<Applicant name>

<Date of Pre-Licence Audit>

claims management system   
pre-licence AUDIT report

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Comcare  
GPO Box 9905 Canberra ACT 2601  
Ph: 1300 366 979  
Email: [marcomms@comcare.gov.au](mailto:marcomms@comcare.gov.au)

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| **Document number** |  |
| **Version** | 3.0 |
| **Release Date** | February 2021 |
| **Release Status** | Cleared draft |
| **Approval Status** | Approved |
| **Prepared by** | Secretariat and Scheme Support Services |
| **Confidentiality Category** | Unclassified |

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# 

# SCOPE OF pre-licence audit

|  |  |
| --- | --- |
| **Organisation** | [Applicant name] |
| **Site/Workplace** | [location] |
| **Scope of pre-licence audit** | The pre-licence audit examined [applicant name]’s claims management system, processes and outcomes to validate that [applicant name]’s proposed arrangements for the management of workers’ compensation claims by employees have the capacity to meet the Safety, Rehabilitation and Compensation Commission’s (the Commission’s) standards and the requirements of the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act).  The pre-licence audit encompassed a review of all relevant available policies and procedures as they relate to workers’ compensation and claims management and any other relevant supporting documentation. An interview was also conducted with relevant personnel.  Overall findings are based on the identification of issues that are considered to be systemic rather than minor deficiencies. |
| **Pre-licence audit criteria** | This pre-licence audit assessed the claims management system against five elements:   1. Commitment and corporate governance (three criteria) 2. Planning (five criteria) 3. Implementation (nine criteria) 4. Measurement and evaluation (five criteria) 5. Review and improvement (one criterion) |
| **Ratings** | The findings in the pre-licence audit report have been classified and marked as follows:  **Conformance:** the standard is fully met.  **Capacity to meet:** there is sufficient evidence to demonstrate how the standard will be met upon licence commencement.  **Non-conformance:** the standard is not met and there is insufficient evidence to establish and verify how the standard will be satisfied upon licence commencement.  An ‘observation’ may be made against a criterion rated as ‘conformance’ where the auditor has identified that there has been a minor deviation from the documented management system or reference criteria that would need to be addressed prior to the commencement of the licence. |
| **Date(s) of pre-licence audit** | Date |
| **Auditors** | [auditor names and organisation] |
| **Client contacts** | list |
| **Record of pre-licence audit** | This report contains a summary of the pre-licence audit outcomes. Detailed information is not recorded in the report. A record of the documentation and records sighted, persons interviewed, observations and auditor comments are retained on the auditor’s file. |
| **Acknowledgement** | The auditor(s) wishes to acknowledge the cooperation and assistance provided by the management and staff of [applicant name] and thank them for their contribution to the pre-licence audit process. |

# EXECUTIVE SUMMARY

[the auditor is to provide an overall summary of findings—succinctly outlining the broad strengths and weaknesses of the management system—in particular, an assessment of the applicant’s capacity to meet the Commission’s requirements by the commencement of the licence]

## Non-conformances

A number of non-conformances were identified during the pre-licence audit. They are:

|  |  |
| --- | --- |
| **Criterion** | **Non-conformance** |
|  |  |
|  |  |
|  |  |
|  |  |

## Observations

A number of observations were identified during the pre-licence audit. They are:

|  |  |
| --- | --- |
| **Criterion** | **Observation** |
|  |  |
|  |  |
|  |  |
|  |  |

## Result

In summary, for the 23 claims management criteria which are applicable, the outcomes are:

|  |  |
| --- | --- |
|  | **Number of criteria** |
| **Conformance** |  |
| **Capacity to meet** |  |
| **Non-conformance** |  |

*If a non-conformance is identified through the pre-licence audit process, it will need to be addressed before the Commission will consider the licence application.*

*Any criteria that have been rated as ‘Capacity to meet’ will be reviewed as part of the applicant’s transition plan, as part of the applicant’s corrective action plan (CAP) or, if required, at a post-licence audit.*

A corrective action plan (CAP), addressing both non-conformances and observations, and which includes completion/review dates and responsibilities, must be developed by [enter timeframe] and submitted to Comcare for review. Ideally, the CAP should also outline progress against those criteria rated ‘Capacity to meet’.

The auditors invite [applicant name] to discuss any aspect of this pre-licence audit with the auditors.

|  |  |
| --- | --- |
| Signed | Signed |
| Auditor name | Auditor name |
| Date | Date |

# TABLE OF CRITERIA

|  |  |  |
| --- | --- | --- |
| **Pre-licence audit element/criterion description** | **Criterion** | **Rating** |
| **1. Commitment and corporate governance** | | |
| Documented commitment | 1.1 |  |
| Internal and external accountability | 1.2 |  |
| Identify, assess and control risk | 1.3 |  |
| **2. Planning** | | |
| Delegation schedule | 2.1 |  |
| Documented procedures | 2.2 |  |
| Planning for legislative compliance | 2.3 |  |
| Setting objectives and targets | 2.4 |  |
| Plans to achieve objectives and targets | 2.5 |  |
| **3. Implementation \*** | | |
| Adequate resources | 3.1 |  |
| Communication—relevant stakeholders | 3.2 |  |
| Employees are aware of rights | 3.3 |  |
| Training and competency | 3.4 |  |
| Reasonable opportunity | 3.13 |  |
| Claim reviews | 3.14 |  |
| Surveillance | 3.15 |  |
| Privacy and confidentiality | 3.16 |  |
| Reporting, records, documentation | 3.17 |  |
| **4. Measurement and evaluation** | | |
| Monitoring core claims activities | 4.1 |  |
| Internal audits | 4.2 |  |
| Outcomes of audits are actioned and reviewed | 4.3 |  |
| Communicating audit results | 4.4 |  |
| Providing reports to Comcare and Commission as requested | 4.5 |  |
| **5. Review and improvement** | | |
| Continuous improvement | 5.1 |  |

*\* Note: Criteria 3.5–3.12 are not tested at the pre-licence audit stage*

# ELEMENT 1: COMMITMENT AND CORPORATE GOVERNANCE

## Documented commitment

### Criterion 1.1

The applicant will set the direction for its claims management system through a documented commitment by senior executive.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Corporate governance

### Criterion 1.2

The claims management system will provide for internal and external accountability.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 1.3

The applicant will identify, assess and control risks to the claims management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

# ELEMENT 2: PLANNING

## Administrative arrangements

### Criterion 2.1

The applicant will identify the administrative and financial limitations for each level of claims manager, including arrangements for the management of reconsiderations.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 2.2

The applicant will have documented procedures for paying compensation to injured employees, dependants of deceased employees, providers of medical treatment and other recipients.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Claims management planning

### Criterion 2.3

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

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 2.4

The applicant sets objectives and targets and identifies key performance measures for its claims management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 2.5

The applicant establishes plans to:

(i) achieve its objectives and targets

(ii) promote continuous improvement

(iii) provide for effective claims management arrangements.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

# 

# ELEMENT 3: IMPLEMENTATION

## Resources

### Criterion 3.1

The applicant will allocate adequate resources to support its claims management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Communication and awareness

### Criterion 3.2

The applicant will define and communicate responsibilities to relevant stakeholders.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 3.3

The applicant will communicate relevant information regarding the claims management process including:

(i) ensuring that employees are aware of their legislative rights and obligations in relation to workers’ compensation

(ii) ensuring that employees are informed of the status of their claims

(iii) ensuring consultation occurs between all parties in regards to the claims management process.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Training

### Criterion 3.4

The applicant has identified training requirements and will develop and implement training plans to ensure personnel are competent.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Claims reviews

### Criterion 3.13

The applicant will provide employees with a reasonable opportunity to provide information or comment when claims for ongoing liability are being assessed or reviewed.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

**Criterion 3.14**

The applicant will ensure that claim reviews are timely, made accurately and guided by equity, good conscience and the substantial merits of each case without regard to technicalities.

**Finding**

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Surveillance

### Criterion 3.15

The applicant will have a policy on the use of covert surveillance and will comply with its requirements. The policy must include:

(i) on whose authority approval may be granted

(ii) detailed instruction on the manner in which covert surveillance is to be conducted

(iii) a requirement that any operative undertaking covert surveillance on behalf of the applicant has been issued with, and has agreed to, written instructions on the policy.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Confidentiality

### Criterion 3.16

The applicant will maintain the confidentiality of information and apply legislative requirements.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Document management

### Criterion 3.17

The applicant will maintain the relevant level of reporting, records and/or documentation to support its claims management system and legislative compliance.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

# ELEMENT 4: MEASUREMENT AND EVALUATION

## Monitoring

### Criterion 4.1

The applicant will monitor planned objectives and performance measures for core claims management activities.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

## Auditing and reporting

### Criterion 4.2

The applicant will conduct an audit program—performed by competent personnel and in accordance with the requirements of the Commission and Comcare—to measure the performance of its claims management system.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.3

Audit outcomes will be appropriately documented and actioned. The applicant will report to senior executive on its claims management system performance, including audit outcomes.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.4

The applicant will communicate the outcomes and results of claims management system audits to its employees.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

### Criterion 4.5

The applicant will provide the Commission or Comcare with reports as requested. This includes informing Comcare as soon as practicable of any proceedings brought by them, or against them, in relation to a matter arising in respect of a claim managed by them under the SRC Act.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |

# 

# ELEMENT 5: Review and improvement

## Continuous improvement

### Criterion 5.1

The applicant will analyse claims management system performance outcomes against documented objectives to determine areas requiring improvement, and promote and implement continuous improvement strategies.

### Finding

|  |
| --- |
| **Evidence**: |
| **Comment**: |
| **Observations**: |
| **Non-conformances**: |