

CLAIMS MANAGEMENT SYSTEM AUDIT REPORT

The Australian National
University
16-20 March 2020



Australian Government

Comcare

Document number	
Version	2.1
Release Date	1 July 2015
Release Status	Released for use
Approval Status	Approved for use
Prepared by	Authorisation and Audit
Confidentiality Category	Unclassified

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SCOPE

Organisation

The Australian National University (ANU)

Site/Workplace

The Australian National University
Chancellery Building, East Road, ACTON

Scope of audit

The ANU has held a self-insurance license under the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act) since 1 July 2018. In April 2019, during its first year as a licensee, a review was undertaken to assess the University's compliance with the conditions of its license and the requirements under the SRC Act.

The current audit focussed on the University's second year of operations under the scheme (being the period from mid-April 2019 – mid-March 2020). The audit examined the University's claims management system, processes and outcomes to assess whether the ANU is meeting its licence conditions and is complying with the SRC Act.

The audit encompassed an examination of all relevant policies and procedures as they relate to claims management and any other relevant supporting documentation. Interviews were also conducted with claims management staff.

A selection of 20 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 (1-Feb-2019 and 31-Jan-2020).

Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents.

Audit criteria

This 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 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 audit

16-20 March 2020

Auditors

Jessica Phillips, Auditor, Callida Consulting

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Record of audit

This report contains a summary of the 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

Callida Consulting wish to acknowledge the cooperation and assistance provided by the management and staff of the ANU and thank them for their contribution to the audit process.

EXECUTIVE SUMMARY

The ANU has held a self-insurance license under the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act) since 1 July 2018. The ANU has entered into an arrangement with Comcare, for Comcare claims management staff to:

- be on site at the ANU to manage the ANU claims, and
- conduct reconsiderations on behalf of the ANU, as required.

Comcare conducts reviews of the University's Claims Management System (CMS) in line with the requirements of the Safety, Rehabilitation and Compensation Commission's Licence Compliance and Performance Model. The results from this second CMS extensive review are outlined below.

This review focussed on the University's second year of operations under the scheme (mid-April 2019 – mid-March 2020) and examined its claims management system, processes and outcomes to validate that the ANU is meeting its licence conditions and is complying with the SRC Act.

In summary, the review found that the ANU has a robust CMS in place. No non-conformances were identified, however, observations against seven (7) criterion were made. The review also noted one (1) criterion was not applicable and two (2) criterion were not able to be verified.

NON-CONFORMANCES

No non-conformances were identified during the audit.

OBSERVATIONS

Nine (9) observations against seven (7) criterion, were identified during the audit. They are:

Criterion	No.	Observation
3.3	1	The ANU should consider whether key decisions captured in the claims tracker should also be captured on the claim file, to provide a single source of truth.
3.5	2	The ANU should consider updating the Template 37: Section 30 137 Lump Sum Redemption Payment letter to ensure it satisfies the requirements under s 61(1) of the SRC Act.
3.7	3	The ANU should consider updating the Claims Management Manual to ensure the corresponding SRC Act provision is captured for: <ul style="list-style-type: none">• 7.3.2 Locally Engaged Overseas Employees (pg. 92) – s117• 9.4.1 Double Benefits (pg. 603) – s52• 10.9 Previous entitlements to compensation (pg. 614) – s55
3.9	4	Section 108E(a) of the SRC Act states that compensation and other amounts are paid by licensees accurately and quickly. The term 'quickly' is undefined in the Act. The ANU may wish to consider updating the Claims Management Manual to reference s 108E(a) and to include timeframes (or benchmarks) for

		the processing of compensation payments, to ensure that benefits are paid to claimants 'quickly'.
	5	Ensure that s16 determinations align with the Medical Certificate, or other treatment plan, both in timeframe and prescribed medical goods and services, to ensure all payments are supported by a determination.
	6	Consider options to reconcile non-incapacity related payments (e.g. medical and home help) with Finance records to identify potential anomalies.
3.14	7	Current QA forms are generic. For key decisions including Initial Liability, NPL and PI, consideration should be given to tailoring the QA forms to ensure key components are considered and QA is applied consistently.
3.17	8	Claim Managers need to be more systematic in their recordkeeping processes to ensure records are captured in both recordkeeping systems.
4.5	9	The section of the Claims Manual on the AAT includes a flowchart at 12.2.1 that provides an overview of the claim submission process and progression to the AAT. The ANU may wish to consider updating this flowchart to include within the AAT section, that notification to Comcare of a matter is to occur as soon as practicable.

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

	Number of criteria	% of assessed criteria
Conformance	28	100%
Non-conformance		
Not able to verify	2	
Not applicable	1	

An action plan, which includes completion/review dates and responsibilities, must be developed to address each of the above audit findings. In addition, the ANU has been provided with individual file findings for follow-up, as required.

The auditors invite the ANU to discuss any aspect of this audit with the auditors.

Jessica Phillips, Callida Consulting
9 April 2020

Fiona Emanuel, Callida Consulting
9 April 2020

TABLE OF CRITERIA

Audit element/criterion description	Criterion	Rating
1. Commitment and corporate governance		
Documented commitment	1.1	Conformance
Internal and external accountability	1.2	Conformance
Identify, assess and control risk	1.3	Conformance
2. Planning		
Delegation schedule	2.1	Conformance
Documented procedures	2.2	Conformance
Planning for legislative compliance	2.3	Conformance
Setting objectives and targets	2.4	Conformance
Plans to achieve objectives and targets	2.5	Conformance
3. Implementation		
Adequate resources	3.1	Conformance
Communication—relevant stakeholders	3.2	Conformance
Employees are aware of rights	3.3	Conformance with observation
Training and competency	3.4	Conformance
Determinations in accordance with the Act	3.5	Conformance with observation
Powers under the Act	3.6	Conformance
Initial liability	3.7	Conformance with observation
Determining incapacity	3.8	Conformance
Determining benefits	3.9	Conformance with observation
Determining permanent impairment	3.10	Not able to verify
Transitional provisions	3.11	Not applicable

Reconsiderations	3.12	Conformance
Reasonable opportunity	3.13	Conformance
Claim reviews	3.14	Conformance with observation
Surveillance	3.15	Not able to verify
Privacy and confidentiality	3.16	Conformance
Reporting, records, documentation	3.17	Conformance with observation
4. Measurement and evaluation		
Monitoring planned objectives	4.1	Conformance
Internal audits	4.2	Conformance
Outcomes of audits are actioned, reviewed	4.3	Conformance
Communicating audit results	4.4	Conformance
Providing reports to Comcare and Commission as requested	4.5	Conformance with observation
5. Review and improvement		
Continuous improvement	5.1	Conformance

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: Conformance

Evidence:

- Policy: Rehabilitation and compensation, version effective from 4 June 2018 and approved by the Vice-Chancellor
- Procedure: Rehabilitation and compensation, version effective from 4 June 2018 and approved by the Vice-Chancellor
- Procedure: Return to work, version effective 15 March 2018 and approved by the Chief Operating Officer

Comment:

The ANU's ***Policy: Rehabilitation and compensation***, version effective from 4 June 2018 and approved by the Vice-Chancellor, specifies the responsibility of the University's Executive to provide leadership to ensure the effective implementation and communication of the policy.

The policy statement outlines the University's commitment to effective claims management by ensuring:

- claims are determined promptly and all stakeholders are informed of determinations in a clear manner and to be fully compliant with the requirements of the *Safety Rehabilitation and Compensation Act 1988* (Cth)
- the external claims management provider is supported to manage claims in an equitable, timely and efficient manner, consistent with applicable legislation and self-insurance requirements
- the areas of accountability and responsibility for executive, senior managers and employees involved in the claims management process are defined, documented and communicated
- its people are provided with relevant information about claims management including their rights and obligations
- personal information is maintained confidentially in accordance with applicable legislation, and
- qualified experts are appropriately engaged to assist in the management of claims.

The ANU's ***Procedure: Rehabilitation and compensation***, version effective from 4 June 2018 and approved by the Vice-Chancellor, specifies that the University's Executive, College Deans and Service Division Directors (or their nominees) are

responsible for complying with the administrative requirements of compensation claims as required by the University and regulatory bodies. This responsibility on the Executive is similarly outlined in the ANU's **Procedure: Return to work**, version effective 15 March 2018 and approved by the Chief Operating Officer.

CORPORATE GOVERNANCE

Criterion 1.2

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

Finding: Conformance

Evidence:

- Annual Licensee Report to the Safety Rehabilitation and Compensation Commission
- ANU Annual Report 2018
- ANU WHS Committees and Advisory Groups meeting agendas and minutes
- Claims Management System Audit Service Level Agreement, version approved 1 March 2019
- Claims Management System Governance Framework, version approved 11 November 2019
- College and Divisional HR Meetings
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Monthly submission to the Safety Rehabilitation and Compensation Commission Claims Data Warehouse
- Procedure: Performance and Development - Professional staff, version effective 19 October 2015 and approved by the Chief Operating Officer
- Procedure: Work health and Safety Committees and Representatives, version effective 1 July 2017 and approved by the Chief Operating Officer
- Quarterly Progress Reports for February, May, August and November 2019 compiled by Comcare
- University Council Work Environment Group progress status paper, meeting agendas and minutes
- WHS College and Divisional Officer Meetings
- WHS Performance Annual Report for the period 1 January to 31 December 2019
- Work Environment Group Organisation Structure, version dated as at 1 July 2018
- Work Environment Group Position Descriptions
- Workers Compensation Status Meeting July 2019 Report

Comment:

The ANU has a clearly defined corporate governance framework that describes internal and external organisational accountabilities, including in relation to the management of compensation claims.

Internal accountability mechanisms

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, regular reporting to the Executive on the claims management system occurs through the:

- **ANU Annual Report** - published on the internet at <http://www.anu.edu.au/about/strategic-planning> - 2018 Report sighted during audit
- **WHS Performance at ANU - Annual Report** provided to the University Council and WHS University Committee Meeting - 2019 Report sighted during audit
- **University Council – Work Environment Group Progress Status paper** provided for each meeting during the year. Copies of the agendas and minutes from the Council's meetings can be accessed via the ANU intranet.
- **ANU WHS Committees and Advisory Groups** – meetings conducted quarterly. Copies of the agenda and minutes are published on the intranet at <https://services.anu.edu.au/human-resources/health-wellbeing/management-commitment/whs-governance>.
- **Workers Compensation Status Meeting** conducted quarterly with the Chief Operating Officer (COO) and the Director Human Resources (DHR) – July 2019 Report sighted during the audit
- **WHS College and Divisional Officer Meetings** – conducted monthly, and
- **College and Divisional HR Meetings** – various conducted quarterly, monthly, or on demand.

The ANU's **Procedure: Work health and safety committees and representatives**, version effective 1 July 2017 and approved by the Chief Operating Officer, describes how the University coordinates the Work Health and Safety (WHS) Committees and Health Safety Representatives (HSR), and cooperates on health, safety, rehabilitation and claims matters. The Procedure establishes the WHS Governance Structure within the University, as approved by the University Council, and outlines the purposes of the advisory groups and committees. This includes reporting to the University Council, through the Vice-Chancellor, on the effectiveness of WHS management systems.

The Work Environment Group (WEG) is the responsible business unit at the ANU for the claims management system. The **WEG Organisation Structure**, version dated as at 1 July 2018, outlines the various roles within the group. Each role has a **position description** outlining the relevant skills and responsibilities. Performance and Development Reviews are conducted in accordance with the University's **Procedure: Performance and development - Professional staff**, version effective 19 October 2015 and approved by the Chief Operating Officer.

External accountability mechanisms

The **Deed of Agreement** entered between the University and Comcare, which was signed on 25 January 2018, outlines governance roles and responsibilities. Per the Agreement, Comcare has been engaged by the ANU as its third-party claims manager to manage workers compensation claims in accordance with the SRC Act.

The Agreement requires that Comcare, as the claims management service provider, submit quarterly progress reports to the University outlining:

- its performance against the Key Performance Indicators or KPI / Service Levels
- details (including dates) of Services, Deliverables and Milestones commenced, completed or accepted
- details of any delays or issues arising from the Agreement, including any known reasons for the delay or issue arising, and plans for the management of such delays and issues
- the progress of the work against the Milestones
- an issues and risk log, which must be prepared and maintained
- details of any outstanding invoices and any payments that are about to become due
- draft updates of relevant parts of the Services
- any new variation proposals, and
- any other information in relation to the provision and performance of the Services, as requested by the University.

Completed **quarterly progress reports** for February, May, August and November 2019 were sighted during the audit and included the required information. The Agreement also outlines an escalation procedure to ensure issues related to the provision of claims management services are resolved expeditiously between the parties.

Additionally, as a self-insured licensee, ANU is required to provide the following regular reporting to the Safety Rehabilitation and Compensation Commission (SRCC):

- monthly submission to the Claims Data Warehouse (CDW)
- quarterly performance report co-ordinated by Comcare
- annual licensee report including prudential and financial framework information.

The ANU also has service level agreements, standards and arrangements in place with external parties relevant to the claims management system (CMS), including the **Claims Management System Audit Service Level Agreement**, version approved 1 March 2019, which details the audit processes to be followed for all CMS external audits conducted with the University.

Criterion 1.3

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

Finding: Conformance

Evidence:

- ANU Risk Management Policy
- ANU Risk Management Procedure
- Claims Management System Australian National University Risk Management Plan, version approved 6 December 2019
- Workers Compensation Status Meeting July 2019 Report

Comment:

The ANU's ***Claims Management System Australian National University Risk Management Plan***, version approved 6 December 2019, was developed in consultation with Comcare to assist the University to efficiently and consistently document risks to the organisation and to evaluate the effectiveness of the controls in place and plan risk treatments. The plan was developed in accordance with the University's internal risk management framework, as outlined in ANU's ***Risk Management Policy*** and ***Risk Management Procedure***.

The ***Risk Management Plan*** includes a Risk Register and Treatment Plan which captures the risks identified by the University specific to the CMS. These risks are identified as falling into the following categories:

- staffing numbers
- recruitment
- contract management
- budget, and
- legislative requirements.

The Register captures the following fields against each risk:

- Risk reference number (identifier)
- Details of the risk
- Sources and impacts of the risk
- Current risk treatment strategies (existing controls)
- Current risk (consequence, likelihood and rating)
- Whether the risk is accepted
- Risk owner and timeframe, and
- Status.

The Risk Management Plan is scheduled for review on 6 December 2021.

Additionally, ***Workers Compensation Status Meetings*** are conducted quarterly with the Chief Operating Officer (COO) and the Director Human Resources (DHR) which include a status report of workers compensation claim details, audit findings and associated risk issues. The July 2019 Report was sighted during the audit and included

information on the risks associated with existing claims and the risk mitigation strategies that may be applied.

ELEMENT 2: PLANNING

ADMINISTRATIVE ARRANGEMENTS

Criterion 2.1

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

Finding: Conformance

Evidence:

- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Delegations of the Claims Management Powers and Functions of a Determining Authority Instrument, signed by the Vice-Chancellor on 18 December 2018
- File Audit

Comment:

Under the SRC Act, the Vice-Chancellor is the principal officer and rehabilitation authority of the ANU. The ANU has a ***Delegations of the claims management powers and functions of a determining authority instrument*** (SRC Act Delegation) version signed by the Vice-Chancellor on 18 December 2018. The instrument delegates claims management services to Comcare staff, as outlined in the ***Deed of Agreement***. The SRC Act Delegation includes financial limits for claims management delegates.

File Audit:

No issues were identified.

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: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020

Comment:

The process for paying compensation to injured employees, dependants of deceased employees, providers of medical treatment and other recipients is extensively detailed in the ANU's ***Claims Management Manual***, version approved 20 February 2020. The Manual was created to support claims management decision making and actions under

the self-insurance arrangements.

The Manual outlines payment procedures for:

- medical expenses and reports
- invoices and receipts
- clinical notes
- travel expenses
- overpayment and recoveries
- incapacity payments
- redemptions
- impairment
- interim payments
- lump sum payments
- prescribed child weekly payments, and
- death benefits.

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: Conformance

Evidence:

- ANU Claims and Rehabilitation Management Systems Legislation Register, version approved 20 November 2019
- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- Comcare Claims and Liability Management Capability Framework, version dated 6 May 2016
- Comcare Claims Manager Competency Workbook, version dated March 2017
- Comcare Position Descriptions for APS4 and APS5 Claims Managers, version dated August 2017
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Delegations of the Claims Management Powers and Functions of a Determining Authority Instrument, signed by the Vice-Chancellor on 18 December 2018

- Staff Interviews

Comment:

The University's workers compensation claims are managed by Comcare per the **Deed of Agreement** and **SRC Act Delegation**. Claims managers participate in professional development services provided by Comcare, as detailed in their performance review document and training plan. It is a requirement under the **Deed of Agreement** that Comcare, as the service provider, will provide training to the University pertaining to the 'insurer's role in claims management' only.

Comcare's **Claims Manager Competency Workbook**, version dated March 2017, sets out the expectations for claims managers' learning and development over the first six months in the role. One of the key learning areas covered in the Workbook is the effective management of liability, including that claims managers make timely and appropriate claims actions/decisions that comply with legislation and Comcare's policies.

Comcare also has a **Claims and Liability Management Capability Framework**, version dated 6 May 2016, which defines the foundational capabilities required of all staff at Comcare. Based on the Framework, all staff are expected to have capability in interpreting legislation accurately and consistently. This is also reflected as a job specific capability within Comcare's **Position Description** for APS4 and APS5 Comcare Claims Manager roles, versions dated August 2017.

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, Comcare claims managers are required to complete compulsory legislative training which covers:

- initial liability, death and funeral benefits
- medical treatment
- introduction to incapacity
- other factors to incapacity payments
- household and attendant care services, and
- permanent impairment and non-economic loss.

The ANU's **Claims Management Manual**, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. To achieve consistency in claims decision making, a checklist of considerations that claims managers must make is outlined. If any of the checklist items are answered in the negative, the claims manager is prompted to seek advice from their supervisor before making the claims decision.

As a self-insured licensee, ANU receives information from Comcare's Scheme Management team detailing relevant legislative, policy and caselaw developments. Developments that may impact the University's CMS are shared with Claims Managers and subsequently captured in its **Claims and Rehabilitation Management Systems**

Legislation Register, version approved 20 November 2019. The Legislation Register uses a table to document the:

- item (i.e. the change or advice)
- a description of the item
- the potential impact on the CMS
- any actions required as a result, and
- the status of the actions.

Staff interviews conducted during the audit indicate access for claims managers to applicable legislation is readily available, including access to an annotated version of the SRC Act. Claims managers also confirmed that they had undertaken Comcare's SRC Act training and, as Comcare claims managers, they retain access to Comcare's systems. As a result, they are able to stay informed on changes to the legislative and policy framework.

Criterion 2.4

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

Finding: Conformance

Evidence:

- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Human Resources Divisional Business Plan 2019
- Licensee Compliance and Performance Improvement 2019 Annual Report
- Licensee Performance Report for Quarter 4, 2018-19
- Quarterly Progress Reports for February, May, August and November 2019 compiled by Comcare
- Work Environment Group Operational Plan 2020

Comment:

The ANU is required, per the conditions of its licence for self-insurance, to provide the SRCC with information relating to its operations under the SRC Act.

The SRCC sets performance standards and measures as a base level of performance and encourages improvement in the claims, rehabilitation and prevention performance of licensees. The SRCC performance areas and targets for the University are detailed in the Licensee quarterly performance reports, and the monthly data submitted to the CDW is used to track performance, and objectives and improvement initiatives are outlined in the annual Licensee Compliance and Performance Improvement (LCPI) report. The University's **Licensee Performance Report for Quarter 4, 2018-19** and **Licensee Compliance and Performance Improvement 2019 Annual Report** were sighted during the audit.

Schedule 2 of the **Deed of Agreement** entered between the University and Comcare,

which was signed on 25 January 2018, lists the key performance indicators which provide the overall standards required for the University to meet the conditions of its self-insured license. Specifically, Comcare must provide claims management services to ensure the ANU meets its requirements for KPIs through the provision of operational claims management activities and collection of data which allows the University to fulfil its reporting requirements with the SRCC. As outlined in Schedule 2 of the Agreement, the KPIs measure performance in relation to:

- Licensee Key Performance Indicators
- Initial Claim Submission
- Initial Liability Decision
- Independent Medical Review
- Customer Service Standards - Payments and Benefits
- Reconsideration and Appeals
- Return to Work
- Claims Review
- Reporting
- Records Management, and
- Auditing.

The Agreement requires that Comcare, as the claims management service provider, submit quarterly progress reports to the University outlining, amongst other matters, its performance against the KPIs. Completed **quarterly progress reports for February, May, August and November 2019** were sighted during the audit and included KPI reporting.

The objectives and key performance indicators for the Work Environment Group are outlined in the **Human Resources Divisional (HRD) Business Plan 2019**, which is approved by the University's Executive. The HRD Business Plan 2019 includes initiatives around work health and safety, injury prevention and management, with applicable performance measures including the likely claims cost and forward liability. The HRD Business Plan 2020 is currently under review.

Similarly, the **Work Environment Group Operational Plan 2020** details specific program actions to be taken across its three main areas of safety, injury prevention and injury management. The Group Operational Plan 2020 lists the outcome measures and timeframes against each action and KPIs are detailed, including in relation to claims management initiatives.

Criterion 2.5

The determining authority establishes plans to:

- (i) achieve its objectives and targets
- (ii) promote continuous improvement
- (iii) provide for effective claims management arrangements.

Finding: Conformance

Evidence:

- Claims Management Customer Service Survey, conducted July 2019
- Claims Management Manual, version approved 20 February 2020
- CMS Audit Corrective Action Plan, version approved 1 May 2019
- Figtree Issues Log
- Human Resources Divisional Business Plan 2019
- Work Environment Group Operational Plan 2020

Comment:

The ANU has established plans to achieve its objectives and targets, promote continuous improvement and provide for effective claims management arrangements.

Plans to achieve objectives and targets

The Work Environment Group (WEG) is the responsible business unit at the ANU for the claims management system.

The objectives and key performance indicators for the Work Environment Group are outlined in the **Human Resources Divisional (HRD) Business Plan 2019**, which is approved by the University's Executive. The HRD Business Plan 2019 includes initiatives around work health and safety, injury prevention and management, with applicable performance measures including the likely claims cost and forward liability. The HRD Business Plan 2020 is currently under review.

Similarly, the **Work Environment Group Operational Plan 2020** details specific program actions to be taken across its three main areas of safety, injury prevention and injury management. The Group Operational Plan 2020 lists the outcome measures and timeframes against each action and KPIs are detailed, including in relation to claims management initiatives.

Plans to promote continuous improvement

The ANU's **Claims Management Manual**, version approved 20 February 2020, outlines a Quality Assurance Framework to ensure effective, consistent and accurate claims management. The framework includes a process whereby a Team Leader will conduct a monthly audit of two claims files per claims manager. Feedback identified by the Team Leader as a result is provided to the claims manager at monthly catch ups or immediately where required.

A **Corrective Action Plan**, version approved 1 May 2019, was developed by the ANU following completion of the previous CMS Audit conducted from 1 to 12 April 2019. The plan details the actions to be undertaken by the ANU in response to the non-conformance and observations identified, including the responsible officer, date to be completed, status and supporting evidence. The plan has a review date of 30 June 2019.

The ANU maintains a **Figtree Issues Log** - its nominated claims management system - to record issues and requested enhancements. The log captures details of the issue (or enhancement) the University wants addressed, the response from Figtree, which agency is responsible for any subsequent action item and whether the issue remains open or

closed.

A **Claims Management Customer Service Survey** was conducted by the University in July 2019. The Survey asked claimants questions regarding their satisfaction in relation to the management of their workers compensation claim. Within this document is a log of **Continuous Improvement Activities** outlining the activities undertaken by the University to improve the claimant's experience.

Plans to provide for effective claims management

The ANU's **Claims Management Manual**, version approved 20 February 2020, was created by the University to support claims management decision making and actions under the self-insurance arrangements. The Manual provides a practical resource guide to equip and assist ANU claims management delegates to provide claims services in accordance with the SRC Act. The manual extensively details the step-by-step process for the administration of claims management entitlements, services and benefits.

ELEMENT 3: IMPLEMENTATION

RESOURCES

Criterion 3.1

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

Finding: Conformance

Evidence:

- Claims Management System Australian National University Risk Management Plan, version approved 6 December 2019
- Claims Management System Governance Framework, version approved 11 November 2019
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Staff Interviews

Comment:

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, staff levels in claims management and injury management teams is determined with regard to active claim numbers and complexity. Revision of staff levels would be considered by the ANU where there may be a significant increase or decrease in the number of:

- workers compensation claims
- safety incident notifications requiring screening by a rehabilitation case manager
- staff requiring early intervention services, and

- staff requiring injury prevention services, including training.

The Governance Framework also notes that a workforce analysis of staffing and workload requirements is conducted on an annual basis.

The **Deed of Agreement** for Claims Managed Services and the Provision of other Associated Specialised Services sets out the minimum staffing requirements to be provided by Comcare, as the third party claims manager, to the University and the specific arrangements for changes in staff.

The Risk Register and Treatment Plan that sits within the ANU's **Claims Management System Australian National University Risk Management Plan**, version approved 6 December 2019, identifies resourcing as a key risk to the CMS. The risk is identified specifically in relation to:

- ANU staff numbers
- third party provider staff numbers
- recruitment
- retention
- contract management
- licensee KPIs, and
- program budget.

The register details the risk treatment strategies (current controls) adopted by the University to address CMS resourcing risks.

Staff interviews conducted during the audit indicate that claims managers consider they have sufficient resources to manage ANU workers compensation claims. It was noted that the claims workload is shared between claims managers to allow certain administrative functions, such as the manual processing of compensation and benefits, to be equally shared. Staff noted the level of expertise in the claims management functions, with personnel having up to 15-30 years claims management experience.

COMMUNICATION AND AWARENESS

Criterion 3.2

The determining authority defines and communicates responsibilities to relevant stakeholders.

Finding: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- File Audit
- Health and Safety ANU intranet webpage

- Injury Management ANU intranet webpage
- Performance Development Review Form
- Policy: Rehabilitation and compensation, version effective from 4 June 2018 and approved by the Vice-Chancellor
- Procedure: Rehabilitation and compensation, version effective from 4 June 2018 and approved by the Vice-Chancellor
- Workers' Compensation ANU intranet webpage
- Workers' Compensation Claim Pack, version approved 10 December 2019

Comment:

Per the ANU's ***Claims Management System Governance Framework***, version approved 11 November 2019, the ANU has an intranet page containing comprehensive information on workers' compensation and rehabilitation under the SRC Act which is accessible to all employees.

The ANU has also published relevant information on its website regarding:

- Health and Safety at <https://services.anu.edu.au/human-resources/health-safety>
- Injury Management at <https://services.anu.edu.au/human-resources/health-safety/injury-management>
- Workers' Compensation at <https://services.anu.edu.au/human-resources/health-safety/workers-compensation-at-anu>

Key policies and procedures can be searched via the University's Policy Library at <https://policies.anu.edu.au/ppl/index.htm>, including:

- ***Policy – Rehabilitation and Compensation:*** This document specifies the high-level responsibilities and accountabilities of executive, senior managers and employees.
- ***Procedure – Rehabilitation and Compensation:*** This document provides further detailed roles and responsibilities of senior executive, line management, rehabilitation case managers and staff members.
- ***Performance Development Review (PDR) Form:*** Generic WHS and rehabilitation accountabilities are included for all staff, with or without supervisory responsibilities.

The ANU's ***Workers' Compensation Claim Pack***, version approved 10 December 2019, is provided to all staff members who wish to submit a workers compensation claim, which includes information that specifies the roles and responsibilities of the various stakeholders involved in the claims management process.

The ANU's ***Claims Management Manual***, version approved 20 February 2020, outlines claims management procedures. The Manual details throughout the various roles and responsibilities in relation to the CMS, including that of the University as the employer and Comcare as the claims management provider.

File Review:

No issues identified.

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 regards to the claims management process.

Finding: Conformance with observation

Evidence:

- Claims Management Manual, version approved 20 February 2020
- File Audit
- Template Letters
- Workers' Compensation Claim Pack, version approved 10 December 2019

Comment:

The ANU's **Workers' Compensation Claim Pack**, version approved 10 December 2019, is provided to all staff members who wish to submit a workers compensation claim. The pack includes the following attachments:

- ANU - Workers' Compensation Claim Form
- ANU - Authority to Collect, Use and Disclose Personal Information
- ANU - Frequently Asked Questions (FAQ's)
- Medical Certificate of Capacity
- ANU - Claim for Time Off Work Form
- ANU - Medical Services Claim Form

The **Workers Compensation Claim Form** captures in detail the injured employee's responsibilities and includes a privacy statement advising the how their personal information will be collected, used and disclosed. The form advises the employee of what to expected, including that ANU will let them know when the claim has been received and will notify the employee of any decisions. The form includes an 'authority and declaration' to be completed by the injured employee which attests that they have read and agree to all information within the form. Privacy is also covered extensively within the **Authority to Collect, Use and Disclose Personal Information** attachment.

The **Frequently Asked Questions (FAQ's)** outlines information pertinent to an employee's rights and obligations, specifically:

- the employee's rights under the SRC Act
- the employee's entitlements they may receive

- privacy
- the employee’s ability to access information about their claim
- the employee’s responsibilities
- changes in circumstances which the employee should reported
- notification responsibilities if the employee commences legal action, and
- the process if the employee has provided false or misleading information.

The ANU’s ***Claims Management Manual***, version approved 20 February 2020, outlines claims management procedures. The Manual outlines the step-by-step process for managing all stages of a workers compensation claim. These steps include timeframes for when actions should be completed, including in relation to engaging with the injured employee, and claims managers are advised to record these deadlines as a task within the claims file on Figtree (the University’s nominated claims management system). The Manual also provides extensive communications guidance for personnel having conversations and consulting with injured employees.

Claims Managers also have access to a suite of ANU templates to use when corresponding with, and making claims decisions in relation to, the injured employee.

File Review:

The file review confirmed that there are processes in place to communicate with employees, medical practitioners and RCMs including file notes recording phone calls and emails. The close working relationship between the Rehabilitation and Claims Management teams was also evidenced on file.

In addition, a claims tracking tool is used by the Claims Management team to monitor, discuss and manage claims. This captures key details of the claim, assesses the risk(s), agreed next actions and progress at a point in time. While the tracking tool captures key decisions regarding the management of a claim at a point in time, these are not captured on the actual claim file record. As a result, the claims file itself may not contain a record of key decisions made regarding the management of the claim. Failure to have a single source of truth may lead to incorrect decision-making, or the inability to locate documentation as evidence should a decision be referred to the AAT.

Observations:

The ANU should consider whether key decisions captured in the claims tracker should also be captured on the claim file, to provide a single source of truth.

TRAINING

Criterion 3.4

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

Finding: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- Comcare Claims and Liability Management Capability Framework, version dated 6 May 2016
- Comcare Claims Manager Competency Workbook, version dated March 2017
- Comcare Position Descriptions for APS4 and APS5 Claims Managers, version dated August 2017
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Delegations of the Claims Management Powers and Functions of a Determining Authority Instrument, signed by the Vice-Chancellor on 18 December 2018
- Position Description for the Associate Director, WEG
- Position Description for the WHS Claims Management Senior Consultant
- Responding to Staff Injury and Illness in the Workplace Training Module for Supervisors, version approved 11 November 2019
- Staff Interviews

Comment:

The ANU has identified training requirements, developed and implemented training plans and has ensured personnel are competent.

Ensuring competency of claims managers

ANU's workers compensation claims are managed by Comcare per the **Deed of Agreement** and **SRC Act Delegation**. Claims managers participate in professional development services provided by Comcare, as detailed in their performance review document and training plan. It is a requirement under the **Deed of Agreement** that Comcare, as the service provider, will provide training to the University pertaining to the 'insurer's role in claims management' only.

Comcare's **Claims Manager Competency Workbook**, version dated March 2017, sets out the expectations for claims managers' learning and development over the first six months in the role. One of the key learning areas covered in the Workbook is the effective management of liability, including that claims managers make timely and appropriate claims actions/decisions that comply with legislation and Comcare's policies.

Comcare also has a **Claims and Liability Management Capability Framework**, version dated 6 May 2016, which defines the foundational capabilities required of all staff at Comcare. Based on the Framework, all staff are expected to have capability in interpreting legislation accurately and consistently. This is also reflected as a job specific capability within Comcare's **Position Description** for APS4 and APS5 Comcare Claims Manager roles, versions dated August 2017.

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, Comcare claims managers are required to complete

compulsory legislative training which covers:

- initial liability, death and funeral benefits
- medical treatment
- introduction to incapacity
- other factors to incapacity payments
- household and attendant care services, and
- permanent impairment and non-economic loss.

The ANU's ***Claims Management Manual***, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. To achieve consistency in claims decision making, a checklist of considerations that claims managers must make is outlined. If any of the checklist items are answered in the negative, the claims manager is prompted to seek advice from their supervisor before making the claims decision.

Staff interviews conducted during the audit indicated that claims managers had undertaken Comcare's SRC Act, including in relation to the application of the legislation and issuing of determinations. It was noted that as part of on-boarding, new starters within the claims management function are provided on-the-job training relevant to their role including, for example, how to use the Figtree system.

Ensuring competency of WEG staff

In terms of internal staff, the ANU's ***Claims Management System Governance Framework***, version approved 11 November 2019, states the ANU has a strong commitment to employing staff within the injury prevention and claims management teams in WEG who have both relevant qualifications and experience. Rehabilitation case managers employed are required to have a health professional qualification or otherwise extensive experience in the area of occupational rehabilitation. Staff within the team have a range of multidisciplinary qualifications including:

- Occupational therapy
- Psychology
- Exercise physiology, and
- Health education.

The ANU's ***Position Description for the WHS Claims Management Senior Consultant*** specifies that candidates must have:

- Demonstrated significant experience in a workers compensation environment with proven ability in effective problem solving, conflict resolution and decision making to manage complex workers' compensation claims including assessing, investigating, reviewing, negotiating and determining workers' compensation claims, entitlements and lump sum payments, and

- Demonstrated experience in managing a claims management information system including to enable data analysis and reporting requirements for internal and external stakeholders.

Similarly, the ANU's ***Position Description for the Associate Director, WEG*** specifies that candidates must have:

- Relevant postgraduate qualifications or equivalent with demonstrated extensive experience in claims and/or injury management or an equivalent combination of experience and education/training, and
- Extensive knowledge of and experience with WHS legislation, standards and self-insurance requirements and demonstrated success in claims

Ensuring competency of supervisors

The ANU's ***Responding to Staff Injury and Illness in the Workplace Training Module for Supervisors***, version approved 11 November 2019, provides supervisors with information on Injury Management Services at the ANU to meet their responsibilities to support staff with an injury or illness. The module covers such topics as:

- legislative obligations
- the self-insurance arrangements
- Comcare's role
- WHS responsibilities
- early intervention, and
- managing return to work.

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: Conformance with observation

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- Comcare Claims and Liability Management Capability Framework, version dated 6 May 2016
- Comcare Claims Manager Competency Workbook, version dated March 2017

- Comcare Position Descriptions for APS4 and APS5 Claims Managers, version dated August 2017
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- File Audit
- Notice of Rights attachment
- Template Letters

Comment:

ANU's workers compensation claims are managed by Comcare per the **Deed of Agreement** and **SRC Act Delegation**. Claims managers participate in professional development services provided by Comcare, as detailed in their performance review document and training plan. It is a requirement under the **Deed of Agreement** that Comcare, as the service provider, will provide training to the University pertaining to the 'insurer's role in claims management' only.

Comcare's **Claims Manager Competency Workbook**, version dated March 2017, sets out the expectations for claims managers' learning and development over the first six months in the role. One of the key learning areas covered in the Workbook is the effective management of liability, including that claims managers make timely and appropriate claims actions/decisions that comply with legislation and Comcare's policies.

Comcare also has a **Claims and Liability Management Capability Framework**, version dated 6 May 2016, which defines the foundational capabilities required of all staff at Comcare. Based on the Framework, all staff are expected to have capability in interpreting legislation accurately and consistently. This is also reflected as a job specific capability within Comcare's **Position Description** for APS4 and APS5 Comcare Claims Manger roles, versions dated August 2017.

Per the. ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, Comcare claims managers are required to complete compulsory legislative training which covers:

- initial liability, death and funeral benefits
- medical treatment
- introduction to incapacity
- other factors to incapacity payments
- household and attendant care services, and
- permanent impairment and non-economic loss.

The ANU's **Claims Management Manual**, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. To achieve consistency in claims decision making, a checklist of considerations that claims managers must make is outlined. If any of the checklist items are answered in the negative, the claims manager is prompted to seek advice from their supervisor before making the

claims decision.

The **Claims Management Manual** also outlines a Quality Assurance Framework to ensure effective, consistent and accurate claims management. The framework includes a process whereby a Team Leader will conduct a monthly audit of two claims files per claims manager. Feedback identified by the Team Leader as a result is provided to the claims manager at monthly catch ups or immediately where required.

Claims Managers also have access to a suite of ANU templates to use when corresponding with, and making claims decisions in relation to, the injured employee. Those template letters which constitute a determination by the claims manager under the SRC Act each contain a **Notice of Rights** (except as described in the Observation made below).

In addition to the management of claims, per the **Deed of Agreement** Comcare manages reconsideration requests, provides injury management services, and clinical panel reviews to the ANU on a fee-for-service basis. The procedure for engaging Comcare for these services is outlined in the **Claims Manual**.

File Review:

No issues identified.

Observations:

Section 61(1) of the SRC Act requires that determinations are in writing, state the terms of and reasons for the determination, and notify the employee of their right to request a reconsideration if dissatisfied with the determination outcome.

The ANU's **Template 37: Section 30 137 Lump Sum Redemption Payment** letter does not prompt the claims manager to record the reasons for determining that the injured employee's degree of incapacity is unlikely to change and does not include a **Notice of Rights** attachment. The ANU should consider updating this template to ensure it satisfies the requirements under s 61(1) of the SRC Act.

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: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Delegations of the Claims Management Powers and Functions of a Determining Authority Instrument, signed by the Vice-Chancellor on 18 December 2018
- File Audit
- Staff Interviews

Comment:

The ANU's **Claims Management Manual**, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision

making, including that decisions must be consistent with the SRC Act. To achieve consistency in claims decision making, a checklist of considerations that claims managers must make is outlined. If any of the checklist items are answered in the negative, the claims manager is prompted to seek advice from their supervisor before making the claims decision.

Under the SRC Act, the Vice-Chancellor is the principal officer and rehabilitation authority of the ANU. The ANU has a ***Delegations of the claims management powers and functions of a determining authority instrument*** (SRC Act Delegation) version signed by the Vice-Chancellor on 18 December 2018. The instrument specifies who is authorised to make claims determinations and includes financial limits for claims management delegates.

Staff interviews conducted during the audit with claims management staff indicated that decisions regarding whether non-attendance at, or a claim for costs associated with travel to, an examination are made based on the merits of each case, taking into consideration the individual circumstances of the claim and the available information.

File Review:

No issues identified.

Criterion 3.7

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

Finding: Conformance with observation

Evidence:

- Claims Management Manual, version approved 20 February 2020
- File Audit
- Information for Employees Residing or Moving Overseas fact sheet, version dated July 2017
- Staff Interviews
- Template Letters

Comment:

The ANU's ***Claims Management Manual***, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. The procedure for determining initial liability is covered extensively under section 7 'Initial Liability' of the Manual.

Claims Managers also have access to a suite of ANU template letters to use when corresponding with, and making claims decisions in relation to, the injured employee including in relation to initial liability determinations:

- **Template 10: Section 14 Accept Liability_ANU**
- **Template 11: Section 14 15 Determination to Case Manager_ANU**
- **Template 12: Section 14 Acknowledge Claim_ANU**
- **Template 13: Section 14 Accept Liability Secondary Condition_ANU**
- **Template 14: Section 14 Decline Liability Secondary Condition_ANU**
- **Template 15: Section 14 17 18 Acknowledge Death Claim**
- **Template 16: Section 14 17 18 Determination Deceased**
- **Template 17: Section 14 Decline Liability_ANU**
- **Template 21: Section 15 Property Damage**

The ANU also has an **Information for Employees Residing or Moving Overseas** fact sheet, version dated July 2017, for employees who, after suffering an injury, leave Australia (whether on a short-term or long-term basis) and intend to claim compensation entitlements under the SRC Act.

Staff interviews conducted during the audit with claims management staff indicated adequate awareness of the procedure for determining new claims.

File Review:

No issues identified.

Observations:

Claims managers must have regard to a number of sections of the SRC Act to ensure a correct decision and consequent determination is made.

The ANU should consider updating the below-mentioned sections of the **Claims Management Manual** to ensure the corresponding SRC Act provision is captured.

- 7.3.2 Locally Engaged Overseas Employees (pg. 92)
 - s 117 - compensation payable to locally engaged overseas employees
- 9.4.1 Double Benefits (pg. 603)
 - s 52 - compensation not payable both under Act and under award
- 10.9 Previous entitlements to compensation (pg. 614)
 - s 55 - survival of claims

Criterion 3.8

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

Finding: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- File Audit
- Template Letters

Comment:

The ANU's *Claims Management Manual*, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. Procedures for calculating and determining incapacity payments is covered extensively throughout the Manual, in particular under section 8 'Ongoing Claims', sub-section 8.17 'Incapacity for Work'.

Claims Managers also have access to a suite of ANU template letters to use when corresponding with, and making claims decisions in relation to, the injured employee including in relation to incapacity payments:

- **Template 8: Section 8 initial NWE determination letter**
- **Template 9: Section 8 updated NWE determination letter**
- **Template 25: Section 19 Determination of Ability to Earn**
- **Template 26: Section 19 Incap - 35 - 44 weeks**
- **Template 27: Section 19 Incap + 45 weeks**
- **Template 28: Section 19 Incap det - 0 - 35 weeks**
- **Template 29: Section 20-21-21A Incap det**
- **Template 30: Section 20 and 21A Incap super pension amount change**
- **Template 37: Section 30 Lump Sum Redemption Payment**

File Testing:

No issues identified.

Incapacity payments are calculated by claims managers using an excel spreadsheet, with separate spreadsheets maintained on the employee file. It is noted that separate spreadsheets have been developed to manage incapacity payments where superannuation and/or lump sum payments need to be included in the calculations. A sample of incapacity payments were manually calculated by the auditors against the supporting documentation and calculation spreadsheet with no issues identified.

Criterion 3.9

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

Finding: Conformance with observation**Evidence:**

- Application for Household, Attendant Care and/or Child Care Services, version dated July 2018
- Claims Management Manual, version approved 20 February 2020
- File Audit

- Home Assessment (Occupational Therapy) Report template
- Internal Claim File Audit Tool
- Staff Interviews
- Template Letters

Comment:

The ANU's ***Claims Management Manual***, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. Procedures for determining liability for benefits, including medical expenses, is covered extensively throughout the Manual, in particular under sub-sections 8.4.19 'Payment of invoices and receipts' and 8.14.17 'Accounts'.

Claims Managers also have access to a suite of ANU template letters to use when corresponding with, and making claims decisions in relation to, the injured employee including in relation to incapacity payments:

- ***Template 18: Section 16 Accept Surgery_ANU***
- ***Template 19: Section 16 39 Accept Aid or Appliance_ANU***
- ***Template 20: Section 16 Accept Treatment_ANU***
- ***Template 23: Section 16 19 29 No Present Liability_ANU***
- ***Template 24: Section 16 29 39 Decline Invoice or Claim_ANU***
- ***Template 15: Section 14 17 18 Acknowledge Death Claim***
- ***Template 16: Section 14 17 18 Determination Deceased***
- ***Template 22: Section 29 Household Help Attendant Care***
- ***Template 38: Section 39 Accept Modification Alteration***

The ANU has an ***Application for Household, Attendant Care and/or Child Care Services***, version dated July 2018, that must be completed by the injured employee and their treating doctor to provide the information needed to determine Household, Attendant Care or Child Care services. This is supported by the ***Home Assessment (Occupational Therapy) Report*** template to be completed where an assessment is undertaken by an occupational therapist to assist in the consideration of the application.

Staff interviews conducted during the audit with claims management staff indicated adequate awareness of the procedure for determining claims for household services and attendant care.

File Review:

S16 determinations should align with the Medical Certificate, Certificate of Capacity or other agreed treatment plan as issued by a treating practitioner, both in timeframe and specified treatments. This determination confirms the services the ANU is approving and, in some instances, the rate or cost of the services. The file review identified:

- instances where medical treatment was reimbursed to the employee, or paid

directly to the provider, for a period with no s16 determination.

- instances where the medical goods and services stated in the s16 did not align with the Medical Certificate or other treatment plan. This includes omitting medications and allied health services. Payment for these services was, however, made.

The ANU needs to ensure that s16 determinations aligns with the Medical Certificate, or other treatment plan, both in timeframe and medical goods and services.

Issues with payments were also noted, including in the following circumstances:

- The treating doctor was pre-paid for a report that was never received. Based on the file, it appeared there was no action made to recover the expenditure. The auditors referred this to the ANU for its action.
- Comcare conducted a reconsideration on behalf of the ANU but did not invoice the ANU for those services. This was not identified by either party. The auditors referred this to the ANU for action.

There is currently no reconciliation process between Finance and the Claims Management team. Options should be considered based on an assessment of risk.

Observations:

Section 108E(a) of the SRC Act states that compensation and other amounts are to be paid by licensees accurately and quickly. The term 'quickly' is undefined in the Act.

The ANU may wish to consider updating the **Claims Management Manual** to reference s 108E(a) and to include timeframes (or benchmarks) for the processing of compensation payments, to ensure that benefits are paid to claimants 'quickly'.

For example, the Claims Manual currently specifies that accounts deemed as non-reasonable treatment are to be returned to the claimant within 2 business days and the **Internal Claim File Audit Tool** specifies business day timeframes for the processing of payments and benefits. Timeframes are not specified within the Manual, however, for the processing of benefits claimed under ss 16, 17(5), 18, 29 and 39.

Based on findings from the file review, the ANU should:

- ensure that s16 determinations aligns with the Medical Certificate, or other treatment plan, both in timeframe and prescribed medical goods and services.
- explore options to reconcile non-incapacity payments with Finance records to identify anomalies.

Criterion 3.10

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

Finding: Not able to verify

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Compensation Claim for Permanent Impairment and Non-Economic Loss - Form

and Checklist, version dated July 2018

- File Audit
- Staff Interviews
- Template Letters

Comment:

The ANU's ***Claims Management Manual***, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. The procedure for determining liability for permanent impairment is covered extensively throughout the Manual, in particular under sub-section 8.18 'Permanent Impairment'.

Claims Managers also have access to a suite of ANU template letters to use when corresponding with and making claims decisions in relation to the injured employee, including for incapacity payments:

- ***Template 31: Section 24 57 PI Medical Report Request***
- ***Template 32: Section 24 Acknowledge PI Claim***
- ***Template 33: Section 24 PI Accept***
- ***Template 34: Section 24 PI- Hearing Loss***
- ***Template 35: Section 24 PI Reject***
- ***Template 36: Section 25 PI Interim Payment***

The ANU also has a ***Compensation Claim for Permanent Impairment and Non-Economic Loss - Form and Checklist***, version dated July 2018, that the injured employee and their treating doctor must complete and submit to the University for assessment.

Staff interviews conducted during the audit with claims management staff indicated adequate awareness of the procedure for determining claims for permanent impairment.

The criterion was unable to be verified as only one of the tested claims involved a permanent impairment. However, as at the time of the audit, the ANU is still to make the determination.

It is noted that this has not been completed within the agreed timeframe. Audit confirm that this is a complex medical claim and the vulnerability of the employee due to the extent of their injury. It is acknowledged that this has impacted on the employee's ability to have the required multiple medical specialist assessments necessary to complete an accurate Permanent Impairment assessment at this present time.

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: Not Applicable

Comment:

Part X of the SRC Act does not apply to the ANU.

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: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- File Audit
- Staff Interviews
- Template Letters
- Workers' Compensation Claim Pack, version approved 10 December 2019

Comment:

The ANU's **Claims Management Manual**, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. The procedure for reconsideration and review of claim decisions is covered within the Manual under section 11 'Reconsiderations'.

Claims managers also have access to a suite of ANU template letters to use when corresponding with and making claims decisions in relation to the injured employee, including for reconsiderations:

- **Template 46: Section 62 Acknowledge Reconsideration Request EE_ANU**
- **Template 47: Section 62 Reconsideration Reviewable Decision EE_ANU**
- **Template 48: Section 62 Reconsideration on Own Motion_ANU**

Per the **Deed of Agreement**, Comcare may manage reconsideration requests on behalf of the ANU on a fee-for-service basis.

The ANU's **Workers' Compensation Claim Pack**, version approved 10 December 2019, is provided to all staff members who wish to submit a workers compensation claim and which includes a **Frequently Asked Questions (FAQ's)** attachment. The FAQs outline information pertinent to an employee's rights and obligations, including that an employee has the right to ask for certain decisions to be reconsidered.

Staff interviews conducted during the audit with claims management staff indicated adequate awareness of the procedure for undertaking reconsiderations of own motion and granting employees an extension of time where a reconsideration request is not

received within 30 days. Claims managers advised that such decisions are made based on the merits of each case, taking into consideration the individual circumstances of the claim and the available information.

File Review:

No issues identified.

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: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- File Audit

Comment:

The ANU's *Claims Management Manual*, version approved 20 February 2020, extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The Manual provides a Claims Management Decision Making Framework which sets out the requirements and legal basis for claims decision making, including that decisions must be consistent with the SRC Act. Natural justice is specifically covered within the Manual at section 8.14.20.

File Review:

No issues identified.

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: Conformance with observation

Evidence:

- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- Decision Quality Assurance template
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- File Audit

Comment:

Section 6 of the ANU's **Claims Management Manual**, version approved 20 February 2020, outlines a Quality Assurance Framework to ensure effective, consistent and accurate claims management. The framework includes a process whereby a Team Leader will conduct a monthly audit of two claims files per claims manager. Feedback identified by the Team Leader as a result is provided to the claims manager at monthly catch ups or immediately where required. The procedure for claims review is specifically covered within the Manual at section 8.19.

The **Deed of Agreement** entered between the University and Comcare, which was signed on 25 January 2018, includes service level standards for claims file reviews. Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, the University and Comcare are committed to a partnership that provides for continuous improvement strategies to ensure effective claims management that generates accurate and timely determinations and payments.

The ANU has a **Decision Quality Assurance** template for completion when Team Leaders QA draft determinations by claims managers. The template captures the decision, claim number, employee name, date of decision, relevant section(s) of the SRC Act, any comments or amendments, claims manager name and Team Leader name.

File Review:

The ANU undertakes a number of quality assurance activities in relation to claims files. These activities include the use of QA forms for specific tasks and the provision of Periodic File Review forms to the employee to confirm details on an annual basis. Although there were no records of holistic claim file reviews being undertaken of the claim files by a team leader, it is noted that the claims tracker enables the monitoring and consideration of ongoing claims management.

The file review did identify two instances where QA forms were not on file. While not systemic, there is opportunity for improvement to the QA process. Currently, QA forms are brief and are not tailored for the particular aspect being QA'ed. Tailoring QA forms for specific high-risk determinations or activities including initial liability, NPL and closure of a claim to ensure consistency and quality QA processes.

Observations:

Current QA forms are generic. They are not tailored for the specific activity or determination and, as such, there may be inconsistency in approach and key components may be omitted from the QA process. The ANU should consider tailoring the QA forms to ensure key components are considered and QA is applied consistently.

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: Not able to verify

Evidence:

- Procedure: Surveillance, version effective 1 July 2018 and approved by the Chief Operating Officer
- Claims Management Manual, version approved 20 February 2020
- File Audit

Comment:

The ANU's **Procedure: Surveillance**, version effective 1 July 2018 and approved by the Chief Operating Officer, details the University's procedure for the use of covert optical surveillance in workers' compensation claims under the SRC Act. The Procedure includes guidance regarding:

- the application process for the use of covert optical surveillance
- who may grant approval for surveillance activity
- the manner in which covert surveillance is to be conducted
- that any operative undertaking covert surveillance on behalf of the ANU will be issued with written instructions on the procedure, which must be agreed to before proceeding, and
- the review, retention, access, storage and destruction of surveillance material.

Covert surveillance is also covered in the ANU's **Claims Management Manual**, version approved 20 February 2020, at section 12.4.

File Review:

The criterion was unable to be verified as none of the audited claims files involved the use of covert surveillance.

CONFIDENTIALITY

Criterion 3.16

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

Finding: Conformance

Evidence:

- Claims Management Manual, version approved 20 February 2020
- File Audit
- Privacy ANU webpage
- Privacy Policy, version effective 1 January 2015 and approved by the Vice-Chancellor
- Procedure: Data breach response plan, version effective 15 March 2018 and approved by the Chief Operating Officer, and

- Procedure: Records Management, version effective 12 September 2016 and approved by the Chief Operating Officer.

Comment:

Section 14 of the ANU's *Claims Management Manual*, version approved 20 February 2020, outlines the University's record keeping procedures for workers' compensation claims. The Manual notes that administrative standards are required for claims records management, including that:

- confidential paper files and hardcopy documents will be locked in a secure cabinet at the end of each working day
- confidential paper documents requiring disposal will be handled in a secure manner in accordance with University Policy
- any covering email or letter received with claim documentation will be recorded in Figtree and in the shared drive claim file to ensure the date/time of receipt of the documentation is recorded
- finalised documentation saved to Figtree and the shared drive claim file will not be modified or deleted without notification to the ANU Senior Claims Manager, and
- any finalised documentation that is modified or deleted will be replaced with written notation specifying the date and the reason for the modification/deletion.

Guidance regarding privacy requirements and confidentiality is also detailed throughout the Manual, for example at sections 8.14.12 'Privacy and Managing Information', 8.14.23 'File Maintenance' and 10.13.6 'Privacy considerations when requesting evidence'. Additionally, section 8.14.11 'Procedure for actioning a section 59 request' provides guidance for processing requests from employees under s 59 of the SRC Act to access information held on their claim file.

The ANU's approach to privacy at the enterprise-level is detailed on its website at <https://www.anu.edu.au/privacy>, including links to key policies and procedures such as the University's:

- **Privacy Policy**, version effective 1 January 2015 and approved by the Vice-Chancellor
- **Procedure: Data breach response plan**, version effective 15 March 2018 and approved by the Chief Operating Officer, and
- **Procedure: Records Management**, version effective 12 September 2016 and approved by the Chief Operating Officer.

The *Deed of Agreement* entered between the University and Comcare, which was signed on 25 January 2018, for the provision of claims management services includes service level standards for record keeping. Part 3 of the Deed stipulates requirements between the parties regarding information management, including in relation to confidentiality, privacy and the protection of personal information.

File Review:

No issues identified.

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:

- Claims Management Manual, version approved 20 February 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- File Audit
- Internal Claim File Audit Tool
- Previous CMS Audit Report and Corrective Action Plan

Comment:

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, the reporting and records management for the claims management function is conducted within the Figtree system, which is the ANU's nominated computer-based system used to register and record claims decisions, benefit payments and case notes. Active workers' compensation claims are also stored within a WEG shared drive with access granted to the workers compensation team only. The shared drive is used due to the lack of an efficient document control module within the Figtree system.

Section 14 of the ANU's **Claims Management Manual**, version approved 20 February 2020, outlines the record keeping procedures for workers' compensation claims. The Manual provides procedural guidance in relation to Figtree, the WEG shared drive, the University's Electronic Records Management System and the Human Resources Management System. This includes information regarding file naming conventions, document deletion and retention.

The **previous CMS Audit** conducted in January 2020 made the following observation for this criterion:

ANU should develop an ongoing review process to ensure that documentation relevant to individual claims created and stored on their WEG local shared drive are also scanned into Figtree.

The **corrective action plan** established by the ANU following the audit advises that the ANU updated its **Internal Claim File Audit Tool** to include a check whether claims documentation was stored correctly in both the respective shared drive claim file and the Figtree claim file. The **Internal Claim File Audit Tool** was sighted during the audit and includes a check that "The CSO [claims manager] has saved all correspondence to the Figtree file and the shared drive claim file".

File Review:

Records management issues across the files included:

- documentation missing from Figtree, or
- delays in putting documentation on file.

These issues are related to the system functionality; requiring staff to effectively duplicate their records management activities in both systems. However, failure to have a single source of truth may lead to incorrect decision-making, or the inability to locate documentation as evidence should a decision be referred to the AAT.

Observations:

Claim Managers need to be more systematic in their recordkeeping processes to ensure capture in both systems.

ELEMENT 4: MEASUREMENT AND EVALUATION

MONITORING

Criterion 4.1

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

Finding: Conformance

Evidence:

- Claims Management System Governance Framework, version approved 11 November 2019
- Human Resources Divisional Business Plan 2019
- Licensee Compliance and Performance Improvement 2019 Annual Report
- Licensee Performance Report for Quarter 4, 2018-19
- Monthly submission to the Safety Rehabilitation and Compensation Commission Claims Data Warehouse
- Quarterly Progress Reports for February, May, August and November 2019 compiled by Comcare
- WHS Performance Annual Report for the period 1 January to 31 December 2019
- Work Environment Group Operational Plan 2020

Comment:

The Work Environment Group has planned objective and performance measures for its CMS. These are outlined in the **Human Resources Divisional (HRD) Business Plan 2019**, which is approved by the University's Executive, and covers initiatives around work health and safety, injury prevention and management, with applicable performance measures including the likely claims cost and forward liability. The HRD Business Plan 2020 is currently under review.

Similarly, the **Work Environment Group Operational Plan 2020** details specific program actions to be taken across the group's three main areas of safety, injury prevention and injury management. The Group Operational Plan 2020 lists the outcome measures and timeframes against each action and KPIs are detailed, including in relation to claims management initiatives.

Per ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, performance against these measures is reported quarterly to the Executive and to the Vice-Chancellor through the University Council Meeting every eight weeks. Measurement and evaluation of claims management activities at the ANU occurs in the following ways:

- Reporting against the activities detailed in the HR Division Business Plan;
- Quarterly review of all WEG deliverables (safety, rehabilitation and claims management), as detailed in the WEG Operational Plan; and
- Monthly review of claims management Licensee Key Performance Indicators (LKPIs) from Figtree as per CDW requirements.

Reporting of planned objectives and measures occurs in the following ways:

- WHS report to University Council, provided at each scheduled meeting for the year. The **WHS Performance Annual Report for the period 1 January to 31 December 2019** was sighted during the audit
- Quarterly reporting to the Chief Operating Officer (COO). The July 2019 Report was sighted during the audit, and
- Quarterly reporting of safety, rehabilitation and claims status report to the WHS University Committee Meetings.

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: Conformance

Evidence:

- ANU Audit Contract with an external provider, signed 5 June 2019
- Audit Reports and Corrective actions Plans from CMS Audits conducted in January 2019, April 2019 and January 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- WHS Audit Schedule 2018-20

Comment:

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, an annual external audit schedule is conducted by the

Comcare self-insurance team for the safety, rehabilitation and claims management systems as part of the licensee requirements for the first two years of licence, and then at year six.

A copy of the University's **audit contract** with an external provider, signed on 5 June 2019, for the most recent auditing of the CMS, covering the period 15 January 2019 to 13 January 2020, was sighted during the audit. The audit contract includes CVs of the personnel selected to perform the audit for the University which demonstrate that the auditors have adequate knowledge of the SRC Act and relevant prior CMS auditing experience to be considered 'competent personnel'.

Copies of the audit reports for the CMS Audits conducted in January 2019, April 2019 and January 2020, and the respective corrective action plans, were all sighted during this audit. All audits were conducted using Comcare's CMS Audit Tool.

Additionally, the ANU's **WHS Audit Schedule 2018-20** outlines a schedule of all Tier 1 WHS Audits, including CMS audits. Tier 1 audits are defined as external audits required by Comcare as part of the University's self-insurance license arrangement.

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: Conformance

Evidence:

- ANU Annual Report 2018
- ANU WHS Committees and Advisory Groups meeting agendas and minutes
- Audit Reports and Corrective actions Plans from CMS Audits conducted in January 2019, April 2019 and January 2020
- Claims Management System Governance Framework, version approved 11 November 2019
- College and Divisional HR Meetings
- University Council Work Environment Group progress status paper, meeting agendas and minutes
- WHS College and Divisional Officer Meetings
- WHS Performance Annual Report for the period 1 January to 31 December 2019
- Workers Compensation Status Meeting July 2019 Report

Comment:

In January 2019, the University underwent its first audit of the CMS as a self-insured licensee covering the period 1 July 2018 to 14 January 2019. A copy of the audit report, **2018/2019 Comcare License Audit Australian National University FINAL REPORT Claims Management System Audit**, version signed 30 January 2019, was sighted during the audit. The report documents the outcomes of the audit. A **Corrective**

Action Plan, version approved 15 February 2019, was developed by the ANU to track the corrective actions undertaken in response to the non-conformance and observations identified, including the responsible officer, date to be completed, status and supporting evidence. According to the plan, all corrective actions are completed.

In April 2019, a Comcare-arranged CMS audit was undertaken at the University covering the period 1 July 2018 (licence commencement) to 1 April 2019. A copy of the audit report, **Australian National University Claims Management System Audit April 2019 Final Report**, was sighted during the audit. The report documents the outcomes of the audit. A **Corrective Action Plan**, version approved 1 May 2019, was developed by the ANU to track the corrective actions undertaken in response to the non-conformance and observations identified, including the responsible officer, date to be completed, status and supporting evidence. According to the plan, all corrective actions are complete with three actions to be ongoing due to the nature of the issue.

In January 2020, the University arranged a further external audit of the CMS covering the period 15 January 2019 to 13 January 2020. A copy of the audit report, **2018/2019 Comcare License Audit Australian National University FINAL REPORT Claims Management System Audit**, version signed 20 February 2020, was sighted during the audit. The report documents the outcomes of the audit. A **Corrective Action Plan**, dated February 2020, was developed by the ANU to track the corrective actions undertaken in response to the non-conformance and observations identified, including the responsible officer, date to be completed, status and supporting evidence. According to the plan, one corrective action remains ongoing with an expected completion date of 31 May 2020.

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, regular reporting to the Executive on the claims management system, including the outcome of CMS Audits, occurs through the:

- **ANU Annual Report** - 2018 Annual Report sighted during the audit, published on the ANU website. The 2018 report covers the outcome of CMS Audits in the section 'Health and safety initiatives'. The 2019 Annual Report has not been as yet published.
- **WHS Performance at ANU - Annual Report** provided to the University Council and WHS University Committee Meeting. The 2019 WHS Performance Annual Report was sighted during the audit and covers the outcomes of CMS Audits undertaken during 2019 in the Executive Summary and 'Audits' section.
- **University Council – Work Environment Group Progress Status paper** provided for each meeting during the year
- **ANU WHS Committees and Advisory Groups**
<https://services.anu.edu.au/human-resources/health-wellbeing/management-commitment/whs-governance> - conducted quarterly
- **Workers Compensation Status Meeting** conducted quarterly with the Chief Operating Officer (COO) and the Director Human Resources (DHR) – July 2019 Report sighted during the audit
- **WHS College and Divisional Officer Meetings** – conducted monthly, and
- **College and Divisional HR Meetings** – various conducted quarterly, monthly,

or on demand.

Criterion 4.4

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

Finding: Conformance

Evidence:

- Claims Management System Governance Framework, version approved 11 November 2019
- CMS Audit ANU intranet webpage

Comment:

Per the ANU's **Claims Management System Governance Framework**, version approved 11 November 2019, results of CMS audits are communicated to all staff through the current governance arrangements and meeting arrangements for communication with key stakeholders:

- WHS Policy Committee Meetings
- College, School and Divisional Work Health and Safety Committees
- Technical and Advisory Committees
- HR Leader Forums, and
- Available on intranet pages.

All CMS audit results have been communicated to staff through the University's intranet page at <https://services.anu.edu.au/human-resources/health-safety/workers-compensation-at-anu/claims-management-system-pre-licence-audit>, which was sighted during the audit.

In addition, the CMS audit results are provided as an attachment to the **University Council Report** for communicating to executive and as an attachment to the **University WHS Committee** for communicating to executive and staff. These papers are devolved down to College and School WHS Committees and therefore staff representatives.

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: Conformance with observation

Evidence:

- Claims Management System Governance Framework, version approved 11 November 2019
- Licensee Compliance and Performance Improvement 2019 Annual Report

- Monthly submission to the Safety Rehabilitation and Compensation Commission Claims Data Warehouse
- Quarterly Progress Reports for February, May, August and November 2019 compiled by Comcare
- Licensee Performance Report for Quarter 4, 2018-19
- Claims Management Manual, version approved 20 February 2020

Comment:

The ANU provides the SRCC and/or Comcare with reports or documents as requested. However, there is a risk that notification of relevant proceedings may not be occurring as soon as practicable, as detailed in the commentary and observation below.

Reports

As a self-insured licensee, ANU submits the following reports to the SRCC:

- monthly submission to the Claims Data Warehouse
- quarterly performance report co-ordinated by Comcare, and
- annual licensee report including prudential and financial framework information.

Proceedings

Per the ANU's *Claims Management System Governance Framework*, version approved 11 November 2019, the University reports all proceedings to Comcare via the monthly CDW report and is aware of its responsibility to report potentially scheme significant matters (PSSMs) to Comcare. The ANU Senior Claims Manager undertakes this assessment as to whether a matter is potentially scheme significant.

The ANU's *Claims Management Manual*, version approved 20 February 2020, includes a section on claims that go before the Administrative Appeals Tribunal (AAT). The Manual specifies that the ANU Senior Claims Consultant is responsible for managing the receipt of AAT applications and must undertake certain actions within six to eight weeks of receipt, including that they will notify Comcare 'of any scheme significant matter'.

Observations:

The section of the Claims Manual on the AAT includes a flowchart at 12.2.1 that provides an overview of the claims submission process and progression to the AAT. The ANU may wish to consider updating this flow chart to include within the AAT section, that notification to Comcare of a matter is to occur as soon as practicable.

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: Conformance

Evidence:

- Claims Management Customer Service Survey, conducted July 2019
- Claims Management Manual, version approved 20 February 2020
- Claims Management Manual, version approved 20 February 2020.
- Claims Management System Australian National University Risk Management Plan, version approved 6 December 2019
- Deed of Agreement entered between the ANU and Comcare, signed 25 January 2018
- Figtree Issues Log
- Licensee Compliance and Performance Improvement 2019 Annual Report
- Licensee Performance Report for Quarter 4, 2018-19
- Monthly submission to the Safety Rehabilitation and Compensation Commission Claims Data Warehouse
- Policy: Rehabilitation and compensation, version effective from 4 June 2018
- Procedure: Rehabilitation and compensation, version effective from 4 June 2018
- Procedure: Return to work, version effective 15 March 2018
- Quarterly Progress Reports for February, May, August and November 2019 compiled by Comcare

Comment:

The ANU monitors the performance outcomes of the CMS at a number of levels and promotes and implements a range of continuous improvement strategies.

Performance monitoring

The **Deed of Agreement** entered between the University and Comcare, which was signed on 25 January 2018, outlines governance roles and responsibilities. Per the Agreement, Comcare has been engaged by the ANU as its third-party claims manager to manage workers compensation claims in accordance with the SRC Act. The Agreement requires that Comcare, as the claims management service provider, submit quarterly

progress reports to the University outlining:

- its performance against the Key Performance Indicators or KPI / Service Levels
- details (including dates) of Services, Deliverables and Milestones commenced, completed or accepted
- details of any delays or issues arising from the Agreement, including any known reasons for the delay or issue arising, and plans for the management of such delays and issues
- the progress of the work against the Milestones
- an issues and risk log, which must be prepared and maintained
- details of any outstanding invoices and any payments that are about to become due
- draft updates of relevant parts of the Services
- any new variation proposals, and
- any other information in relation to the provision and performance of the Services, as requested by the University.

Completed **quarterly progress reports** for February, May, August and November 2019 were sighted during the audit and included the required information. The Agreement also outlines an escalation procedure to ensure issues related to the provision of claims management services are resolved expeditiously between the parties.

Additionally, as a self-insured licensee, ANU is required to provide the following regular reporting to the Safety Rehabilitation and Compensation Commission:

- monthly submission to the Claims Data Warehouse
- quarterly performance report co-ordinated by Comcare
- annual licensee report including prudential and financial framework information.

Continuous improvement

The ANU's **Claims Management Manual**, version approved 20 February 2020, outlines a Quality Assurance Framework to ensure effective, consistent and accurate claims management. The framework includes a process whereby a Team Leader will conduct a monthly audit of two claims files per claims manager. Feedback identified by the Team Leader as a result is provided to the claims manager at monthly catch ups or immediately where required.

Copies of the finalised audit reports for CMS Audits conducted in January 2019, April 2019 and January 2020, and the respective corrective action plans, were all sighted during this audit. The plans detail the actions to be undertaken by the ANU in response to non-conformance and observations identified, including the responsible officer, date to be completed, status and supporting evidence. All plans have a review date.

The ANU has a **Risk Management Plan** which includes a Risk Register and Treatment Plan to capture the risks identified by the University specific to the CMS. The Register records current risk treatment strategies (existing controls) to mitigate the risk and the current status of those strategies. The plan also includes a review date.

The ANU maintains a **Figtree Issues Log** - its nominated claims management system - to record issues and requested enhancements. The log captures details of the issue (or enhancement) the University wants addressed, the response from Figtree, which agency is responsible for any subsequent action item and whether the issue remains open or closed. The ANU also conducts monthly meetings with Figtree to discuss issues and Figtree may conduct site visits to address issues.

A **Claims Management Customer Service Survey** was conducted by the University in July 2019. The Survey asked claimants questions regarding their satisfaction in relation to the management of their workers compensation claim. Within this document is a log of **Continuous Improvement Activities** outlining the activities undertaken by the University to improve the claimant's experience.

All ANU policies and procedures specify a review date, including the following key policies and procedures relating to the CMS:

- **Policy: Rehabilitation and compensation**, version effective from 4 June 2018
- **Procedure: Rehabilitation and compensation**, version effective from 4 June 2018
- **Procedure: Return to work**, version effective 15 March 2018, and
- **Claims Management Manual**, version approved 20 February 2020.