VIII of the SRC Act • Policy on consultation and dispute resolution for licensing decisions of the Commission impacting on Licensees under Part VIII of the SRC Act. 		Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: Publications—Policies SRCC Annual Report 2016–17 Section: Licensing

Measure of Good Regulatory Performance 1.3: The Commission implements continuous improvement strategies to reduce the costs of compliance for those they regulate.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Demonstrated engagement with relevant organisations to learn from peer experiences and share better practice.</p>	<p>The composition of the Commission and industry bases of licensees facilitates continued learning and sharing of best practice to enable the Commission to consider, and implement where appropriate, continuous improvement strategies to reduce the costs of compliance.</p> <p>The composition of the Commission includes, but is not limited to, representation from the Australian Council of Trade Unions, Safe Work Australia, and members with qualifications or experience relevant to the SRCC's functions, or the exercise of its powers.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: About the Commission—Commissioners SRCC Annual Report 2016–17 Sections: Membership Operations of the Commission Licensing</p>
<p>Regular review of regulatory model confirming no need to or benefit from making changes or any change identified as necessary and/or beneficial is subject to compliance cost/benefit analysis.</p>	<p>The Commission has been reviewing its self-insurance regulatory model for the past 18 months, with the final elements implemented in June 2017.</p> <p>Through its consultation and feedback mechanisms, the Commission will continue to update and refine this framework, as it did with its current framework.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Sections: SRCC meetings Latest news SRCC Annual Report 2016–17 Sections: Chairperson's review Licensing</p>

KPI 2: The Commission communicates with regulated entities in clear, targeted and effective manner

Measure of Good Regulatory Performance 2.1: The Commission provides guidance and information that is up to date, clear, accessible and concise through media appropriate to the target audience.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Guidance material and information that complies with government accessibility guidelines</p>	<p>The Commission's website provides a range of policies and guidance material.</p> <p>The Commission has commenced a review of its website (structure and content) which will ensure compliance with government accessibility guidelines. This body of work continues to progress. Release of the first stage update was due for release by 30 June 2017.</p> <p>As part of the first stage update, Licensee consultation was undertaken, and feedback on the proposed revised content and page layout from Licensees and other user groups received in July 2017. Consolidation of feedback and progression of the changes required revision of the date for completion to August 2017.</p>	<p>●</p>	<p>Indicator partially met</p> <p>First stage released completed August 2017.</p> <p>Further update to the website content is to continue across 2017-18.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>All content as required</p> <p>General site information provides an accessibility and contact details</p>
<p>Feedback (including measures of use, e.g. web visits) received from regulated entities and others inform guidance material and information.</p>	<p>The Commission receives feedback from regulated entities through a range of mechanisms, including the annual Commission-licensee meeting and the Licensee Liaison Forum.</p> <p>In 2016–17, following feedback from licensees on what constituted consultation and when this was to occur, the Commission developed guidance for licensees on Provision of Information and Consultation Requirements.</p> <p>The Commission has a range of documentation available to stakeholders on its website, including, for example, the Licensee Handbook and the Commission's policies in relation to licensing under Part VIII of the SRC Act.</p> <p>The Commission's policies provide information to licensees and interested participants on the policies that guide the Commission's decision making framework.</p> <p>The Licensee Handbook provides guidance and information to licensees to support them to meet their conditions of licence.</p> <p>As an example of usage, site visit statistics indicate that both the <i>Becoming a licensee</i> and <i>Licence condition</i> audience tabs generally have a high level of usage. Site visit usage analysis informed, in part, the first stage webpage release as reported above.</p>	<p>●</p>	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>As above</p>

Measure of Good Regulatory Performance 2.2: The Commission considers the impact on regulated entities and engages with industry groups and representatives of the affected stakeholders before changing policies, practices or service standards.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Policy, practices and standard changes which are preceded by comprehensive engagement with stakeholders</p>	<p>The Commission has a policy on consultation and dispute resolution for licensing decisions of the Commission impacting upon Licensees under Part VIII of the SRC Act. This policy provides the framework under which the Commission engages and consults with licensees in relation to making changes to a range of matters, including licensing conditions, and the regulatory model.</p> <p>The Commission has engaged with stakeholders in relation to:</p> <ul style="list-style-type: none"> • reviewing its self-insurance regulatory model • developing guidance for licensees on Provision of Information and Consultation Requirements 	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: Publications— Policies</p>
<p>Feedback is sought from all relevant stakeholders on guidance and advice provided by the regulator via a wide range of mechanisms, including stakeholder surveys.</p>	<p>Commission membership and feedback mechanisms as per supporting evidence provided against KPI 1.2.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: About the Commission— Commissioners SRCC Annual Report 2016–17 Section: Licensing</p>

Measure of Good Regulatory Performance 2.3: The Commission's decisions and advice are provided in a timely manner, clearly articulating expectations and the underlying reasons for decisions.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Maximum, minimum and average time for decision.</p>	<p>The Commission's Policy on consultation and dispute resolution for licensing decisions of the Commission impacting upon Licensees under Part VIII of the SRC Act states, among other things, that:</p> <p><i>The Commission, Licensees and Comcare agree that in relation to decisions of the Commission impacting upon Licensees they will:</i></p> <ul style="list-style-type: none"> • <i>meet all timeframes relevant to the Commission's decision making processes—for example, as specified in legislation, regulations, Ministerial Directions and conditions of licence</i> • <i>meet all reasonable timeframes as required.</i> <p>The SRC Act does not stipulate timeframes for decision making.</p> <p>In relation to self-insurance licence applications, the Commission's website notes, "The legislation does not stipulate a timeframe for the evaluation of self-insurance licence applications and it can vary depending on the complexity of the information provided. The preparedness and capacity of the licence applicant to meet all of the requirements will enable the process to be undertaken in a timely manner."¹</p> <p>In 2016–17 the Commission received and considered two licence applications:</p> <ul style="list-style-type: none"> • Virgin Australia Airlines' licence application was received on 26 May 2016 and its licence was granted by the Commission at its 15 September 2016 meeting (just under three and a half months); and • Ron Finemore Transport Services' licence application was received on 27 February 2017 and granted by the Commission at its 15 June 2017 meeting (just over three and a half months). <p>The Commission received five (5) requests for a statement of reasons as per the <i>Administrative Decisions (Judicial Review) Act 1977</i> (ADJR Act) in relation to decisions it had made. Both were provided within the 28-day requirement of the ADJR Act.</p> <p>In 2016–17, the Commission's Premiums and Regulatory Contributions Review sub-committee was not required to convene. No reviews were required of Comcare reviews of determination of premium or regulatory contributions as per section 97K of the SRC Act.</p>	●	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Sections: Latest News SRCC Meetings—Notices Publications—Policies</p>
<p>Published timeframes for decision making</p>	<p>Evidence to support rating as per above item—<i>Maximum, minimum and average time for decision.</i></p>	●	<p>Indicator met. No further actions recorded for improvement.</p>	<p>As above</p>
<p>Decisions are accompanied by statement of reasons where required</p>	<p>Where the Commission makes an adverse decision in relation to licensing matters, a statement of reasons is issued to the affected party.</p> <p>The Commission provided, on request, statements of reason as per the <i>Administrative Decisions (Judicial Review) Act 1977</i> (ADJR Act) in relation to two decisions it had made in 2016–17.</p> <p>The Commission also provides a statement of reasons where it reviews premium determinations under section 97K of the SRC Act. No premium determination reviews were conducted in 2015-16.</p>	●	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: Publications—Policies</p>

¹ https://www.srcc.gov.au/information_for_self-insurers/information_for_applicants_and_interested_parties/how_a_licence_application_is_considered

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Demonstrated mechanisms for responding to stakeholder engagement/complaint.	Commission membership and feedback mechanisms as per supporting evidence provided against KPI 1.2. The Commission meets quarterly at which time any Member can bring an item to the agenda for consideration which is otherwise not on the agenda. Employees of licensees can make complaints about the operations of their employer under their self-insurance licence. Comcare manages these complaints on behalf of the Commission and reports on these complaints at each regular quarterly meeting.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: About the Commission— Commissioners SRCC Annual Report 2016–17 Section: Licensing
Demonstrated engagement with regulated entities to inform them of the regulators' expectations	Commission membership and feedback mechanisms as per supporting evidence provided against KPI 1.2.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: About the Commission— Commissioners SRCC Annual Report 2016–17 Section: Licensing

Measure of Good Regulatory Performance 2.4: The Commission's advice is consistent and supports predictable outcomes.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Approved procedures for communications are available for staff use when interacting with regulated entities.	Commissioners have access to the <i>Guide to Commission Governance and Commissioner Responsibilities</i> which outlines their roles and responsibilities as Commissioners. All Commission papers have classification markers that provide a framework through which the content of those papers can (or can't) be released to stakeholders. The classification markers are explained in the Commissioners' governance document. The Commission has published policy documents that detail when the Commission will communicate with licensees and affected parties. Examples of these policy documents include: <ul style="list-style-type: none"> • Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act • Policy on consultation and dispute resolution for licensing decisions of the Commission impacting upon Licensees under Part VIII of the SRC Act. The Commission has no staff. Comcare, on behalf of the Commission, provides an Account Management model through which advice is provided to current and potential future licensees in relation to the self-insurance regulatory framework.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: Publications— Policies Information for self-insurers

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Advice provided to regulated entities is consistent with communication policies.	The Commission has no staff. Comcare, on behalf of the Commission, provides an Account Management model through which advice is provided to current and potential future licensees in relation to the self-insurance regulatory framework.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: Publications— Policies Information for self-insurers
Communications with regulated entities include clear and consistent reasons for the communication and, where relevant linkage with the risk framework.	The Commission has a strategic risk register which was updated during the 2016–17 period. Comcare has a risk management framework in place. The Commission communicates with licensees to inform them of relevant decisions, including licence fees, regulatory action etc. (refer to letters to licensees following the June 2016 Commission meeting). Where an adverse decision is made, a statement of reasons is provided. The Commission issued statements of reason in relation to two decisions made in 2016–17			srcc.gov.au Sections: Publications— Policies Information for self-insurers

KPI 3: Actions undertaken by The Commission are proportionate to the regulatory risk being managed.

Measure of Good Regulatory Performance 3.1: The Commission applies a risk-based, proportionate approach to compliance obligations, engagement and regulatory enforcement actions.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Risk management policies and procedures are available to regulator staff and the public.	The Commission has no staff. In 2016–17, a working group of Commissioners was established to review the Commission’s strategic risk register to ensure that it accurately captured its risks. Following this review, the amended risk register was endorsed by the Commission at its 8 March 2017 meeting. A rolling review of the Commission’s risks was undertaken in 2016–17.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: Publications— Policies
Compliance and enforcement strategies, consistent with agreed risk management policies, are implemented.	The Commission’s Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act is a risk based approach to regulation and is available on the Commission’s website. The Commission’s self-insurance regulatory framework is risk based. Decisions by the Commission in relation to regulatory oversight, which are consistent with this regulatory framework, are risk based.	●	Indicator met. Continuous improvement Action— This policy is currently under review in line the Commission’s work to review the self-insurance regulatory framework.	srcc.gov.au Section: Publications— Policies

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Statements of expectations and intent are published	<p>The Commission's policies, which express the Commission's expectations and intent, are available on the Commission's website.</p> <p>The Commission's strategic plan is also published on the Commission's website.</p> <p>The Commission's strategic plan, which is reviewed annually, includes linkage of strategic priorities to KPI indicators of the RPF.</p>		<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p>
Relevant staff trained in risk management policies, processes and procedures.	<p>Commissioners are appointed to their positions based on the SRC Act specifications, as well as their relevant qualifications and experience.</p> <p>When appointed, Commissioners are provided a package of documentation, including the Guide to Commission Governance and Commissioner Responsibilities, as well as Commission policies.</p> <p>The Commission has no staff. Comcare support staff are trained in risk management.</p>		<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p> <p>SRCC Strategic Plan 2017-18</p>
Relevant staff trained in risk management policies, processes and procedures.	<p>Commissioners are appointed to their positions based on the SRC Act specifications, as well as their relevant qualifications and experience.</p> <p>When appointed, Commissioners are provided a package of documentation, including the Guide to Commission Governance and Commissioner Responsibilities, as well as Commission policies.</p> <p>The Commission has no staff. Comcare support staff are trained in risk management.</p>		<p>Indicator met.</p> <p>Continuous improvement action—review of the Commission's training needs being undertaken to identify most effective way to ensure that Commissioners are aware of their responsibilities and accountabilities</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>About the Commission—Commissioners</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p>

Measure of Good Regulatory Performance 3.2: The Commission's preferred approach to regulatory risk is regularly reassessed. Strategies, activities and enforcement actions are amended to reflect changing priorities and evolving regulatory threats, without diminishing regulatory certainty or impact.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Documented procedures in place to review risk approaches regularly including considering with stakeholders on risk approaches.	<p>The Commission's strategic risk register is reviewed regularly to ensure that it is current.</p> <p>The Commission reviews the discharge of its statutory responsibilities at each regular quarterly meeting. It reports on the discharge of these responsibilities through its annual report.</p> <p>A standing paper is provided to the Commission at each regular quarterly meeting on updates relevant to licensees, including updates to enforcement actions.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p>
Documented enforcement strategy includes options for graduated compliance actions consistent with regulators' powers.	<p>As per KPI 3.1, the Commission's Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act is a risk based graduated approach to regulatory decisions and actions.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Section:</p> <p>Publications—Policies</p>

Measure of Good Regulatory Performance 3.3: The Commission recognises the compliance record of regulated entities, including using earned autonomy where this is appropriate. All available and relevant data on compliance, including evidence of relevant external verification is considered.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Documented enforcement strategy which allows for the compliance records of regulated entities to be considered in determining regulatory actions.	<p>The Commission's Policy on the regulatory approach sets out the staged approach to regulation.</p> <p>The Commission's regulatory framework, through which it regulates licensees, is published on the Commission's website.</p> <p>The key document through which the Commission considers regulatory action in relation to licensees, under the regulatory framework, is the annual assessment of licensee performance provided yearly at the June Commission meeting. This paper provides Commissioners with:</p> <ul style="list-style-type: none"> • an overview of the Commission's regulatory model • a range of performance related information for each licensee (based on the requirements of the Commission endorsed regulatory model), including performance against key performance indicators and the outcomes of and actions taken following audits of licensees' management systems • an assessment by Comcare of this performance information against the LCPI report and regulatory model and its recommendations for regulatory action. <p>To support this paper, the Commission is also provided with the annual LCPI report, audit reports and any other supporting documentation relevant to consideration by the Commission.</p> <p>A standing paper is provided to the Commission at each regular quarterly meeting on updates relevant to licensees, including updates to enforcement actions.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p> <p>Information for self-insurers</p> <p>SRCC Annual Report 2016-17</p> <p>Section:</p> <p>Licensing</p>

KPI 4: Compliance and monitoring approaches are streamlined and coordinated

Measure of Good Regulatory Performance 4.1: The Commission's information requests are tailored, coordinated, only when necessary and utilises existing information to secure regulatory objectives, and information requests are made to minimise impact.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Evidence of collected information being acted upon, stored and re-used.	<p>The Commission does not have any resources of its own. Comcare provides the staffing and resources to manage any data collected and used by the Commission.</p> <p>The Commission's Privacy Policy outlines the privacy obligations of the Commission and its commitment to meeting its highest standards when collecting, storing, using and disclosing personal information.</p> <p>Through the self-insurance regulatory model, the Commission obtains a variety of information from licensees. This information is stored by Comcare. Comcare analyses this information and provides it to the Commission throughout the year in various formats, in particular:</p> <ul style="list-style-type: none"> • self-insurance matters update paper provided to each quarterly meeting • a scheme performance summary report provided to each quarterly meeting • the annual assessment of licensee performance. <p>This later paper is the primary mechanism by which the Commission makes regulatory related decisions.</p> <p>The Commission is provided with a rolling twelve-month view of licensee performance against key performance indicators, as well as supporting documentation such as audit reports and LCPI reports.</p>	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: Publications—Policies Publications—Corporate documents Information for self-insurers SRCC Annual Report 2016–17 Section: Licensing
Documented decision-making procedures for information requests requiring consideration of the necessity of a request and the impact of the request.	<p>Outside the information that is provided by licensees under the self-insurance regulatory model, the Commission has the power under the SRC Act and the Commission endorsed conditions of self-insurance licence to obtain information from licensees.</p> <p>The Commission's Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act provides for a graduated and risk based response to regulation. This framework sets the direction through which the Commission seeks additional information from licensees.</p> <p>The Commission has written to a licensee in 2016–17 seeking further information about its performance.</p>	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: Publications—Policies Publications—Corporate documents Information for self-insurers
Following a process to determine whether information is already held by the Commission or other regulatory bodies before requesting information from the regulated entities.	<p>Comcare provides support to the Commission in order for it to fulfil its functions. Relevant Comcare staff are made available to the Commission (at and outside of meetings) to address any questions or concerns that Commissioners may have. After following this process, if the Commission identifies further relevant information that it would like, then it will be requested of a licensee.</p>	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: Publications—Policies Publications—Corporate documents Information for self-insurers

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Timing of requests for information takes into account the desirability of minimising and consolidating requests made to regulated entities.</p>	<p>The Commission seeks a range of information from licensees at set points, and also on an ad-hoc basis. The quarterly Licensees Liaison Form is utilised as a primary forum for requests of information.</p> <p>Noting the significant and ongoing work in relation to the development of the new self-insurance regulatory model, no specific activity has been undertaken in 2016–17 to consolidate requests for information. With same, there has been no feedback received from licensees that the information requests are burdensome.</p> <p>As an example, feedback received from a licensee included comment that ...</p> <p><i>(w)e consider the (RPF) self-assessment to be an accurate reflection of the Commission's performance and consider that the work the Commission has undertaken to build on and improve engagement and oversight has been largely very positive from our experience. We do consider it important however, to raise an example relevant to KPI 1 & 2, where the nature of communication and engagement could be improved...The transition year for the new regulatory framework has been a challenging one for licensees. Not only did it introduce new and/or additional measures and a new reporting framework, it also required licensees to undertake significant work to consider how best to adapt and improve operations to achieve the positive outcomes across rehabilitation, claims and prevention.</i></p>	<p>●</p>	<p>Indicator met.</p> <p>Continuous Improvement Opportunity—continue to explore opportunities to consolidate information requests in 2016–17 through the ongoing development of the regulatory model and more generally.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p> <p>Information for self-insurers</p> <p>SRCC Annual Report 2016–17</p> <p>Section: Licensing</p>

Measure of Good Regulatory Performance 4.2: The Commission bases monitoring and inspection approaches on risk and, where possible, takes into account the circumstance and operational needs of the regulated entity.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Demonstrated transparency of inspection and monitoring arrangements	<p>The Commission's Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act is a risk based regulatory approach. The principles and consultation process in that document promote transparency and consultation in the Commission's decision-making process.</p> <p>The Commission's current self-insurance regulatory model provides for a consistent yet flexible approach to monitoring of licensee performance.</p> <p>The key document through which the Commission considers regulatory action in relation to licensees, under the regulatory framework, is the annual assessment of licensee performance provided yearly at the June Commission meeting. This paper provides Commissioners with:</p> <ul style="list-style-type: none"> • an overview of the Commission's regulatory model • a range of performance related information for each licensee (based on the requirements of the Commission endorsed regulatory model), including performance against key performance indicators and the outcomes of and actions taken following audits of licensees' management systems • an assessment by Comcare of this performance information against the LCPI report and regulatory model and its recommendations for regulatory action. <p>Comcare's Account Managers engage with licensees on the recommendations that are made by Comcare to the Commission that affect their licence (and regulation thereunder).</p>		<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Sections: Publications— Policies Publications— Corporate documents Information for self-insurers SRCC Annual Report 2016–17 Section: Licensing</p>
Feedback mechanisms to seek stakeholder views on inspection and monitoring regime.	<p>The Commission is has undertaken a comprehensive review of its self-insurance regulatory framework. This review considers stakeholders' views on the inspection and monitoring regime.</p> <p>Supporting evidence included that detailed as per KPIs 1.2 and 4.1.</p>		<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: About the Commission— Commissioners SRCC Annual Report 2016–17 Sections: Membership Operations of the Commission Licensing</p>
Monitoring and enforcement strategies that allows for a range of regulatory responses.	<p>As per KPI 3.1, the Commission's Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act is a risk based regulatory approach that provides for a staged approach to regulation.</p>		<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: Publications— Policies</p>

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Regular review and assessment of agreed monitoring and compliance strategies, including use of earned autonomy approaches.	<p>The Commission's regulatory model is a staged approach to regulation, inclusive of earned autonomy for those that demonstrate good performance and continuous improvement.</p> <p>Where the Commission imposes monitoring (and or inspection) in addition to that stipulated in its self-insurance regulatory model, it regularly monitors and reviews the ongoing need for this additional regulation through performance updates specific to the licensee provided at regular quarterly meetings.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications—Policies</p> <p>Publications—Corporate documents</p> <p>Information for self-insurers</p>

KPI 5: The Commission is open and transparent in its dealings with regulated entities

Measure of Good Regulatory Performance 5.1: The Commission's risk-based frameworks are publicly available in a format which is clear, understandable and accessible.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Enforcement strategy and risk approach are published.	<p>As per 3.1, the Commission's Policy on the regulatory approach relating to licensing under Part VIII of the SRC Act is a risk based regulatory approach and is available on the Commission's website.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Section:</p> <p>Publications—Policies</p>

Measure of Good Regulatory Performance 5.2: The Commission is open and responsive to requests from regulated entities regarding the operation of the regulatory framework, and approaches implemented by the Commission.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Advice and guidance is available to all stakeholders.	<p>The Commission's website contains the Commission's policies and guidance material, as well as the Licensee Handbook which are available to stakeholders and to the public.</p>	●	<p>Indicator met.</p> <p>No further actions recorded for improvement.</p>	<p>srcc.gov.au</p> <p>Sections:</p> <p>Publications</p>

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
<p>Demonstrated feedback mechanisms in place to support and inform continuous improvement.</p>	<p>As per supporting evidence included that detailed as per KPIs 1.2 and 4.1, the Commission, through its review of its self-insurance regulatory framework, has engaged extensively with licensees on opportunities to improve the model.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: About the Commission—Commissioners SRCC Annual Report 2016–17 Sections: Membership Operations of the Commission Licensing</p>
<p>Responses to requests from regulated entities provided within specified timeframes.</p>	<p>The Commission’s Policy on consultation and dispute resolution for licensing decisions of the Commission impacting on Licensees under Part VIII of the SRC Act states that the Commission will meet all reasonable timeframes as required.</p> <p>The Commission has received requests from licensees in relation to the application of the regulatory model. These were received, considered and determined in timeframes appropriate to the nature of the request and the application of the regulatory framework.</p> <p>Following a request from a licensee, a statement of reasons for the Commission’s decision in relation to that licensee was provided within the 28-day timeframe set by the ADJR Act</p> <p>The Commission also has, as part of its website, an access to information page, which provides detail on accessing information that the Commission holds, including requests for information under the <i>Freedom of Information Act 1982</i>.</p>	<p>●</p>	<p>Indicator met. No further actions recorded for improvement.</p>	<p>srcc.gov.au Section: Information for self-insurers—Regulator Performance Framework SRCC Annual Report 2016–17 Sections: Operations of the Commission Licensing srcc.gov.au Section: Access to Information</p>

Measure of Good Regulatory Performance 5.3: The Commission's performance measurement results are published in a timely manner to ensure accountability to the public.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Performance measurement results are published.	The Commission publishes performance information in its annual report, which is available on the Commission's website. The Commission published its 2015-16 self-assessment of its performance under the Regulator Performance Framework through its website, and will publish its 2016-17 self-assessment through this channel.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: Information for self-insurers— Regulator Performance Framework SRCC Annual Report 2016-17 Sections: All

KPI 6: The Commission actively contributes to the continuous improvement of regulatory frameworks.

Measure of Good Regulatory Performance 6.1: The Commission establishes and maintains cooperative and collaborative relationships with stakeholders to promote trust and improve the efficiency and effectiveness of the regulatory framework.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Documented procedures are in place to allow active and regular engagement with stakeholders.	The Commission has a Policy on consultation and dispute resolution for licensing decisions of the Commission impacting on Licensees under Part VIII of the SRC Act. The Commission has a forward planning calendar which details that it will hold an annual Commission-Licensee meeting. This meeting allows active and regular engagement with stakeholders.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Section: SRCC Meetings Publications— Policies
Feedback mechanisms are available and made known to all stakeholders.	As linked to KPI 4.2.2, the Commission promulgates its contact details on its website, its policies and on all correspondence with stakeholders. Enhancements to the website have included the addition of <i>A Make a submission</i> section on the homepage and the inclusion of a feedback form to the footer of the website to allow users to quickly provide feedback on the website.	●	Indicator met. No further actions recorded for improvement.	srcc.gov.au Sections: All General site information provides an accessibility and contact details

Measure of Good Regulatory Performance 6.2: The Commission engages all relevant stakeholders in the development of options to reduce compliance costs. This could include changes to the overarching regulatory framework, or other strategies to streamline monitoring and compliance approaches.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Number of stakeholder events held to facilitate participation in the development and/or amendment of regulatory frameworks.	As linked to KPI 1.2, stakeholder engagement and consultation included, but was not limited to: <ul style="list-style-type: none"> • Licensee/Comcare/Affiliate working group meetings—three (3) meetings conducted across August to October 2016. • Safety, Rehabilitation and Compensation Licensees Association (SRCLA) RPF Consultation Meeting—29 November 2016 • Licensee Liaison Forums—five (5) forums conducted; 143 attendances by licensees. • Annual Meeting with Licensees—attended by representatives of 23 licensees. 	●	Indicator met. No further actions recorded for improvement.	SRCC Annual Report 2015–16 Sections: Membership Operations of the Commission Licensing
Documented guidelines ensuring engagement	The Commission has a Policy on consultation and dispute resolution for licensing decisions of the Commission impacting on Licensees under Part VIII of the SRC Act. The standards that are set by the Commission, which form the basis of the self-insurance regulatory framework, fall within the purview of Part VIII of the SRC Act. This Policy provides for both overarching principles (and includes that the Commission will strive to achieve an environment which is characterised by cooperation, mutual respect and open communication with licensees), and a consultation process.	●	Indicator met. No further actions recorded for improvement.	src.gov.au Section: Publications— Policies

Measure of Good Regulatory Performance 6.3: The Commission regularly shares feedback from stakeholders and performance information (including from inspections) with policy departments to improve the operation of the regulatory framework and administrative processes.

Output/Activity	Evidence	Status	Actions for improvement	Reference links for further information
Documented procedures are in place to facilitate the flow of information between the regulator and policy departments.	The Commission's governance documentation articulates the Commission's function in advising the Minister. The documentation also identifies that the Commission will report to the Minister after each meeting and annually through the annual report. The Commission's governance document articulates how information is to flow between it and the Department of Employment. 2016–17 action set: an update to governance documentation to articulate the flow of information between the Commission and the Department of Employment has commenced. Evidence of final approval and progression of the document processes to controlled stage remain in progress.	●	Indicator partially met. 2016–17 action set—complete update of governance documentation to articulate the flow of information between the Commission and the Department of Employment.	src.gov.au Section: Publications— Corporate Documents SRCC Annual Report 2016–17 Sections: All