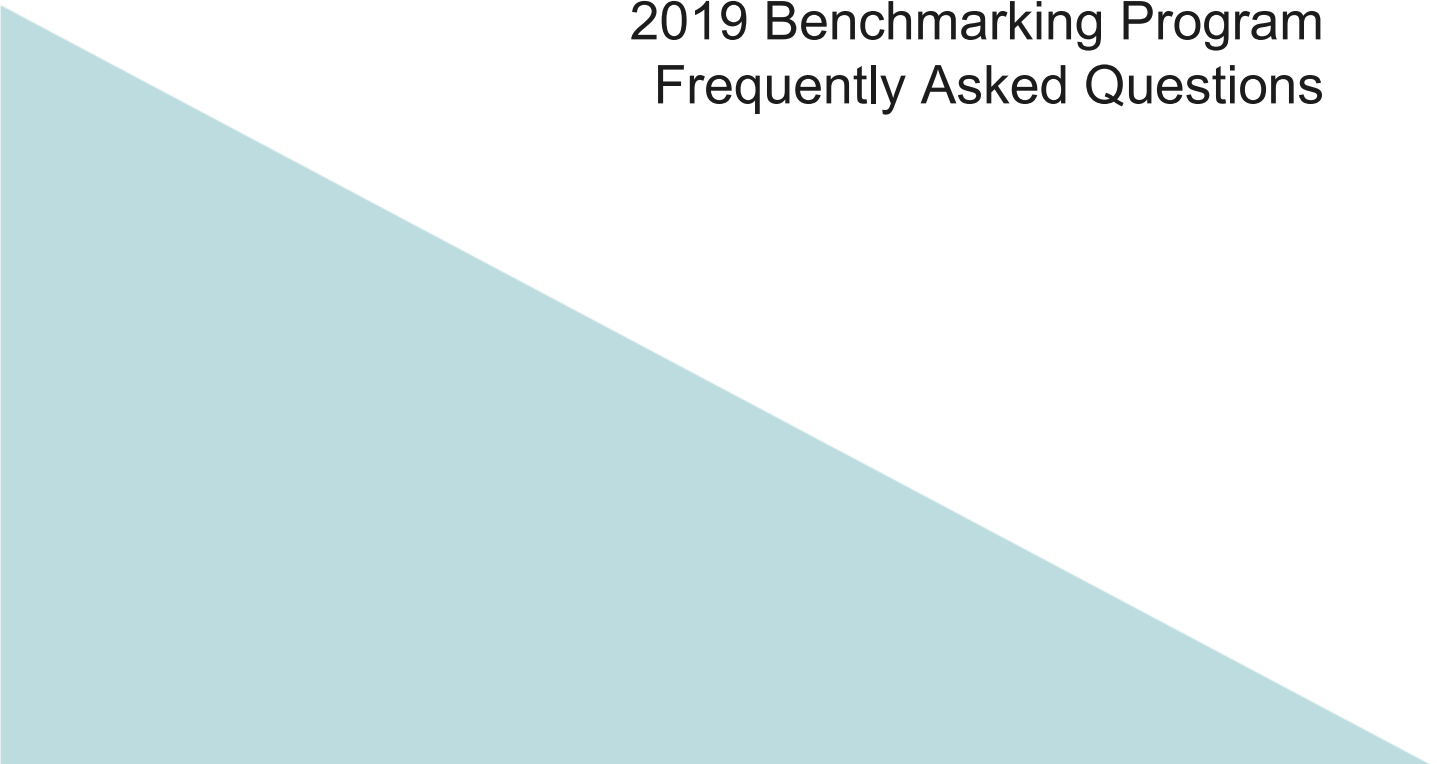
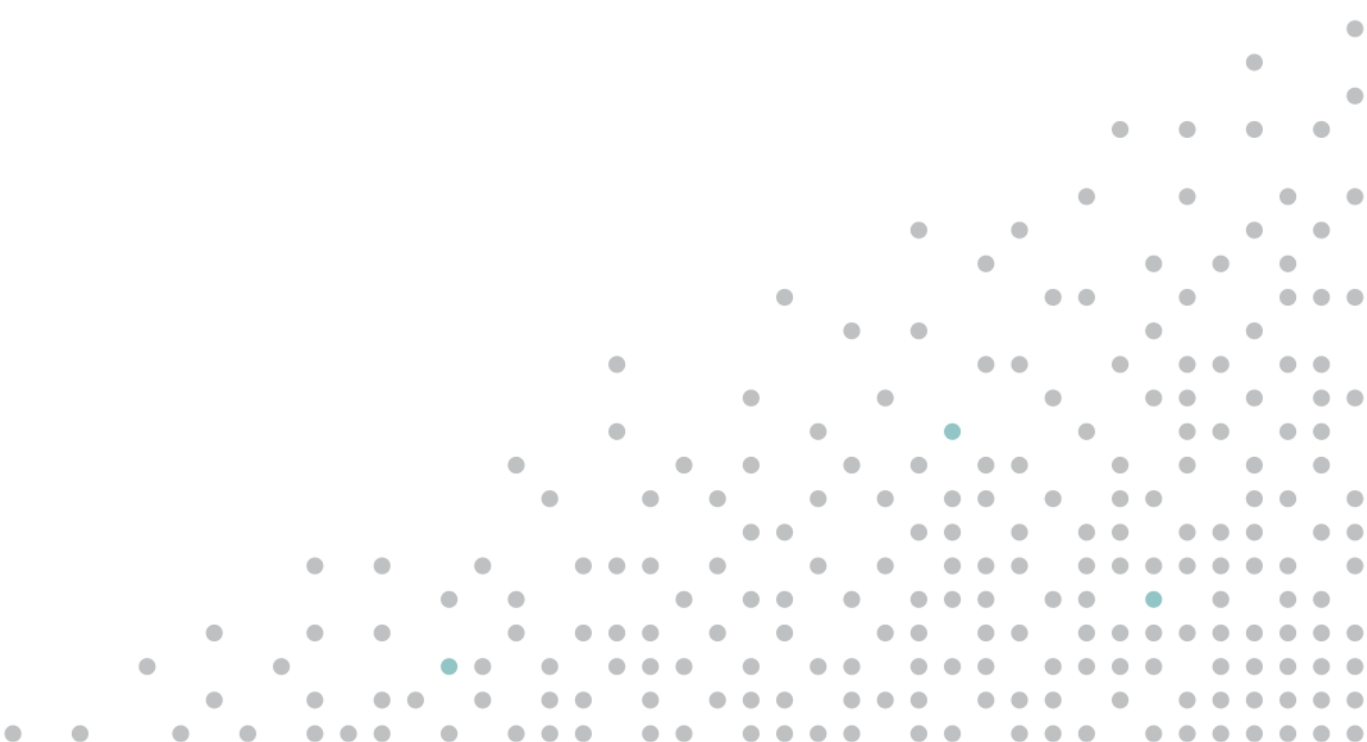




Australian Government
Department of Finance



2019 Benchmarking Program Frequently Asked Questions

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Participation

1. How long is the survey available for?

The survey will open 9:00am Monday, 4 February 2019 and close at 5:00pm Friday, 15 March 2019 (AEDT).

2. Can you submit after the deadline?

No. To ensure that your entity receives your benchmarking reports in a timely manner, you will not be able to submit survey responses after the deadline of 5:00pm (AEDT) on 15 March 2019.

3. Who should complete the survey?

The survey should be completed by the risk management function within your entity, or those that have responsibility for the risk management framework. Comcover encourages you to develop your entity's survey response in consultation with others including your entity's senior management and audit/risk committee.

Ensure you have obtained your accountable authority review and sign-off of your survey responses before you press submit. Section 16 of the PGPA Act provides that accountable authorities of all Commonwealth entities must establish and maintain appropriate systems of risk oversight, management and internal control for the entity. The accountable authority sign-off must be physically evidenced as part of your survey response.

4. How do you access the survey training information?

A training video will be available on the survey tool to assist completing officers in using the survey tool. The video will remain available throughout the period of the 2019 program.

5. How do you access the survey?

The survey is accessed via the Comcover Launchpad at www.comcoverlaunchpad.com.au. In the launchpad, select 'Risk Management Benchmarking Survey' in the navigation bar and you will be directed to the survey platform. Click the 'Benchmarking Survey' to start the survey.

The entity completing officer will be sent an email advising when access to the survey tool becomes available on the Comcover Launchpad.

6. What do you do if you have forgotten your password?

For access or password problems for the Comcover Launchpad, please contact the Comcover Service Desk

Phone: 1800 651 540 (option 5)

This support is available between 9am and 5pm from Monday to Friday (AEDT).

7. How many people in an entity will be given access to the survey?

Survey access will be given to all benchmarking contacts that an entity has advised Comcover of. All officials who need to contribute to the survey must have access to the Comcover Launchpad.

If additional users require access to the survey, the Primary Insurance Contact for the entity must complete a *Comcover Launchpad New User Form* and email it to comcover@comcover.com.au. The new User forms are available for download from the Comcover Gateway on the Comcover Launchpad.

8. Can more than one person complete the survey for my entity?

More than one user can access and edit the survey on behalf of your entity, if they have a user profile established.

Please ensure that more than one user does not simultaneously edit your entity's survey response as only the last user's changes will be saved. This means that your survey responses may be overwritten by another user's responses, including blank responses, if working simultaneously.

The completing officer is responsible for ensuring all responses to the survey are complete and, where multiple users have responded to the survey, that all responses are captured.

9. Can you participate without agreeing to the Terms & Conditions?

No. Comcover needs to ensure the interests of the Commonwealth and fund member entities are protected at all times. Therefore, all participants are required to agree to the terms & conditions of the survey.

10. Where can you access Technical Support or assistance?

Access to the Comcover Launchpad or Survey Tool via the Comcover Launchpad

Please contact the Comcover Service Desk.

Phone: 1800 651 540 (Option 5)

Technical Assistance

For assistance with functionality in the survey tool throughout the duration of the Benchmarking Survey, please contact Comcover's survey partner, Deloitte.

Phone: 1800 661 993

Email: comcover@deloitte.com.au

Other Assistance

For any other queries, please contact Comcover.

Phone: 1800 651 540 (Option 4)

Email: comcover@comcover.com.au

Website: <http://www.finance.gov.au/comcover>

Using the Survey Tool

11. Do you have to complete the survey in one sitting?

No. Participants can save their responses without submitting them as final. To do this, participants should click the 'Save Draft & Exit Survey' button to save their information to the survey database before exiting the survey. Next time you access the survey, click the 'Resume' button. Next to your profile, you are able to track the progress of completion and also view the date the survey platform was last accessed.

12. How do you submit your survey?

The 'Submission' button at the end of the survey is used to submit the final results of your entity's survey. It requires users to confirm that their survey has been completed and they want to submit the responses as final. Use this option only when the survey is complete, you have entered all data for your entity (including adding relevant attachments) and you have obtained the required sign-off and uploaded the accountable authority sign-off form of your entity to the survey.

Once your entity's survey has been submitted, the survey tool will provide a green success message confirming that the survey has been successfully submitted. Once submitted, you are not able to edit or modify your entity's survey. A pop-up notification will appear, firstly as a reminder to ensure all supporting documents have been loaded, accountable authority form has been attached and the second, notifying that the survey has been submitted.

13. Can you step back through questions in the survey if you want to change an answer?

Yes, you can go back and change answers by clicking 'Back' in the survey response pages. However, if you have submitted your survey, it is treated as final and unable to be amended.

14. What if you don't understand the way a question is asked?

Each question includes a 'Question Objective' that can be reviewed by clicking on the blue question mark icon in the survey tool. The question objectives are also included in the downloadable version of the survey.

For assistance in clarifying the meaning of a particular term used within a question, please refer to the 'Glossary' in the [*Implementing the Commonwealth Risk Management Policy - Guidance*](#). The guide is available on the Finance website or via the risk management resources folder in the survey tool (This is accessible via the navigation bar or the icon on the welcome page.), or on the Comcover Learning Centre.

15. Does the objective of the question print out with the question?

No. The question objectives are used as 'help' tips in the survey and readable when one clicks the question mark button next to a question. The objectives can only be printed if they are included in the survey question text.

Users are able to add notes regarding the reason that they chose a particular response and these notes will be printed out with the question responses.

16. Once you have completed the survey, what do you need to do?

The submission process requires the completing officer to download the accountable authority sign-off form (PDF) and send it to the accountable authority to fill in the fields and add a signature. The completing officer uploads the completed and signed form into the tool on the relevant submission page. A pop-up notification will appear once you have submitted the survey.

17. Can the survey be printed out?

Yes. Ensure that the margins are set for printing on an A4 page.

The survey can be exported into PDF in order for the entity to print, utilising the 'print to PDF' functionality in the user's environment. Printing can be selected from two options under the 'print content' button, by either selecting 'all' to print every section, or by clicking 'select' to enable specific pages to be selected.

18. Which platforms and devices are supported?

The survey tool functionality is supported on a range of browsers. Functionality is optimised for Internet Explorer 9 and above, Google Chrome (23+), Firefox (17+) and Safari (5.1+). The survey tool is supported on Internet Explorer 8 but not optimised. The survey tool is not supported on Internet Explorer 7.

As it is a web based system, it can be accessed from other devices such as a tablet or smartphone.

19. Does the survey identify questions that have been missed?

Yes. When you submit the survey, the survey will go through a validation process. If you have missed required elements of the survey, then the survey tool will direct you to the relevant pages with questions that require additional input/information, highlighted in red and a box at the top of the screen will indicate the elements and questions which the user needs to investigate.

20. Is the overview section mandatory?

No. Completing this section may assist entity staff completing the survey for the first time by providing context behind the answers selected in previous years. This section will not influence your entity's survey results.

21. Can you access answers from last year's survey?

Yes. Your entity's survey responses for the past four year surveys are available in the benchmarking interactive reporting tool (BIRT) on the Comcover Launchpad.

Prior year results will be available for your entity only, and not for any other entities that your entity has combined with or absorbed.

Confidentiality

22. Are my answers confidential?

Comcover will have access to the survey responses submitted by entities and will take appropriate measures to keep all information confidential and secure.

Comcover has entered into a contract with Deloitte to administer the survey tool. Under this contract, Deloitte will keep all raw information confidential and secure. Should Comcover engage other service providers, the raw information obtained can be communicated to them if required, however, the same confidentiality requirements will apply.

Analysis of performance and responses to the survey questions are available through BIRT to the approved contacts for an individual entity.

Target Maturity States

23. What is a 'target maturity state'?

The Comcover risk management maturity model has been designed to assist entities determine both their current state of risk management maturity and the appropriate state of maturity or capability (target state) that an entity aspires to achieve to support its operations and the achievement of its business objectives, across each of the nine elements of the Commonwealth Risk Management Policy (Policy).

There are six states of risk maturity (fundamental, developed, systematic, integrated, advanced and optimal).

The model provides high level descriptors of capability or competency for each state of the maturity model. Entities should remember that the model is fit-for-purpose and not all entities should strive for optimal.

In determining your entity's target risk maturity, you need to consider the model as progressive i.e. where a competency has been achieved in a previous state it is assumed in the next state of maturity.

Further information on selecting target maturity states for your entity:

- [Benchmarking Survey 2019: Risk Management Capability Maturity States](#)
- [Commonwealth Risk Management Maturity Model](#)

24. What is the benefit of selecting a target maturity state for each element?

Entities will be required to select a target maturity state for each of the nine elements of the Policy that has been agreed by the entity as its 'desired state of maturity'.

In considering what is an appropriate target maturity state, it is important to ensure the investment in risk management is consistent with the needs of your entity, with respect to the size, complexity, operating environment and expectations of the accountable authority.

Each entity will receive an executive report following completion of their survey, which analyses the outcomes of their survey results. The report will identify the entity's current risk maturity, and when coupled with the target state, will provide a number of useful insights such as 'am I over or under investing in my risk program' or entities with scores below their targets, identifies areas for improvement.

By measuring an entity's current risk maturity, and tracking its progress to its target maturity state each year, entities will be in a better position to identify opportunities to improve their risk management capability.

25. How does my entity choose the target maturity states?

It is the responsibility of your entity's senior management together with the accountable authority to determine the maturity or capability that your entity wishes to aspire to.

To assist in determining target maturity states, entities should consider their current maturity for each element. An entity then needs to determine where its risk management capabilities should sit on the risk management maturity model, taking into consideration whether it is investing appropriately in each of the nine elements.

As risk is a contributor to the strategic planning process, the timing for achievement of the target maturity state should align to the timing of the entity's strategic planning life cycle. This will enable an entity to measure their progress in achieving its target maturity state in line with its organisational strategy.

This is the fifth year that the survey has been mandatory. Each entity has been provided with executive reports for the past four years, which contain valuable information on their risk management maturity. Each entity should determine whether its current risk management arrangements and capabilities remain appropriate, and change their target maturity states for each element as required.

26. What if you require further assistance in determining your entity's target maturity state for each element?

If, after referring to the available tools, your entity requires further assistance in determining their maturity state for each element, guidance can be obtained from Comcover:

Phone: 1800 651 540 (option 4)
Email: comcover@comcover.com.au

Validation and Supporting Documentation

27. What happens if you disagree with your entity's result?

The results of the survey are final and not subject to change.

Comcover has engaged Deloitte to ensure the integrity of the survey results and that no bias enters into the benchmarking assessment process.

Comcover would be happy to work with an entity to analyse their results, and identify possible ways to improve their risk maturity.

28. What happens to the data provided by participating entities?

At the conclusion of the survey, Comcover together with the risk services provider, Deloitte, will conduct a review of entity's results and select about ten entities to participate in an interview to discuss their results and areas for improvement. Entities will be selected at random to participate in this process or may offer to participate. Entities selected for review will be advised by mid-February 2019.

29. What supporting documentation is required by the survey?

Entities are requested to provide supporting documentation for the answers they provide in the survey.

For 2019 entities will be requested to supply the following supporting documentation prior to completing the survey questions:

1. **Risk Management Policy** - entity's risk management policy or document to the same effect.
2. **Risk Management Framework** – any relevant document detailing the risk management framework and its key components.
3. **Risk Management Plan** – documentation indicating the entity's methods and strategies to manage risks within a formal assessment and review framework.
4. **Committee Charters** – documented charters for Committees that have risk management responsibilities.
5. **Risk reporting or reporting templates** – example documents of reporting to the entity's Board, to senior management, or audit committees, such as actual reports, schedules, agendas, etc.
6. **Risk appetite statement** – if applicable.

It is requested that entities provide either an actual or de-classified version of the above documentation. Please note that de-classified versions should only be provided where security considerations are required.

30. How do you attach documents to the survey?

Following completion of the survey questions, there is a reminder to upload supporting files via a link 'Please click here to upload supporting files to your response'. Completing officers are required to click the arrow drop down next to their entity's folder and select 'Add Resource'. This then takes users to the supporting files section of the survey in another tab in their internet browser. Completing officers are required to click 'Click here to select a file' which will allow them to choose the file from their entity's network. The other fields with a blue dot next to them must also be completed.

31. What format should be used for documents being attached to the survey?

Any documents being attached to the survey as supporting evidence should be provided in adobe portable document format (PDF). If this is not possible they can be provided in microsoft word (.doc), microsoft excel (.xls), or microsoft powerpoint (.ppt).

32. How do you submit more than one attachment?

Participants can attach more than one file by repeating the above process or using the bulk upload facility in the supporting files upload facility in the survey.

33. Is there a size limit to the attachments?

In the survey tool, the limit is 2GB per file. Should your attachments exceed this size, contact **1800 661 993** or email: **comcover@deloitte.com.au** for further advice.

34. How are my entity's comments and attached documents taken into account in the assessment of the survey response?

Every effort will be made to ensure your additional comments and attachments are taken into account to aid Deloitte to better understand your entity's response to a question.

Please note that an entity's comments in the 'Notes' box for each question will not be taken into account when scoring an entity's response.

The purpose of the 'Notes' box is to facilitate internal communication for the purposes of clarifying an entity's survey response particularly for those entities where a number of internal areas may be involved in preparing survey responses.

Benchmarking Process

35. How will my entity's survey results be benchmarked?

Your entity's results will be benchmarked against Comcover's maturity model to determine your current maturity state.

Your results can also be benchmarked against:

- the total Comcover fund
- communities of practice
- self-selected peer groups.

Your entity's performance in relation to the above groups does not impact its final score or maturity rating. The segmentation simply provides the ability for fund members to analyse their results against groups of interest.

In addition, participation in the survey provides entities with access to an interactive reporting tool which will enable entities to select demographic metrics such as number of employees, asset base and revenue to compare and contrast against other fund members.

36. What are the communities of practice?

Entities are required to nominate a community of practice they are most closely aligned with. This selection will be used to assist entities to benchmark themselves against a community of practice that is of most relevance. It is recognised many entities may relate to multiple communities of practice. The communities of practice include:

- central entities – have particular Australian Public Sector (APS) - wide responsibilities for setting the legislative, financial and / or employment frameworks across the APS
- cost recovery entities – have a responsibility for recovering monies for services they provide to the community and / or government
- cultural entities – entities operating in the cultural and arts sectors
- policy entities – entities whose primary function involves formulating government policy
- portfolio based entities – entities included with other entities in that portfolio
- regulatory entities – have responsibilities for regulating industry and / or individuals
- security based entities – entities that are responsible for security or law enforcement at a national or international level
- service delivery entities – have a responsibility for delivering services to the community.

37. What are the self-selected peer groups?

Entities are provided the opportunity to create their own peer group (referred to as a 'self-select group'). This can be achieved by selecting eight entities you would like your entity to be benchmarked against. Please do not select your own entity in the eight.

38. Can you compare the survey results of your entity across multiple years?

It is possible to compare your entity's survey results in 2019 with the results of your entity's 2015, 2016, 2017 and 2018 surveys. However, if your entity is new or has not previously completed the survey, you will not have any comparison data. Performance in prior years may be compared through BIRT and through your entity's executive reports. Please keep in mind when you are comparing your current benchmarking results to prior years, that there have been some slight changes to some survey answer options to give greater clarity based on feedback received from previous surveys.

39. What if my entity merges/is absorbed by another entity – what benchmarking data is available to the new entity?

If your entity has absorbed, or merged with another entity, comparison data from 2015, 2016, 2017 and 2018 will be available through BIRT but will only show historical data for the principal entity. The principal entity is usually the larger entity in any merger.

If you would like to access prior survey responses or prior executive reports for the other of the merged entities, please contact Comcover.

40. How can my entity use the results of the benchmarking survey?

The benchmarking results of your entity provide a standardised indication of the maturity of your entity's current risk management framework and practices. This will enable your entity to gain an understanding of where its risk management capabilities currently stand, and compare these to the entity's desired, or target, risk management position.

Your results will also provide an indication of the key strengths and weaknesses of your entity's risk management framework currently in place. These details can be used to generate discussion within the risk management group, the executive management team or board, business units and stakeholders about your entity's existing risk management framework and key areas requiring greatest attention.

41. Is the survey to be conducted once only or repeated?

The benchmarking program is run on an annual basis, and is mandatory for fund members.