

## MANAGEMENT SYSTEMS REVIEW AND IMPROVEMENT PROCESS

### 1 Policy (RTWSA Performance Standard 5.1)

*“The University reviews the scope and content of the policy statement and supporting policies/procedures in consultation with employees or their representatives to ensure continued suitability and effectiveness.”*

#### 1.1 HSW Handbook - document development and review

The University’s central HSW Team (Manager, HSW Policy and Injury Management) is responsible for ensuring that the University’s HSW policy, procedures and information:

- are up to date and meet the requirements of the University;
- conform to all relevant legislation and the Return to Work SA Performance Standards for Self-insurance;
- are easily accessible via the HSW website; and
- conforms with the requirements of the University [Policy Framework](#).

To ensure appropriate consultation with employees (or their representatives) and consideration of suitability across the various Faculties and Divisions of the University, the “Drafting, reviewing, approval and dissemination of HSW Policies and Handbook sections checklist” (Appendix A) is followed.

#### HSW Handbook approvals

- HSW Policy: Following University consultation, the policy requires endorsement by the Director HSW, Executive Director HR and Chief Operating Officer (COO) before being submitted to the Vice-Chancellor’s Executive (VCE) and Vice-Chancellor and President (VC&P) for approval.
- Handbook chapters: Following University consultation, the chapters require endorsement by the Director HSW and Executive Director HR before being submitted to the COO for approval as the Policy Custodian.
- Frequently Asked Questions (FAQs): The Director HSW approves all FAQs. Noting that FAQs are HSW guidance documents which provide additional information to those with HSW responsibilities mandated within an HSW Handbook chapter. They do not require formal approval or University consultation under the University Policy Framework.

#### HSW Handbook format (template)

The format for each HSW Handbook chapter has been approved in consultation with University Policies. The template includes objectives, targets (e.g. specific actions for those with responsibilities) and performance measures. The format has been specifically designed to meet the requirements of the University and the RTWSA Self-Insurance Performance Standards.

#### 1.2 HSW Handbook review register

The University’s central HSW Team (Manager, HSW Policy and Injury Management) is responsible for ensuring a Handbook register is maintained and reviews are monitored for completion. It should be noted that the University HSW policy and procedures (Handbook chapters) are required to be reviewed each 3 years in accordance with the University’s [Policy Framework](#). Progress is monitored quarterly by the Officers of the University via the University’s [Due Diligence report](#) and the report is available on the [HSW intranet](#).

#### 1.3 Completed Handbook chapters and FAQ review forms

The University’s central HSW Team (Manager, HSW Policy and Injury Management) is responsible for ensuring that all records of drafting, consultation and approval are retrievable on request during the RTWSA Self-Insurance evaluation.

A completed copy of the checklist (Appendix A) is saved on the HSW S drive under each Handbook.

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 1 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

## MANAGEMENT SYSTEMS REVIEW AND IMPROVEMENT PROCESS

### 2 Objectives targets and performance indicators (RTWSA Performance Standard 5.2)

*“The level of achievement of documented objectives, targets and performance indicators is analysed and utilised to promote continuous improvement strategies.”*

A comprehensive suite of reports and metrics are collated, analysed and reported as outlined in Appendix B to monitor, evaluate and report on the HSW Management Systems Performance.

The [HSW Internal Audit process](#) sets out the process including analysis, reports, review of the findings, corrective actions and recommendations for system changes (where required). The [Corrective actions HSW Handbook chapter](#) sets out the process for the capture of actions to correct health and safety system deficiencies.

### 3 System Review (RTWSA Performance Standard 5.3)

*“The system is reviewed and revised, if required, in line with current legislation, the workplace and work practices.”*

The University will periodically review the HSW Management Systems (which includes Injury Management, in consultation with staff,) to determine continuing suitability and effectiveness. The reviews will assist in continually improving our systems and processes.

#### 3.1 Systems review format

The review(s) may include one or more of the following:

- A review of the HSW Policy scope, content and supporting processes within the HSW Handbook to determine if the activities are efficient and effective.
- A review and assessment of the level of achievement against documented objectives, targets and performance indicators.
- A review of findings from internal/external audits and surveys, including the previous Return to Work SA (RTWSA) validation reports.
- A review of legislative changes which impact on our processes.
- A review of any changes in the organisational structure of the University which may impact on health, safety and wellbeing.
- A review of previous findings and actions to determine if they have been effective.
- A review of incident and hazard reporting trends and statistics.

The format and scope of the components to be reviewed will be determined by the Director, HSW. As a minimum the review(s) must meet the requirements of Standard 5 of the Return to Work SA Self-Insurance Performance Standards.

#### 3.2 Who will conduct the review(s)?

The review(s) will be co-ordinated by the Director HSW. The review(s) may be conducted by an independent auditor, internal working parties or individual reviewers.

#### 3.3 Findings and recommendations

The findings and recommendations from the review(s) will be presented to the Executive Director (Human Resources) using the Management System Review template [C](#).

#### 3.4 Reporting – Monitoring and evaluation of the HSW Management Systems Performance

In addition to HSW System reviews, HSW reports are collated as indicated in Appendix B in consultation with a number of committees and staff. The reports enable the University’s senior management and officers to monitor HSW activities and for officers to exercise their Due Diligence in accordance with the WHS Act.

#### 3.5 Corrective Actions/continuous improvement activities

All actions arising from Systems reviews will either be:

- Entered as an action into UniSafe; or
- Captured within the HR Plan; or
- Captured within the HSW Plan; or
- Incorporated into the next HSW Handbook chapter review.

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 2 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

DRAFTING, REVIEWING, APPROVAL & DISSEMINATION OF HSW POLICY AND HANDBOOK CHAPTERS CHECKLIST

		Review commencement date	/ /
Name of Policy or Handbook Process/			Version no:
Name of FAQ (if applic)			Version no:
<b>Manager, HSW Policy and Injury Management to complete during drafting or reviewing</b>			<b>Date completed or N/A</b>
<p>Follow the University Policy Framework (<a href="http://www.adelaide.edu.au/policies/604">www.adelaide.edu.au/policies/604</a>) for all chapter reviews.</p> <p><input type="checkbox"/> Open HPE Content Manager and search on the record number/criteria for the chapter currently on the web (This will ensure that you have the correct unedited version to commence the review. The S drive version is not a reliable source as it may have been amended.)</p> <p><b>Handbook chapters all checkboxes relevant. For FAQ's – shaded checkboxes are relevant</b></p> <p><input checked="" type="checkbox"/> Complete legislation and compliance check (Act, Regs, Aust Standards, SafeWorkSA publications, RTWSA publications, Enterprise Agreement and other industry/university experiences (i.e. GO8) and incorporate within the document to meet compliance or where relevant as a reference/resource).</p> <p><input checked="" type="checkbox"/> Form a stakeholder consultation group (e.g. SME, their team and other relevant stakeholders where applicable)</p> <p><input checked="" type="checkbox"/> Check University experience/data (e.g. website feedback, Service Centre enquiries, HSW incident/injury data), for any strategies or information to be incorporated into the draft/review.</p> <p><input checked="" type="checkbox"/> Check internal/external audit results and recommendations are incorporated (if applicable).</p> <p><input type="checkbox"/> Check that the process steps the end user through a logical workflow:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Determine if the process be divided into stages/sections</li> <li><input type="checkbox"/> Consider if flowcharts, tables or other appendices could be added to simplify/clarify the process rather than excessive words/actions</li> <li><input type="checkbox"/> Identify the stakeholders in the process i.e. who has defined responsibilities/accountabilities and ensure each position has their actions specified</li> <li><input type="checkbox"/> Use a verb to start each dot point action in the process to ensure the chapter is “operational”</li> <li><input type="checkbox"/> Include any forms, tools, templates required to complete the process as appendices and add hyperlinks</li> </ul> <p><input type="checkbox"/> Check that each process/chapter defines requirements for retention of records i.e. in accordance with legislation (if applicable).</p> <p><input type="checkbox"/> Check that reporting format, distribution and time-frames are included within the chapter (if applicable).</p> <p><input checked="" type="checkbox"/> Forward final draft to the Director HSW, HSW Team and stakeholder group (where applicable) for review and feedback.</p> <p><input type="checkbox"/> Draft a blurb which summarises the changes or key points for noting for inclusion in consultation emails to the stakeholder representatives</p> <p><input checked="" type="checkbox"/> Finalise final draft of document for final review by Director HSW in prep for Uni consultation or for FAQ upload.</p>			
<b>Consultation and approval</b>			
<p>Manager, HSW Policy and Injury Management:</p> <p><b>HSW Policy only</b></p> <p><input type="checkbox"/> Forward draft to JCC (NTEU/Union) for review and feedback where relevant.</p> <p><input type="checkbox"/> Review feedback in consultation with the SME(s) and Director HSW and incorporate where applicable.</p> <p><input type="checkbox"/> Draft an email response to the Union providing feedback in consultation with the Director HSW (if applic).</p> <p><b>For HSW Policy and all HSW Handbook chapters</b></p> <p><input type="checkbox"/> In consultation with the Director HSW, identify and forward draft to University Stakeholder group, representatives from across the Schools/Branches (if applicable) e.g. those who regularly implement or have working knowledge of the process. In the email describe the key changes to the handbook chapter. Allow 4 weeks for consultation.</p> <p><input type="checkbox"/> Arrange consultation in accordance with the University Policy Framework</p> <p>Staff News / / &amp; / / (min of 3 weeks from date of issue)</p> <p>Legal and Risk / /</p> <p>Community of Practice/Divisional HSOs/HSRs / / (for HSW Policies/Processes)</p> <p>(Note Staff news requires authorisation by Director, HSW by COB Wed for next edition of Staff News the following Monday.)</p> <p><input type="checkbox"/> Request a HPE Content Manager file for the new version</p> <p><input type="checkbox"/> Schedule review meeting in calendar with stakeholder group (i.e. HSW Team) after consultation closes.</p> <p><input type="checkbox"/> Stakeholder group (if applicable) to review feedback and revise document(s).</p> <p><input type="checkbox"/> Save final track changes version on S drive and final (clean) version of document in accordance with Appendix A page 3.</p>			<p>/ /</p> <p>/ /</p> <p>/ /</p>

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 3 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

**DRAFTING, REVIEWING, APPROVAL & DISSEMINATION OF HSW POLICY AND HANDBOOK CHAPTERS CHECKLIST**

<b>Policy Custodian Approval</b>	
<input type="checkbox"/> Prepare/forward authorisation Memo to: <ul style="list-style-type: none"> <li><input type="checkbox"/> Director, HSW; Executive Director HR; Policy Custodian for authorisation</li> <li><input type="checkbox"/> <b>HSW Policy only</b> - VCE and VC&amp;P authorisation also required</li> </ul>	
<b>Post approval</b>	
<b>HSW Officer in consultation with the Manager HSW Policy and Injury Management</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Remove the words "draft" from the document and all track-changes and save as the final version.</li> <li><input checked="" type="checkbox"/> Record in footer the date authorised and effective date (i.e. date of approval by VC&amp;P for chapters and Director HSW for FAQs)</li> <li><input checked="" type="checkbox"/> Check all hyperlinks in the document are active.</li> <li><input type="checkbox"/> Save Policy Custodian Authorisation Memo, final word doc and pdf in HPE Content Manager.</li> <li><input type="checkbox"/> Send email to University Policies with relevant HPE Content Manager record numbers and request upload to the University Policy website.</li> <li><input checked="" type="checkbox"/> Update HSW Handbook – including the chapter, index, search function and separate out the Appendices (e.g. forms etc if applicable). Ensure they are available on the HSW Handbook website in both word/pdf format.</li> <li><input checked="" type="checkbox"/> Remove redundant documents from the Handbook where applicable and check that the other hyperlinks on the HSW Handbook webpage are active and current.</li> <li><input checked="" type="checkbox"/> Update the <a href="#">HSW Content Review Schedule</a></li> </ul>	
<b>Dissemination and training requirements</b>	
<b>HSW Officer in consultation with the Manager HSW Policy and Injury Management</b>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> Forward item for inclusion in University Staff News (Attach the approval email from Governance with copy of the signed Custodian email as the authority).</li> <li><input type="checkbox"/> Email key stakeholders in accordance with the Communication and Implementation plan (see Memo).</li> <li><input checked="" type="checkbox"/> Arrange for the revised documents to be posted on the HSW website under HSW news</li> <li><input type="checkbox"/> Email HSW Team to ensure any on-line information sessions are established/updated or change managed.</li> <li><input checked="" type="checkbox"/> Ensure all key documents are saved on the S drive as per Appendix A page 3.</li> <li><input type="checkbox"/> File all key documents <u>and this checklist</u> on the S drive. (This is required for self-insurance)</li> </ul>	/ /

Final check completed \_\_\_\_\_ (Name) / /

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 4 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

REFERENCE GUIDE – POLICY/PROCEDURE REVIEWS – FILING

**HSW HANDBOOK**

**Document Control**

To track progress and ensure a consistent method of filing for each HSW document in the HSW Handbook. Documents highlighted in yellow are to be saved in HPE Content Manager.

**Policy, Procedure, process reviews**

Ref	Groupings	Text under each grouping
1	<b>Drafts - Policy Owner, and HSW drafting team (i.e. before Uni consultation)</b>	<ul style="list-style-type: none"> <li>Draft # – date</li> <li>Draft # - name of stakeholder group (&amp; initials/name)</li> </ul>
e.g	1 – Draft 1 – 1 January 2020 1 – Draft 2 – 30 January 2020 1 – Draft 2 – HSW Team – 12 October 2015 1 – Draft 2 – HSW Team (GB)	
2	<b>Consultation</b>	<ul style="list-style-type: none"> <li>Authority, Policy Owner</li> <li>Staff News</li> <li>Legal and Risk</li> <li>Stakeholder group (where applic)</li> <li>HSW Stakeholder group + Legal and Risk, HSRs</li> <li>University Policies</li> </ul>
e.g	2 - Authorisation Director HSWR – 1 January 2020 2 - Legal and Risk – 1 January 2020 2 – Staff News – 1 January 2020 2 – HSW Stakeholder consultation – 1 January 2020	
3	<b>Custodian approval i.e. the Memo &amp; signed authorisation and Implementation Plan for Policy and Handbook Chapters</b>	<ul style="list-style-type: none"> <li>Custodian authorisation request</li> <li>Memo COO</li> <li>Memo VCE (Policy only)</li> </ul>
e.g	3 – COO Authorisation request – 1 January 2020 3 – Memo COO – 1 January 2020 3 – COO authorisation – 1 January 2020 3 – VCE authorisation – 1 January 2020	
4	<b>Post approval consultation</b>	<ul style="list-style-type: none"> <li>University Policies – Handbook chapters only</li> <li>Staff news – Handbook chapters only</li> <li>HSW Stakeholder – Handbook chapters only</li> <li>HSW Blog – chapters and FAQ</li> <li>HSW Team – chapters and FAQs</li> </ul>
e.g	4 – Staff News - 1 January 2020 4 – HSW Stakeholder – 1 January 2020 4 – HSW News – 1 January 2020	
5	<b>Final chapter and checklist</b>	<ul style="list-style-type: none"> <li>Final checklist</li> <li>Final word version for the web</li> </ul>
e.g	5 – Final – 1 January 2020 5 – Final checklist – 1 January 2020 5 – UniPolicies – 1 January 2020	

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 5 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

## MANAGEMENT SYSTEMS REVIEW AND IMPROVEMENT PROCESS – REPORTING AND MONITORING

Committees	Reporting – Monitoring of the HSW Management systems performance	Frequency of meetings	Responsibility
University Council  Also sent to Fac/Div Heads by the Director HSW	<a href="https://www.adelaide.edu.au/hr/hsw/hsw-staff-intranet#plans-reports-and-audits">https://www.adelaide.edu.au/hr/hsw/hsw-staff-intranet#plans-reports-and-audits</a> Receive a copy of the University of Adelaide Due Diligence Report. Includes standard reports on: <ul style="list-style-type: none"> <li>• Key items</li> <li>• HSW Action plan status report</li> <li>• Safety issue reporting statistics (and analysis)                             <ul style="list-style-type: none"> <li>• Injuries and hazards reported (by Faculty/Division and year)</li> <li>• Injuries by mechanism of injury</li> </ul> </li> <li>• Workers compensation claims by year (lost time and no lost time)</li> <li>• Claims costs by year of injury (actual)</li> <li>• Lost time</li> <li>• Lost time injury frequency rate</li> <li>• Lost time injury frequency rate – key contributing areas</li> <li>• Workers Compensation claims by event type</li> <li>• Key issues by Faculty/Division</li> <li>• Overdue corrective actions</li> <li>• Legislative, Regulatory, Compliance Review and Relevant Court cases</li> <li>• HSW Handbook update</li> <li>• University hazard review including Controlled Entities</li> </ul>	<a href="https://www.adelaide.edu.au/governance/council/uni-council/">https://www.adelaide.edu.au/governance/council/uni-council/</a>  Statutes of the University. Chapter 2.1(a). No less than eight occasions in any calendar year.  The Due Diligence report is provided quarterly.	COO and Vice-President (University Operations)
Audit, Compliance and Risk Committee	As above <a href="https://www.adelaide.edu.au/governance/uni-committees/council-committees/audit-compliance-risk/">https://www.adelaide.edu.au/governance/uni-committees/council-committees/audit-compliance-risk/</a>	At least 4 times pa unless otherwise determined by the Chair or as directed by the Council.	COO (University Operations)
Faculty/Branch HSW Committee  <b>Note:</b> A copy is also sent to the Exec Dean/Divisional Head by the Director, HSW	Report from the Senior HSW Advisor (HR Branch) for the Faculty/Division/School/Branch which is based on the data within UniSafe, HSW Internal Audit outcomes and workers compensation data. The intention of the report is to enable discussion by the Faculty/Division/School/Branch HSW Committees on the safety outcomes. May include but not limited to: <ul style="list-style-type: none"> <li>• UniSafe Incident Reporting Data (by School/Branch)</li> <li>• Significant Incidents</li> <li>• Overdue corrective actions in UniSafe</li> <li>• Revised/new HSW Handbook chapters and FAQs</li> <li>• Revised/new On-line HSW information sessions</li> <li>• Internal audit updates</li> <li>• Traffic Light Report (based on the information recorded by the Faculty/Branch HSW Officers in UniSafe and the findings from HSW internal audits)</li> <li>• Wellbeing events/updates</li> </ul>	Quarterly	Senior HSW Advisor (HR Branch)

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 6 of 8
Warning	This process is uncontrolled when printed. The current version of this document is available on the HSW Website.			

**MANAGEMENT SYSTEMS REVIEW AND IMPROVEMENT PROCESS**

Committees	Reporting – Monitoring of the HSW Management systems performance	Frequency of meetings	Responsibility
Division/Faculty and Branch/ School HSW Committee (as applicable)	Report from the Faculty/Branch Hub Manager which may include: <ul style="list-style-type: none"> <li>• Updates to local HSW plans and safety initiatives</li> <li>• Outcomes from HSW Projects</li> <li>• Information on trends detected through safety reviews, audits or investigations</li> <li>• Emergency safety issues or concerns.</li> </ul>		
Division/Faculty and Branch/ School HSW Committee (as applicable)	Committee minutes and Agenda reflect the following discussion/information/status: <ul style="list-style-type: none"> <li>• Reports including those from the Senior HSW Advisor and HSW Hub Manager</li> <li>• Traffic Light Report</li> <li>• Significant Incident reports</li> <li>• Schedule of Programmable Events – status</li> <li>• Workplace Monitoring – status</li> <li>• Corrective Actions – status</li> <li>• Internal Audit reports – findings and corrective actions arising</li> <li>• Annual Hazard Review (annually)</li> </ul>	Quarterly	Executive, Head of School/Branch
Injury Management Team (Work and non work related illness and injury)	<ul style="list-style-type: none"> <li>• Work related claims - Injury Connect (database – managed by the contracted Service Provider)</li> <li>• Non-work related injuries/illnesses – HR database.</li> </ul>	Case meetings with Service Provider – weekly  HR case management meetings - monthly	Injury Management Team  Executive Director, HR

HSW Handbook	Management Systems Review	Effective Date:	12 April 2021	Version 4.1
Authorised by	Director, HSW	Review Date:	As required	Page 7 of 8
Warning This process is uncontrolled when printed. The current version of this document is available on the HSW Website.				

**MANAGEMENT SYSTEMS REVIEW AND IMPROVEMENT PROCESS**

**WHS system review template  
(RTWSA Performance Standard 5.3)**

<b>Name of System review</b>	
<b>Date of review</b>	<b>Commenced:</b> <b>Completed:</b>
<b>Person co-ordinating the review (Insert name)</b>	
<b>Stakeholder group(s)</b>	
<b>Indicator(s) for change</b>	<input type="checkbox"/> Significant legislative changes will impact on this program/process <input type="checkbox"/> Identified as an emerging issue or trend during incident investigation or data <input type="checkbox"/> Identified as a contributing factor in Workers Compensation <input type="checkbox"/> Identified through Fac/Div Traffic light reports e.g. a low performance trend <input type="checkbox"/> Notifiable incident has been reported and a gap in the system/process was a contributing factor <input type="checkbox"/> Issue/trend identified during the Internal Audit process last calendar year <input type="checkbox"/> Adhoc feedback provided by the HSW Senior Advisors, members of the HSW Community of Practice, other stakeholders that an HSW program is not effective in its current format <input type="checkbox"/> Significant workplace change that will (or has impacted) on this program/process <input type="checkbox"/> Findings from internal/external audits and surveys, including previous RTWSA validations
<b>Title of HSW Handbook chapter(s) where applicable</b>	
<b>System review findings</b> (Provide detail on background for the review, the scope, methodology used, dates, forums etc)	
<b>Recommendations</b>	
<b>Corrective actions (if required)</b> (Include details of where corrective actions have been recorded and any monitoring activities required including frequency until completion.)	