<Determining authority name>

<Date of >

CLAIMS management system REVIEW/audit report

|  |  |
| --- | --- |
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# SCOPE OF REVIEW/AUDIT

|  |  |
| --- | --- |
| **Organisation** | [determining authority name] |
| **Site/Workplace** | [location] |
| **Scope of review/audit** | The review/audit examined the [employer name]’s claims management system, processes and outcomes to validate that [employer name] is [meeting its licence conditions and is] complying with the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act).  X claim files were examined by the auditors. These files were randomly selected from a list of all claim files where some activity had occurred in the previous 12 months.  The review/audit review encompassed a review of all relevant policies and procedures as they relate to claims management and any other relevant supporting documentation. An interview was also conducted with claims management staff.  Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents. |
| **Criteria** | This review/audit assessed the claims management system against 31 criteria grouped within five elements:   1. Commitment and corporate governance (3 criteria) 2. Planning (5 criteria) 3. Implementation (17 criteria) 4. Measurement and evaluation (5 criteria) 5. Review and improvement (1 criterion) |
| **Ratings** | The findings in the review/audit report have been classified and marked as follows:  **Conformance—**indicates that the criterion has been met.  **Non-conformance**—indicates that the criterion has not been met.  **Not able to verify—**indicates that the organisation has documented procedures in place however there are no cases to test that the organisation has followed those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reasons for the finding will be explained by the auditor.  **Not Applicable**—indicates that the criterion does not apply to the organisation.  Where a criterion has been met but the auditor has identified a ‘once off’ situation or a ‘minor’ deviation from the documented management system or reference criterion, an **Observation** may be made. These findings, while representing a non-fulfilment of a requirement, are recognised as being of lower risk to the organisation. |
| **Date(s) of review/audit** | Date |
| **Auditors** | [names and organisation] |
| **Client contacts** | List |
| **Record of review/audit** | This report contains a summary of the review/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 wishes to acknowledge the cooperation and assistance provided by the management and staff of [employer name] and thank them for their contribution to the 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]

## Non-conformances

A number of non-conformances were identified during the review/audit. They are:

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

## Observations

A number of observations were identified during the review/audit. They are:

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

In summary, for the 31 criteria within the claims management audit tool, the outcomes are:

|  |  |  |
| --- | --- | --- |
|  | **Number of criteria** | **% of assessed criteria** |
| **Conformance** |  |  |
| **Non-conformance** |  |  |
| **Not able to verify** |  |  |
| **Not applicable** |  |  |

An action plan, which includes completion/review dates and responsibilities, must be developed to address each of the above review/audit findings – and any individual file findings where an error in entitlement was identified.

The auditors invite [determining authority name] to discuss any aspect of this review/audit with the auditors.

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

# TABLE OF CRITERIA

|  |  |  |
| --- | --- | --- |
| 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 |  |
| Determinations in accordance with the Act | 3.5 |  |
| Powers under the Act | 3.6 |  |
| Initial liability | 3.7 |  |
| Determining incapacity | 3.8 |  |
| Determining benefits | 3.9 |  |
| Determining permanent impairment | 3.10 |  |
| Transitional provisions | 3.11 |  |
| Reconsiderations | 3.12 |  |
| 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 planned objectives | 4.1 |  |
| Internal audits | 4.2 |  |
| Outcomes of audits are actioned, 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 |  |

# 

# ELEMENT 1: COMMITMENT AND CORPORATE GOVERNANCE

## Documented commitment

### Criterion 1.1

The determining authority sets 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 determining authority’s claims management system provides for internal and external accountability.

### Finding

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

### Criterion 1.3

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

### Finding

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

# ELEMENT 2: PLANNING

## Administrative arrangements

### Criterion 2.1

The determining authority identifies the administrative and financial limitations for each level of claims manager.

### Finding

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

### Criterion 2.2

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

### Finding

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

### Criterion 2.4

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

### Finding

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

### Criterion 2.5

The determining authority establishes plans to:

1. achieve its objectives and targets
2. promote continuous improvement
3. provide for effective claims management arrangements.

### Finding

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

# 

# ELEMENT 3: IMPLEMENTATION

## Resources

### Criterion 3.1

The determining authority allocates adequate resources to support its claims management system.

### Finding

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

## Communication and awareness

### Criterion 3.2

The determining authority defines and communicates responsibilities to relevant stakeholders.

### Finding

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

### Criterion 3.3

The determining authority communicates 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 regard to the claims management process.

### Finding

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

## Training

### Criterion 3.4

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

### Finding

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

## Compliance with the legislation

### Criterion 3.5

The determining authority complies with the provisions of the SRC Act when making decisions on claims, including:

(i) determining claims accurately and quickly

(ii) determining claims in writing with adequate terms and reasons

(iii) ensuring there is equity of outcomes resulting from administrative practices used by Comcare.

### Finding

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

### Criterion 3.6

The determining authority complies with the provisions of the SRC Act when using its powers or meeting statutory obligations under that Act.

### Finding

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

### Criterion 3.7

The determining authority complies with the provisions of the SRC Act when determining initial liability.

### Finding

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

### Criterion 3.8

The determining authority complies with the provisions of the SRC Act when determining liability for incapacity.

### Finding

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

### Criterion 3.9

The determining authority complies with the provisions of the SRC Act when determining liability for benefits, including medical expenses.

### Finding

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

### Criterion 3.10

The determining authority complies with the provisions of the SRC Act when determining liability for permanent impairment.

### Finding

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

### Criterion 3.11

The determining authority complies with Part X of the SRC Act, the transitional provisions, particularly in relation to determining permanent impairment and incapacity benefits.

### Finding

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

### Criterion 3.12

The determining authority complies with the provisions of the SRC Act, and any specific licence conditions (if applicable), when managing reconsiderations.

### Finding

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

## Claims reviews

### Criterion 3.13

The determining authority provides employees with a reasonable opportunity to provide information or comment when claims for on-going liability are being assessed or reviewed.

### Finding

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

### Criterion 3.14

Claim reviews are timely, made accurately and guided by equity, good conscience and the substantial merits of each case without regards to technicalities.

### Finding

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

## Surveillance

### Criterion 3.15

The determining authority has a policy on the use of covert surveillance and complies 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 determining authority has been issued with; and has agreed to; written instructions on the policy.

### Finding

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

## Confidentiality

### Criterion 3.16

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

### Finding

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

## Document and file management

### Criterion 3.17

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

### Finding

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

# 

# ELEMENT 4: MEASUREMENT AND EVALUATION

## Monitoring

### Criterion 4.1

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

### Finding

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

## Auditing and reporting

### Criterion 4.2

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

### Finding

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

### Criterion 4.3

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

### Finding

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

### Criterion 4.4

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

### Finding

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

### Criterion 4.5

The determining authority provides the Commission or Comcare with reports or documents 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 determining authority analyses claims management system performance outcomes against documented objectives to determine areas requiring improvement and promotes and implements continuous improvement strategies.

### Finding

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

# SUMMARY OF FILE FINDINGS

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Summary of file findings | | | | | | | | | | | | | | | |
| **File Ref** | **Audit Criteria** | | | | | | | | | | | | | | |
| **2.1** | **3.2** | **3.3** | **3.5** | **3.6** | **3.7** | **3.8** | **3.9** | **3.10** | **3.11** | **3.12** | **3.13** | **3.14** | **3.16** | **3.17** |
| ABC1 | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **🗶** |
| ABC2 | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **🗶** |
| ABC3 | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **✓** | **🗶** |

|  |  |  |
| --- | --- | --- |
| Individual file findings | | |
| File Reference | Criterion | Finding |
| All audited files | 3.17 | No audit trail. |
| ABC1 | 3.16 | Other employee details on file |

|  |  |  |
| --- | --- | --- |
| Surveillance file findings | | |
| File Reference | Criterion | Finding |
| ABC1 | 3.15 | Approval not obtained |