

TARGETED CLAIMS MANAGEMENT SYSTEM AUDIT

Australian National University

November 2020

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 and in March 2020, during the Development phase as a licensee, external reviews of the Claims Management System (CMS) were undertaken, as arranged by Comcare, to assess the University's compliance with the conditions of its license and the requirements under the SRC Act. The University achieved 96% and 100% compliance respectively in these CMS audits.

From 1 July 2020, the University became an Established licensee.

This audit report summarises the University's targeted internal audit, with regard to the CMS, undertaken in November 2020.

This targeted internal audit focusses on the *Implementation* criteria (Element 3) as outlined in Comcare's Claims Management Systems Audit Tool.

During 2020, the University averaged between 50 and 60 active claims at any one time. Based on this, a selection of 16 claim files were examined. The files selected included 8 new claims received since 1 April 2020, and 8 'long-tail' claims, where there has been activity since 1 April 2020.

Audit criteria	This targeted internal audit assessed the CMS against the 17 criteria under Element 3: Implementation in Comcare's Claims Management Systems Audit Tool.
Ratings	<p>The findings in the audit report have been classified and marked as follows:</p> <p>Conformance—indicates that the criterion has been met.</p> <p>Non-conformance—indicates that the criterion has not been met.</p> <p>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.</p> <p>Not Applicable—indicates that the criterion does not apply to the organisation.</p> <p>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.</p>
Date(s) of audit	2 November 2020 – 10 November 2020
Auditor	Lisa McLoughlin, Senior Consultant Claims Management, ANU

EXECUTIVE SUMMARY

The ANU has held a self-insurance license under the *Safety, Rehabilitation and Compensation Act 1988* (SRC Act) since 1 July 2018. On commencement of self-insurance, the ANU took over responsibility from Comcare for its pre-self-insurance claims, of which approximately 85 claims were active at the time. The ANU has received 54 new claims since 1 July 2018.

The ANU entered into an arrangement with Comcare, for Comcare claims management staff to be co-located on site at the ANU to manage the ANU claims.

During the University's first 2 years as a *Developing* licensee, Comcare conducted reviews of the University's Claims Management System (CMS) in April 2019 and in March 2020, in line with the requirements of the Safety, Rehabilitation and Compensation Commission's Licence Compliance and Performance Model. The results from these extensive reviews were 96% and 100% compliance respectively.

The University became an *Established* licensee from 1 July 2020, and is required to continue to report annually to the Safety, Rehabilitation and Compensation Commission (SRCC) to demonstrate licence compliance.

This review is a targeted review undertaken as part of that annual requirement, and is focussed on **Element 3: Implementation** of Comcare's Claims Management Systems Audit Tool, to validate that the ANU is meeting its licence conditions under this Element and is complying with the SRC Act with regard to claims management.

In summary, the review found that the ANU continues to meet requirements to a high standard. No non-conformances were identified, however 7 observations were made.

NON-CONFORMANCES

No non-conformances were identified during the internal audit.

OBSERVATIONS

Seven (7) observations, against five (5) criterion, were identified during the audit. They are:

Criterion	No.	Observation
3.3	1	Minor deviation from usual process on one claim, where there was no record of any introductory phone call/email with the employee prior to the claim determination being issued.

3.5	1	On one claim there was a delay of 7 weeks between receipt of a medical certificate and issuing a section 16 determination.
3.12	1	On one claim the amendment of the injury label should have been undertaken as a reconsideration on-own-motion, rather than via a new section 14 determination, as per Scheme Guidance issued by Comcare.
3.16	1	One document was found to be filed incorrectly (a document incorrectly filed on the wrong claim).
3.17	3	On three claims, documents were found to be not titled very clearly and/or titled with incorrect dates.

In summary, for the 17 criteria within Element 3 of the claim management system audit tool, the outcomes are:

	Number of criteria	% of assessed criteria
Conformance	14	100%
Non-conformance		
Not able to verify	3	

Lisa McLoughlin

16 November 2020

TABLE OF CRITERIA

Audit element/criterion description	Criterion	Rating
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
Determining incapacity	3.8	Conformance
Determining benefits	3.9	Conformance
Determining permanent impairment	3.10	Not able to verify
Transitional provisions	3.11	Not able to verify

Reconsiderations	3.12	Conformance with observation
Reasonable opportunity	3.13	Conformance
Claim reviews	3.14	Conformance
Surveillance	3.15	Not able to verify
Privacy and confidentiality	3.16	Conformance with observation
Reporting, records, documentation	3.17	Conformance with observation

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 Governance Framework
- Deed of Agreement entered between the ANU and Comcare, signed 1 July 2020
- Fortnightly Claims Team meetings

Comment:

The ***Claims Management System Governance Framework***, version 5.1, outlines the positions in claims management and injury management teams. Revision of positions would be considered by the ANU if there were 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/or
- staff requiring injury prevention services, including training.

The ***Deed of Agreement for Claims Managed Services*** sets out the minimum staffing requirements to be provided by Comcare, as the third party claims manager, and the specific arrangements for changes in staff. The new agreement executed on 01 July 2020 increased the requirement from 1 x APS4 and 1 X APS5 Claims Services Officers, to 2x

APS5 Claims Service Officers. This was to ensure adequate resources with capability to determine new claims, and to manage complex claims.

The claims workload is shared between the two Claims Services Officers to allow flexibility with regard to tasks that need to be completed, such as the manual processing of compensation payments, and the determination of liability and benefits.

COMMUNICATION AND AWARENESS

Criterion 3.2

The determining authority defines and communicates responsibilities to relevant stakeholders.

Finding: Conformance

Evidence:

- Claims Management Manual
- Claims Management System Governance Framework
- WHS Management System Handbook ANU intranet webpages
- Injury Management and Early Intervention ANU intranet webpages
- Workers' Compensation ANU intranet webpages
- Workers' Compensation Claim Pack

Comment:

As detailed in the *Claims Management System Governance Framework*, the ANU has intranet pages containing comprehensive information on workers' compensation and rehabilitation under the SRC Act, and information about WHS, which is accessible to all employees.

The ANU has published relevant information on its website regarding:

- Health and Safety – WHS Management System Handbook at <https://services.anu.edu.au/human-resources/health-safety/whs-management-system-handbook>
- Injury Management and Early Intervention 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 also be searched via the University’s Policy Library at <https://policies.anu.edu.au/ppl/index.htm>

The **Workers’ Compensation Claim Pack** 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 **Claims Management Manual** outlines claims management procedures. The Manual details 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.

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
- Workers' Compensation Claim Pack
- File Audit
- Customer Service Survey – undertaken September - October 2020

Comment:

The **Workers' Compensation Claim Pack** 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 how their personal information will be collected, used and disclosed. The form advises the employee of what to expect, including that they will be advised when the claim has been received and 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 **Claims Management Manual** 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.

Claims Services Officers use a suite of Letter and Form templates when corresponding with, and making claims decisions in relation to, the injured employee.

During September and October 2020 a customer service survey was sent to employees (current and former) who have received workers' compensation claims management services during the past 12 months. 58% of potential participants responded. Across 5 customer service criteria, 86% of responses were Excellent, Very Good, or Good, with the vast majority responding 'Excellent'.

File Review:

The file review confirmed that employees are made aware of their rights and obligations, and are kept informed of the status of their claims.

Observation:

Minor deviation from usual process was noted on one claim, where there was no record of any introductory phone call/email with the employee prior to the claim determination being issued.

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
- Claims Management System Governance Framework
- Comcare Position Descriptions for APS5 Claims Managers
- Deed of Agreement between the ANU and Comcare, signed 1 July 2020
- Delegations of the Claims Management Powers and Functions of a Determining Authority Instrument, signed by the Vice-Chancellor on 18 December 2018
- Statement of Attainment (Initiate a quality audit, Lead a quality audit, Report on a quality audit) – Lisa McLoughlin
- Certificate of Attainment (Management Systems Auditing, Quality Management Systems, Leading Management Systems Audit Teams) – Lisa McLoughlin

Comment:

ANU's workers compensation claims are managed by Comcare as per the **Deed of Agreement** and **SRC Act Delegation**. Claims Services Officers participate in professional development services provided by Comcare, as detailed in their performance review document and training plan. It is also 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.

Job specific capability is also outlined within Comcare's **Position Description** for APS5 Comcare Claims Manager roles.

The ANU **Claims Management System Governance Framework**, requires Comcare claims managers to complete compulsory legislative training provided by Comcare 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*** 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.

In terms of internal staff, the ANU's ***Claims Management System Governance Framework*** 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.

The ANU ***Position Description for the 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.

The Claims Management Senior Consultant has completed Online Lead Auditor in Quality Management Systems training through SAIGlobal in 2020 and attained competency.

During working from home in response to the Covid-19 pandemic, staff have continued to enhance their knowledge through attending various webinars including *Managing ill and injured employees in the workplace*, and, *Surveillance investigations in the current and post COVID-19 environment*, both delivered by HWL Ebsworth Lawyers, and a webinar (untitled) focussed on domestic violence and working from home, delivered by McInnes Wilson Lawyers.

In addition to the above, ANU staff responsible for the CMS regularly attend the forums delivered by Comcare (Claims Managers form, Licensee Liaison Forums). ANU WEG staff also attend weekly meeting with their supervisor, Manager of Injury and Claims, and complete and review Performance Development Review as per ANU policy.

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

Finding: Conformance with observation

Evidence:

- Claims Management Manual
- Claims Management System Governance Framework
- Deed of Agreement entered between the ANU and Comcare, signed 1 July 2020

- File Audit
- Notice of Rights attachment
- Template Letters

Comment:

ANU's workers compensation claims are managed by Comcare as per the ***Deed of Agreement*** and ***SRC Act Delegation***.

ANU's ***Claims Management System Governance Framework*** states 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*** 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.

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***.

File Review:

In all but one instance, claims were determined accurately and quickly. In all instances determinations were in writing and outlined adequate terms and reasons.

Observation:

On one claim there was a delay of 7 weeks between receipt of a medical certificate and issuing a section 16 determination.

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
- 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:

The ANU's *Claims Management Manual* extensively details the step-by-step process for the administration of claims management entitlements, services and benefits.

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.

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

Evidence:

- Claims Management Manual
- File Audit
- Template Letters

Comment:

The ANU's ***Claims Management Manual*** extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. 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**

File Review:

No issues identified.

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
- File Audit
- Template Letters

Comment:

The ANU's **Claims Management Manual** extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. 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 Review:

No issues identified.

Incapacity payments are calculated by claims managers using an excel spreadsheet, with separate spreadsheets maintained on the employee file. Separate spreadsheets have been developed to manage incapacity payments where superannuation and/or lump sum payments need to be included in the calculations.

Criterion 3.9

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

Finding: Conformance

Evidence:

- Application for Household, Attendant Care and/or Child Care Services
- Claims Management Manual
- File Audit
- Template Letters

Comment:

The ANU's ***Claims Management Manual*** extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. 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 benefits:

- ***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 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*** that is completed by the injured employee and their treating doctor to provide the information needed to determine Household, Attendant Care or Child Care services.

File Review:

No issues identified. Determinations align with the Medical Certificate or treatment plans issued by treating providers. The determination letters confirm the type of services approved, and the duration.

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
- Compensation Claim for Permanent Impairment and Non-Economic Loss - Form and Checklist
- File Audit
- Template Letters

Comment:

The ANU's ***Claims Management Manual*** extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. The procedure for determining liability for permanent impairment is covered under subsection 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 Permanent Impairment:

- ***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***, that the injured employee and their treating

doctor must complete and submit to the University for assessment.

File Review:

One of the tested claims involved a permanent impairment application. However, as at the time of the audit, the claim has not yet been determined, although it is evident that investigation is underway.

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 able to verify

Comment:

Part X of the SRC Act may apply to the ANU if pre-self-insurance claims taken over from Comcare with date of injury pre 01/12/1988 become active. Presently there are no active claims in this category.

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 with observation

Evidence:

- Claims Management Manual
- Deed of Agreement entered between the ANU and Comcare

- File Audit
- Template Letters
- Workers' Compensation Claim Pack

Comment:

The ANU's ***Claims Management Manual*** extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. 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*** is provided to all staff members who wish to submit a workers compensation claim and 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.

File Review:

One claim involved a reconsideration that was undertaken by Comcare within 30 days.

Observation:

On one claim the amendment of the injury label should have been undertaken as a reconsideration on-own-motion, rather than via a new section 14 determination, as per Scheme Guidance issued by Comcare.

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
- File Audit

Comment:

The ANU's *Claims Management Manual* extensively details the step-by-step process for the administration of claims management entitlements, services and benefits. 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

Evidence:

- Claims Management Manual
- Claims Management System Governance Framework
- Decision Quality Assurance template
- Deed of Agreement entered between the ANU and Comcare
- File Audit

Comment:

The ANU's ***Claims Management Manual*** outlines the procedure for claims review at section 8.19.

The ***Deed of Agreement*** entered between the University and Comcare, includes service level standards for claims file reviews. Per the ANU's ***Claims Management System Governance Framework***, 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:

No issues identified. Periodic Review Forms have been utilised to confirm 'long-tail' claimant details on an annual basis.

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

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* at section 12.4.

File Review:

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

CONFIDENTIALITY

Criterion 3.16

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

Finding: Conformance with observation

Evidence:

- Claims Management Manual
- File Audit
- Privacy ANU webpage
- Deed of Agreement entered between the ANU and Comcare
- Privacy Note from ANU Privacy Office

Comment:

Section 14 of the ANU's *Claims Management Manual* 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

The **Deed of Agreement** entered between the University and Comcare, 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.

The ANU Privacy Office as recently commenced issuing 'Privacy Note's' to regularly inform ANU Executive of relevant matters and cases relating to the Privacy Act. These are being shared with Claims and Injury Management staff.

File Review:

One document was found to be filed incorrectly (a document incorrectly filed on the wrong claim).

Observation:

One document was found to be filed incorrectly (a document incorrectly filed on the wrong claim).

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: Conformance with observation

Evidence:

- Claims Management Manual
- Claims Management System Governance Framework
- File Audit

Comment:

Per the ANU's *Claims Management System Governance Framework*, 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*, 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.

File Review:

Some records management issues were noted on 3 files relating to titling of documentation.

Observation:

On three claims, documents were found to be not titled very clearly and/or titled with incorrect dates.