



**2018/2019 Comcare Licensee Audit**

**Australian National University**

**FINAL REPORT**

**Claims Management System Audit**

**Audit Date: 14 – 15 January 2020**

**claims**

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## Scope of Audit

<b>Organisation:</b>	Australian National University ('ANU')
<b>Site/Workplace:</b>	BRM Office, Melbourne
<b>Scope of Audit:</b>	<p>The audit examined ANU's claims management system, processes and outcomes to validate that ANU is meeting its licence conditions and is complying with the <i>Safety, Rehabilitation and Compensation Act 1988</i> (SRC Act).</p> <p>16 claim files were examined by the auditors. These files were randomly selected from a list of 75 claim files where some activity had occurred in the previous 12 months.</p> <p>The audit encompassed a review of all relevant policies and procedures as they relate to claims management and any other relevant supporting documentation.</p> <p>Overall findings are based on the identification of issues that are considered to be systemic rather than isolated incidents.</p>
<b>Audit Criteria:</b>	<p>This audit assessed the claims management system against 31 criteria grouped within five elements:</p> <ol style="list-style-type: none"><li>1. Commitment and Corporate Governance (3 criteria)</li><li>2. Planning (5 criteria)</li><li>3. Implementation (17 criteria)</li><li>4. Measurement and evaluation (5 criteria)</li><li>5. Review and improvement (1 criterion)</li></ol>
<b>Ratings</b>	<p>The findings in the audit report have been classified and marked as follows:</p> <p><b>Conformance</b>—indicates that the criterion has been met.</p> <p><b>Non-conformance</b>—indicates that the criterion has not been met.</p> <p><b>Not able to verify</b>— 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.</p> <p><b>Not Applicable</b>—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 <b>Observation</b> 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:** 14 – 15 January 2020

**Auditors:** Sophie Anastasov, Fiona van Ree, and Samantha Robinson, BRM Risk Management Pty Ltd (“BRM”)

**Client Contacts:** Ingrid Krauss, Manager, Injury and Claims, Work Environment Group, ANU

Lisa McLoughlin, Senior Consultant, Claims Management, Work Environment Group, ANU

**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.

**Acknowledgment:** BRM wishes to acknowledge the cooperation and assistance provided by the management and staff of ANU and thanks them for their contribution to the audit process.

## Executive Summary

Australian National University (ANU) has held a self-insurance licence under the Safety, Rehabilitation and Compensation Act 1988 (SRC Act) since 1 July 2018. Their licence is due to expire on 30 June 2026.

ANU have engaged Comcare under a third-party business model arrangement to manage their workers compensation claims.

There were a number of positive features of the claims management system which are listed below, and further detailed in the body of this report:

- ANUP\_000432, Policy: Work health and safety
- ANUP\_013007, Policy: Rehabilitation and compensation
- ANUP\_000667, Procedure: Rehabilitation and compensation
- ANU Workers Compensation Delegations
- Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare
- Claims Management Manual
- HR Division 2019 Business Plan, and Work Environment Group Business Plan 2019
- Job descriptions and organisational structures for Work Environment Group
- SLA's with external parties
- Corrective action plans following audits
- ANUP\_000462, Policy: Risk Management, v5, effective 1/7/09, rev 26/8/16
- ANUP\_000495, Procedure: Risk Management, v6, effective 1/7/09, rev 26/8/16
- Regular KPI and Performance reporting

A total of 16 files were reviewed. The audit identified one non-conformance and three observations.

The non-conformance related to ANU's management of reimbursement of services to employees. Whilst reimbursements were accurate and timely, a corresponding written determination to the employee is also required. This issue was identified in the 2019 audit, and in response, ANU implemented corrective actions where the employee receives a remittance advice detailing the amount of the reimbursement payment and advice regarding a reconsideration. The remittance in its present form does not meet the requirements of a determination in accordance with section 61 of the SRC Act. The remittance does not advise the relevant section applicable to the determination, does not provide the terms and reasons for the determination and has not been signed by a delegated officer.

There has been significant improvement and corrective actions undertaken following the January 2019 audit where five non-conformances were identified. The March 2019 audit identified one non-conformance related to criterion 3.17 reporting, records and documentation, where the audit found that claims files stored in Figtree were incomplete. This audit was completed remotely at BRM offices. Figtree cloud access was provided, and no document issues were identified with the sample of files reviewed.

The audit period reviewed was from 15 January 2019 to 13 January 2020.

**NON-CONFORMANCES**

One non-conformance was identified during the audit.

Criterion	Non-conformance
3.9	ANU does not comply with the provisions of the SRC Act when determining liability for benefits, including medical expenses.

**OBSERVATIONS**

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

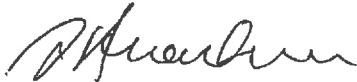
Criterion	Observations
1.1	The review date has expired: ANUP_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19
3.5	Four exceptions were identified where ANU did not comply with the provisions of the SRC Act when making decisions on claims relating to timeliness and accuracy of determinations.
3.8	Section 8 determinations were not made prior to issuing of incapacity determinations in 2 instances.
3.17	ANU should develop an ongoing review process to ensure that documents relevant to individual claims created and stored on their WEG local shared drive are also scanned into Figtree.

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

	Number of criteria	% of assessed criteria
Conformance (with 4 Observations)	27	96%
Non-conformance	1	4%
Not able to verify	2	
Not applicable	1	

An action plan, which includes completion/review dates and responsibilities, must be developed by 19 March 2020 to address each of the above audit findings – and any individual file findings where an error in entitlement was identified.

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



Signed:  
**Sophie Anastasov**



Signed:  
**Fiona van Ree**



Signed:  
**Samantha Robinson**

Date: 20 February

**Note: Where a licensee has outsourced its claims management arrangements, the licensee is required under the conditions of licence to conduct at least once every year a performance audit of the Claims Manager and to provide the Commission with a written report on the Claims Manager's performance within six weeks of completion of each audit.**

## Table of Criteria

AUDIT ELEMENT / CRITERION DESCRIPTION	Criterion	Rating
<b>1. Commitment and Corporate Governance</b>		
Documented commitment	1.1	Conformance with 1 Observation
Internal and external accountability	1.2	Conformance
Identify, assess and control risk	1.3	Conformance
<b>2. Planning</b>		
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
<b>3. Implementation</b>		
Adequate resources	3.1	Conformance
Communication—relevant stakeholders	3.2	Conformance
Employees are aware of rights	3.3	Conformance
Training and competency	3.4	Conformance
Determinations in accordance with the Act	3.5	Conformance with 1 Observation
Powers under the Act	3.6	Conformance
Initial liability	3.7	Conformance
Determining incapacity	3.8	Conformance with 1 Observation
Determining benefits	3.9	Non-Conformance
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
Surveillance	3.15	Not able to verify
Privacy and confidentiality	3.16	Conformance



<b>AUDIT ELEMENT / CRITERION DESCRIPTION</b>	<b>Criterion</b>	<b>Rating</b>
Reporting, records, documentation	3.17	Conformance with 1 Observation
<b>4. Measurement and Evaluation</b>		
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
<b>5. Review and Improvement</b>		
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 with 1 Observation

<p><b>Evidence:</b></p> <ul style="list-style-type: none"><li>• ANUP_000432, Policy: Work health and safety, v8, effective 8/4/16, rev 13/6/22</li><li>• ANUP_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21</li><li>• ANUP_014609, Policy: Fitness for Work, v1, effective 10/11/16, rev 10/11/19</li><li>• ANUP_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19</li><li>• ANUP_000667, Procedure: Rehabilitation and compensation, v11, effective 4/6/18, rev 4/6/21</li><li>• ANUP_017614, Procedure: Return to Work, v2, effective 15/3/18, rev 15/3/21</li><li>• ANUP_000683, Procedure: Management of Non-Work Related Injury and Illness, v6, effective 12/7/11, rev 12/9/22</li><li>• ANUP_000760, Guideline: Early Intervention Assistance, v10, effective 8/4/16, rev 8/4/19</li></ul>
<p><b>Comment:</b></p> <p>The 'Rehabilitation and compensation' policy commenced 4 June 2018 and was approved by the Vice-Chancellor. The document, provided in evidence last year, is not signed.</p> <p>The policy "sets the direction for the University's rehabilitation and claims management systems through a documented commitment by senior executive which is aligned to the organisation's overall values, vision and business objectives".</p> <p>The policy also states, "the University's aim is to provide rehabilitation and claims management services which are fully compliant with legislation and the performance standards and measures for Comcare workers compensation self-insurance licensees, as detailed by the Safety Rehabilitation and Compensation Commission (SRCC)."</p>
<p><b>Observation 1:</b></p> <p>The review date has expired: ANUP_000405, Policy: Disability, v7, effective 2/8/16, rev 2/8/19</p>

## CORPORATE GOVERNANCE

### Criterion 1.2

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

### Finding: Conformance

**Evidence:**

- Claims Management System Audit report, 15 - 17 January 2019, completed by BRM
- Claims Management System Audit report, April 2019, completed by Niche
- Claims Management System Corrective Action Plan 2018 - 2019, for BRM report
- Claims Management System Corrective Action Plan April 2019, for Niche report
- Position descriptions:
  - WHS Claims Management Senior Consultant (no document control)
  - Associate Director, Work Environment (no document control)
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
  - Claims Manager (Comcare), 20/7/16
- Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019
- ANU Executive Structure, 9/8/19
- Work Environment Group Organisational Structure, 1/7/18
- ANU Performance Report, Quarter 4 2018-19
- ANUP\_015808, Procedure: Work health and safety committees and representatives, v2, effective 1/7/17, rev 1/7/20
- Claims Managed Services, Quarterly progress reports: 4 Feb 2019, 3 May 2019, 2 August 2019, 1 November 2019
- Annual Report 2018
- Work Health and Safety Council Report, for the period 1 January - 31 December 2018
- Work Health and Safety Council Report, for the period 1 January - 31 October 2019
- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- Consultancy Agreement with AM Actuaries, commencement 6/11/19 (initial term 12 mths)
- SLAs:
  - Claims Management System Audit Service Level Agreement - Administrative Guidelines for the conduct of audits at the ANU, v3.0, approved 1/3/19, rev 1/3/20
  - Letter of engagement with BRM Risk Management, 4/6/19
  - Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned .
  - Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19
  - Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19
  - Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19

- Australian National University – workers' compensation and related matters Master Costs Agreement, letter from Sparke Helmore 23/9/18, not signed
- Sparke Helmore: Australian National University, Capability Statement, July 2018
- Workplace Rehabilitation Provider: Service Level Agreement, approved 4/1/19, rev 4/1/20

**Comment:**

ANU's claims management system provides for internal and external accountability.

*Internal:*

- Job descriptions
- Organisational structures for ANU Executive and WEG
- Corrective action plans for audits completed by BRM and Niche

*External:*

- SLA's with external parties:
  - AM Actuaries
  - Letter of engagement from BRM Risk Management
  - Agreement with Comcare
  - Sparke Helmore
- LCPI report
- Claims Managed Services, Quarterly process reports, 2019
- External audits for audits completed by BRM and Niche

**Criterion 1.3**

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

**Finding: Conformance**

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20:
  - 6 Decision Making Framework and Quality Assurance
  - 16 Auditing
- Assessing Clinical Justification (template)
- Liability Calculator Tool (instructions)
- Appendix 15: Individual case file audit (rehab template)
- Internal claim file audit tool (no document control)
- Internal audit example
- WHS Audit Schedule 2018-20
- ANUP\_015807, Procedure: Work health and safety audit, v3, effective 1/7/17, rev 1/7/20
- HR Division 2019 Business Plan - 1 year priorities
- Work Environment Group Business Plan 2019
- QA email template, 26/10/18
- Claims Managed Services, Quarterly progress reports: 4 Feb 2019, 3 May 2019, 2 August 2019, 1 November 2019

- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- ANUP\_000462, Policy: Risk Management, v5, effective 1/7/09, rev 26/8/16
- ANUP\_000495, Procedure: Risk Management, v6, effective 1/7/09, rev 26/8/16
- Claims Management System, Australian National University, Risk Management Plan, v4.0, approved 6/12/19, rev 6/12/21
- ANU Claim Management Strategy (undated)
- Liability Report for The Australian National University, Outstanding Workers Compensation Claims Liability Recommended Excess Amount Financial Capacity Guarantee as at 31 December 2018
- Claims Strategy Matrix

**Comment:**

ANU identifies, assesses and controls risks to the claims management system.

The contractual arrangements with Comcare will mitigate a number of risks, however a risk register has also been established.

ANU has a corporate governance risk approach policy that applies to all areas of the university. The policy provides a consistent framework for the identification, assessment, management and reporting of risk. This is supported by a procedure that sets out the ANU's risk framework and guidance material for dealing with risk. The policy and procedure describe the process for determining and assessing risks.

A specific risk management plan for the Claims Management System has also been developed. It was last reviewed 6/12/19. It contains a risk register and treatment plan. Currently 11 risks are identified.

## 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:**

- Memo dated 12/12/18 to Professor Brian Schmidt, Vice-Chancellor, from Dr Nadine White, Director HR regarding ANU Workers Compensation Delegations, signed 18/12/18
- SLAs:
  - Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned
  - Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19

- Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19
- Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19
- File audit

**Comment:**

ANU has a delegation instrument signed by Professor Brian Schmidt on 14 November 2018. . This delegation instrument, delegates all functions and powers to personnel listed in schedule 9 of the ANU Deed with Comcare.

**File audit:**

Of the 12 files applicable, file audit confirmed compliance with this criterion.

**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, v2.3, 21/10/19, due for rev 21/10/20 – 10.10 Trust accounts
- ANUP\_000683, Procedure: Management of Non-Work Related Injury and Illness, v6, effective 12/7/11, rev 30/9/15
- ANUP\_018025, Procedure: Workers' compensation beneficiary trust accounts, v2, effective 1/7/18, rev 1/7/21

**Comment:**

BRM's audit in January 2019 found one Non-conformance:

*ANU do not have a documented procedure for paying compensation to injured employees.*

The Corrective Action Plan states:

- *Conduct workshop session with key stakeholders to review the end to end process of paying compensation to injured workers. Identify efficiencies and administrative improvements. (A: Meeting invite of 20/02/2019)*
- *Document procedure for the payment of incapacity entitlements, including the interaction with HR remunerations in the ANU Claims Manual. (B: Claims Manual section 8.18.10)*
- *Provide injury and claims management teams with an overview of the documented process and requirements from both teams. (B: Claims Manual section 8.18.10)*
- *Review all current communication provided to injured employees in regards to the claims management process - workers compensation claim pack, internet site - to ensure information on the University's process to claim compensation is clear and accurate. (C: Workers Compensation Claims Pack. Also see ANU website page - <https://services.anu.edu.au/humanresources/health-safety/workers-compensation-atanu/forms>)*

The ANU Claims Manual has documented procedures for paying compensation to employees, dependants of deceased employees, providers of medical treatment and other recipients.

The Manual has a section titled Trust accounts. The procedure Workers' compensation beneficiary trust accounts outline the procedure for the management of benefits payable to a current or previous staff member who is under a legal disability, where required, pursuant to Section 110 the SRC Act.

## 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:

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 8.14.20 Natural Justice
- HR Division 2019 Business Plan - 1 year priorities
- Work Environment Group Business Plan 2019
- Position descriptions:
  - WHS Claims Management Senior Consultant (no document control)
  - Associate Director, Work Environment (no document control)
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
  - Claims Manager (Comcare), 20/7/16
- Claims and Rehabilitation Management Systems, Legislation Register, v3.0, 20/12/19, rev 20/12/20
- ANUP\_000432, Policy: Work health and safety, v8, effective 8/4/16, rev 13/6/22
- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- SLAs:
  - Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned
  - Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19
  - Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19

<ul style="list-style-type: none"> <li>o Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19</li> <li>• Claims Manager Competency Workbook, v3.0, March 2017 (Comcare)</li> <li>• CALM Capability Framework, v1.0, 6/5/16 (Comcare)</li> </ul>
<p><b>Comment:</b></p> <p>BRM's audit in January 2019 found one Observation:  <i>ANU should review the Claims Management Manual and remove references to activities by or for the employer as ANU is now the determining authority.</i></p> <p>The Corrective Action Plan states:</p> <ul style="list-style-type: none"> <li>• <i>Review the Claims Manual to remove references to activities for the 'employer' now that ANU is the determining authority. (Claims Manual)</i></li> </ul> <p>The ANU's Policy – Rehabilitation and Compensation, contains a commitment to ensuring claim determinations are fully compliant with the requirements of the Safety Rehabilitation and Compensation Act 1988.</p> <p>ANU has developed a Manual and procedures to ensure its practices comply with the SRC Act. Position Descriptions of personnel with responsibility for claims management contain a requirement for legislative compliance.</p>

**Criterion 2.4**

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

**Finding: Conformance**

<p><b>Evidence:</b></p> <ul style="list-style-type: none"> <li>• HR Division 2019 Business Plan - 1 year priorities</li> <li>• Work Environment Group Business Plan 2019</li> <li>• Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019</li> <li>• ANU Performance Report, Quarter 4 2018-19</li> <li>• ANUP_000432, Policy: Work health and safety, v8, effective 8/4/16, rev 13/6/22</li> <li>• ANUP_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21</li> <li>• Work Health and Safety Council Report, for the periods: 1 January – 31 December 2018, 1 January - 31 October 2019</li> <li>• Claims Managed Services, Quarterly progress reports: 1 November 2019, 2 August 2019, 3 May 2019, 4 Feb 2019</li> <li>• SLAs: <ul style="list-style-type: none"> <li>o Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19</li> <li>o Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19</li> <li>o Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19</li> </ul> </li> </ul>
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- o Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned

**Comment:**

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

The Rehabilitation and Compensation Policy sets the direction for the Team by committing to provide claims management services which are fully compliant with legislation and the performance standards and measures for Comcare workers compensation self-insurance licensees, as detailed by the Safety Rehabilitation and Compensation Commission (SRCC). Schedule 2 of the ANU and Comcare Deed detail performance indicators with regard to the claims management system.

The Work Environment Group – Business Plan 2019 outlines key initiatives the Business Unit undertakes for safety, injury prevention, rehabilitation and workers compensation claims management. The plan includes the licensee KPI's and key initiatives to be undertaken to meet these KPI's.

The LCPI report identifies key activities and achievements over the reporting period and objectives and targets for the coming year. ANU is provided with a summary of its performance against the LKPI's on a monthly basis.

**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 Manual, v2.3, 21/10/19, due for rev 21/10/20
- HR Division 2019 Business Plan - 1 year priorities
- Work Environment Group Business Plan 2019
- Claims Management System Corrective Action Plan 2018 - 2019, for BRM report
- Claims Management System Corrective Action Plan April 2019, for Niche report
- Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019
- ANU Performance Report, Quarter 4 2018-19
- ANUP\_000432, Policy: Work health and safety, v8, effective 8/4/16, rev 13/6/22
- ANUP\_013007, Policy: Rehabilitation and compensation, v2, effective 4/6/18, rev 4/6/21
- SLAs:
  - o Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19
  - o Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19

- o Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19
- o Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned

**Comment:**

BRM's audit in January 2019 found one Observation:

*The University is yet to formalise its Work Environment Group Business Plan to incorporate the plans necessary to achieve CMS targets and objectives, promote continuous improvement and provide for effective claims management arrangements.*

The Corrective Action Plan states:

- Update the draft Work Environment Group Business Plan to ensure CMS targets and objectives are included. (L: WEG Business Plan 2019)
- Ensure that the business unit target and objectives are reflected in the performance development review objectives 2019 for staff with direct responsibility of the CMS. (M: DRAFT PDR for Senior Consultant Claims Management)
- Ensure that Comcare as the third party claims provider, are provided with a copy of the CMS audit report, noting performance against the service level agreement standards specified, and the further development / continuous improvement process required for compliance standards to be met. (N: Meeting invite of 21/02/2019)

Refer to comments against criterion 2.4. ANU has established plans to achieve its objectives and targets; promote continuous improvement; and provide for effective claims management arrangements as demonstrated through the HR Division plan, WEG plan and the corrective action plans developed following claims management system audits.

## ELEMENT 3: Implementation

### RESOURCES

#### Criterion 3.1

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

#### Finding: Conformance

**Evidence:**

- Figtree Issues and Enhancements log
- Figtree site visit, 2/10/19
- Work Health and Safety Council Report, for the periods: 1 January - 31 December 2018, 1 January - 31 October 2019
- Claims Managed Services, Quarterly progress reports: 4 Feb 2019, 3 May 2019, 2 August 2019, 1 November 2019
- Emails between ANU and NTT Data re Document Management System

**Comment:**

ANU currently employs:

- 1 Manager, Injury and Claims
- 1 Claims Management Senior Consultant
- 2 Claims Services Officers (Comcare staff).

A detailed workforce analysis of staffing and workload requirements is conducted on an annual basis.

The Comcare Claims Services Officers (CSO's) are co-located with ANU staff at ANU premises.

ANU uses the Figtree system which interfaces work health and safety, early intervention, rehabilitation and claims management functions to cover key requirements of the SRC Act. All data related to workers' compensation claims submitted by University employees, and all claims management activity from 1 July 2018, is kept and maintained within the Figtree solution.

## COMMUNICATION AND AWARENESS

### Criterion 3.2

The determining authority defines and communicates responsibilities to relevant stakeholders.

### Finding: Conformance

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20
- ANU Workers' Compensation Claim Pack, v5.0, approved 22/11/19, rev 30/6/20
- Templates Letters
- Position descriptions:
  - Associate Director, Work Environment (no document control)
  - Claims Manager (Comcare), 20/7/16
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - WHS Claims Management Senior Consultant (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
- Claim for Exercise as Medical Treatment, July 2018
- SLAs:
  - Deed of Agreement Contract Extension - Schedule 5 - Official Order, commencement 1/7/19, signed 13/2/19
  - Deed of Agreement Schedule 7 Change Request June 2019 - Deed of agreement for claims management services - revision 17/6/19, start date 12/6/19, signed 19/6/19
  - Deed of Agreement Schedule 7 Change Request November 2019 - Schedule 7 - Deed of agreement change proposal, start date 11/11/19 to 30/6/20, signed 14/11/19

- Deed of Agreement Version 1 - Deed of agreement for claims managed services and the provision of other associated specialised services: between ANU and Comcare, 180125 unsigned
- Claims Management Core Capabilities and Training (no document control)
- File audit

**Comment:**

ANU defines and communicates responsibilities to relevant stakeholders. ANU has provided a range of documents demonstrating that employees are provided with or have access to information regarding stakeholder responsibilities.

The ANU intranet pages contain comprehensive information on workers' compensation and rehabilitation under the SRC Act and is accessible to all employees. All key policies and procedures are provided in the Policy Library and links to external legislative information are also provided.

A claim pack is provided to all staff members who wish to submit a worker's compensation claim. This pack details extensive information about the process, including:

- 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

**File audit:**

Of the 12 files applicable, file audit confirmed compliance with this criterion.

**Criterion 3.3**

The determining authority communicates relevant information regarding the claims management process including:

- (i) ensuring that employees are aware of their legislative rights and obligations in relation to workers' compensation
- (ii) ensuring that employees are informed of the status of their claims
- (iii) ensuring consultation occurs between all parties in regard to the claims management process.

**Finding: Conformance**

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 8.14.20 Natural Justice
- Template Letters
- Authority/removal of authority to act on employee's behalf: Workers Compensation (undated)
- Notification of a newly reported condition, November 2018
- Statement of Financial Circumstances (undated)
- File audit

**Comment:**

BRM's audit in January 2019 found one Non-conformance:

*ANU does not communicate the employees' rights and obligations effectively.*

The Corrective Action Plan states:

- *Review documents stored on intranet pages to ensure that correct versions and information is provided to ANU staff about their rights and obligations. (D: Email to HR Systems 27/02/2019)*
- *Update the incapacity template letters to remove references to 'reconsidered decision'. (E: Template Letters 26 -29)*
- *Update the Notice of Rights to remove the requirement to use the reconsideration request form, and add information about the AAT process. (F: Template Form 'Your rights regarding a determination')*

Corrective actions were undertaken.

ANU has template letters for acknowledging the receipt of a claim and reconsideration request. An acknowledgement letter is sent to employees upon receipt of their claim. A notice of rights and obligations accompanies determination issued to employees.

Evidence of consultation between the licensee and employee was noted on the claims reviewed.

**File audit:**

Of the 12 files applicable to this criterion, file audit found one individual exception where there was no evidence that an acknowledgement letter was sent to the employee after receipt of their request for reconsideration dated 23/10/19.

**TRAINING****Criterion 3.4**

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

**Finding: Conformance****Evidence:**

- Position descriptions:
  - Associate Director, Work Environment (no document control)
  - Claims Manager (Comcare), 20/7/16
  - Manager, Injury and Claims (no document control)
  - Rehabilitation Case Manager (no document control)
  - Team Leader, Injury Management & Rehabilitation (no document control)
  - WHS Claims Management Senior Consultant (no document control)
  - Pre-Employment Work Environment Report: Rehabilitation Case Manager (no document control)
- ANU Local Area Pulse Module Development, Final Proposal and Module Approval - Responding to Staff Injury and Illness in the Workplace, Training for Supervisors, 11/11/19
- CALM Capability Framework, v1.0, 6/5/16 (Comcare)
- Claims Manager Competency Workbook, v3.0, March 2017 (Comcare)

- Claims Management Core Capabilities and Training (no document control)

**Comment:**

ANU identifies training requirements, develops and implements training plans and ensures personnel are competent.

The ANU's Policy – Rehabilitation and Compensation contains a commitment to engaging appropriately qualified experts, both internally and externally.

The Deed of Agreement – ANU and Comcare details that staff have the necessary skills, competency and experience to manage claims and that staff allocated to manage ANU claims are properly qualified and experienced.

Comcare claims management team has various years of service and experience. ANU meet regularly with the Comcare claims management team to discuss development and training. The Comcare claims manager training incorporates elements from the Claims Manager Competency Workbook and the Claims and Liability Management (CALM) Capability Framework.

Additionally, all Comcare Claims Management staff complete legislative training delivered by Comcare periodically.

## 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 1 Observation

**Evidence:**

- File audit

**Comment:**

BRM's audit in January 2019 found one Non-conformance:

*ANU does not comply with the provisions of the SRC Act when making decisions on claims.*

The Corrective Action Plan states:

- *Review and update s14 initial acceptance letter template to reference s16 and s19. (G:I Template Letter 10)*
- *Review and update s8 template letter to provide figures and explanations. (H: Template Letters 8 and 9)*
- *Review and update s19 template letters to include all detail explaining how the incapacity entitlement was arrived at. (E: Template Letters 26 – 29)*

Niche's audit in April 2019 found one Observation:

*The ANU is not always compliant with section 61 of the SRC Act because some determinations do not always contain adequate reasons.*

The Corrective Action Plan states:

- *Claims determination templates were updated following the January 2019 CMS Audit. The audit in April 2019 acknowledges ANU addressed this issue in the CMS Corrective Action Plan. Ensure the continued use of the updated letter templates via the internal audit of claims files. (As per Internal Claim File Audit Tool process explained in the CMS Governance Framework (see criteria 1.2.10.2 in Attachment D).*

Audit confirmed that these corrective actions were undertaken.

**File audit:**

Of the 12 files applicable to this criterion, file audit found four individual exceptions across two files:

- Two instances were identified relating to the timeliness of determinations, and
- Two instances were identified regarding inaccuracies within determinations.

**Observation 2:**

Four exceptions were identified where ANU did not comply with the provisions of the SRC Act when making decisions on claims relating to timeliness and accuracy of determinations.

**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, v2.3, 21/10/19, due for rev 21/10/20:
  - 7.5.3 Procedure for arranging a medical examination
  - 7.9 Third Party Recovery
  - 8.14.11 Procedure for actioning a section 59 request
  - 8.14.2 Procedure for requesting information from an employee using section 58
  - 8.15 Overpayments and Recoveries
- Authority to collect, use and disclose personal information, v2, 20/6/18
- File audit

**Comment:**

The ANU Claims Management Manual has procedures which provides guidance for claims staff in relation to s57, s58, s59, third party recovery under Part IV of the SRC Act, and managing overpayments under s113, s114, s114C and s114D. The following sections of the ANU Claims Management Manual accurately detail the relevant requirements:

- 7.5.3 Procedure for arranging a medical examination
- 7.9 Third Party Recovery
- 8.14.11 Procedure for actioning a section 59 request
- 8.14.2 Procedure for requesting information from an employee using section 58
- 8.15 Overpayments and Recoveries

**File audit:**

Of the nine files applicable, audit confirmed compliance with this criterion.

### Criterion 3.7

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

#### Finding: Conformance

<b>Evidence:</b> <ul style="list-style-type: none"><li>• Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 7 Initial Liability</li><li>• Claim form Compensation for a work-related death, July 2018</li><li>• File audit</li></ul>
<b>Comment:</b> <p>ANU complies with the provisions of the SRC Act when determining initial liability. Section 7 of the ANU Claims Management Manual provides comprehensive information on determining initial liability, including what constitutes a compliant claim.</p>
<b>File audit:</b> <p>Of the four files applicable, audit confirmed compliance with this criterion.</p>

### Criterion 3.8

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

#### Finding: Conformance with 1 Observation

<b>Evidence:</b> <ul style="list-style-type: none"><li>• Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 8.17 Incapacity for work</li><li>• Liability Calculator Tool (instructions)</li><li>• Email template - RCM fortnightly advice of hours worked</li><li>• Employee incapacity calculation sheet</li><li>• Information for Employees Residing or Moving Overseas, July 2017 (Comcare)</li><li>• Section 19 calculator</li><li>• Section 20 calculator</li><li>• Section 21 calculator</li><li>• Section 21A calculator</li><li>• Template for HR remunerations to pay ex-employee incapacity</li><li>• File audit</li></ul>
<b>Comment:</b> <p>BRM's audit in January 2019 found one Non-conformance: <i>ANU does not comply with the provisions of the SRC Act when determining liability for incapacity.</i></p> <p>The Corrective Action Plan states:</p> <ul style="list-style-type: none"><li>• <i>Update the Claims Manual to include guidance on s116 (accrual of leave). (I: Section 8.18.4 of Claims Manual)</i></li></ul>



- Review and update s8 template letter to include reasoning, figures and s9 explanation. (H: Template Letters 8 and 9)

Corrective actions have been undertaken.

The ANU's Claims Management Manual contains detailed procedures for determining normal weekly earnings under section 8 and determining incapacity benefits.

The liability calculators assist the claims delegate calculate the employee's entitlement and tracks the relevant week count.

ANU have a suite of template letters relevant to determining the employees NWE, NWH and for determining liability for incapacity.

**File audit:**

Of the six files applicable to this criterion, file audit found three individual exceptions:

- Two exceptions where a section 8 determination had not been made prior to the issuing of incapacity determinations, and
- One exception where a period of incapacity was determined twice.

**Observation 3:**

Section 8 determinations were not made prior to issuing of incapacity determinations in 2 instances.

**Criterion 3.9**

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

**Finding: Non-Conformance**

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20
- Assessing Clinical Justification (template)
- Application for Household, Attendance Care and/or Child Care Services, July 2018
- Claim for Exercise as Medical Treatment, July 2018
- Hearing Aid Request Form, July 2018
- Home Assessment (Occupation Therapy) Report (undated)
- Medical Services Claim Form, October 2018
- Physiotherapy Treatment Notification Plan, September 2018
- Remittance Advice, example 14/6/19
- Student Review Form, October 2018
- File audit

**Comment:**

BRM's audit in January 2019 found one Non-conformance:

*ANU does not comply with the provisions of the SRC Act when determining liability for benefits, including medical and the like expenses.*

The Corrective Action Plan states:

- *Investigate options for automating a s16 determination for payments made to employees for medical treatment. (J: Emails with Finance)*

- *Develop a systems process for issuing s16 determinations for payments made to employees for medical treatment (this will be a manual process if an automated process is not feasible). (K: Emails with Finance and IT)*

As stated in BRM's 2019 report, section 61(2) of the SRC Act provides that payments direct to a treatment provider do not require a determination. However, where the account is a reimbursement claim by the employee, a formal determination under section 16 should be issued and sent to the employee.

ANU undertook relevant corrective actions to develop and implement a system process for issuing section 16 determinations for payments made to employees, however this process does not meet compliance requirements.

ANU implemented corrective actions where the employee receives a remittance advice detailing the amount of the reimbursement payment. To address the determination issue, the following wording appears on the remittance advice itself... "If you disagree with this determination, made under the Safety, Rehabilitation and Compensation Act 1988, you can request a reconsideration. For further information please see 'Your rights regarding a determination' on the ANU website at: <https://hr.anu.edu.au/workers-compensation-at-anu>".

Section 61 of the SRC Act states...

(1) As soon as practicable after a determining authority makes a determination, it shall cause to be served on the claimant a notice in writing setting out:

- (a) the terms of the determination;
- (b) the reasons for the determination; and
- (c) a statement to the effect that the claimant may, if dissatisfied with the determination, request a reconsideration of the determination under subsection 62(2)

The remittance in its present form does not advise the relevant section of the SRC Act applicable to the determination, does not provide the terms and reasons for the determination and has not been signed by a delegated officer.

**File audit:**

Of the 15 files applicable to this criterion, file audit found 14 individual exceptions:

- 13 instances where reimbursements were made to the employee under section 16 and 29 and no determination was issued to the employee, and
- 1 section 29 determination that did not include reasons for the determination.

**Non-conformance 1:**

ANU does not comply with the provisions of the SRC Act when determining liability for benefits, including medical expenses.

**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, v2.3, 21/10/19, due for rev 21/10/20:
  - o 8.18 Permanent Impairment

- 8.18.22 Election to Sue to University - Election 45
- Compensation claim for Permanent Impairment and Non-Economic Loss - Form and Checklist, July 2018
- Section 45 Election Form, July 2018
- File audit

**Comment:**

The Manual provides guidance on assessing claims for permanent impairment and non-economic loss, in relation to sections 24 to 28.

**File audit:**

File audit found no activity relevant to this criterion.

**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 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, v2.3, 21/10/19, due for rev 21/10/20 - 11 Reconsiderations
- File audit

**Comment:**

BRM's audit in January 2019 found one Observation:

*ANU should ensure that reconsideration of own motion is undertaken in accordance with the requirements specified in the Claims Management Manual.*

The Corrective Action Plan states:

- *Create a template letter to be used for reconsiderations of own motion. Review and update the reconsideration of own motion procedure in the Claims Manual. (O: Template Letter 48. P: Section 11.4 of Claims Manual)*

Corrective actions have been undertaken.

The ANU claims manual provides guidance on managing reconsideration and review of own motion under the SRC Act.

**File audit:**

Of the three files applicable to this criterion, file audit found one individual exception where a reconsideration of own motion did not specifically state the details of the determination being reconsidered.

## 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, v2.3, 21/10/19, due for rev 21/10/20:
  - 8.14.19 Procedure for determining no present liability
  - 8.14.20 Natural Justice
- File audit

**Comment:**

BRM's audit in January 2019 found one Observation:

*ANU to review its procedure on determining no present liability and consider advising the employee in writing and providing copies of relevant medical information indicating no present liability prior to issuing a determination.*

The Corrective Action Plan states:

- *Review and update procedure in the Claims Manual in relation to giving notice of an intended decision of no present liability. (Q: Section 8.14.19 of Claims Manual)*

Corrective actions have been undertaken.

The ANU claims manual provides guidance on natural justice and detailed procedures for claim reviews.

**File audit:**

Of the two files applicable, file audit confirmed compliance with this criterion.

### 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, v2.3, 21/10/19, due for rev 21/10/20 - 6 Decision Making Framework and Quality Assurance
- QA email template, 26/10/18
- File audit

**Comment:**

Service level standards for file reviews are detailed in the Deed of Agreement with Comcare.

The ANU Claims Management manual details a quality assurance approach.

All determinations requiring QA review are based on risk and are reviewed by the team leader.

**File audit:**

File audit confirmed compliance with this criterion.

**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:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 12.4 Covert Surveillance
- ANUP\_018028, Procedure: Surveillance, v1, effective 1/7/18, rev 1/7/21
- File audit

**Comment:**

Any recommendation to conduct surveillance must be approved by the Director Human Resources (DHR).

Detailed instruction on the manner in which covert surveillance is to be conducted is documented in ANU procedure Surveillance.

The ANU Claims Management Manual also provides guidance on the use of covert surveillance.

**File audit:**

File audit found no activity relevant to this criterion.

**CONFIDENTIALITY****Criterion 3.16**

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

**Finding: Conformance****Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 8.14.12 Privacy and managing information
- ANUP\_010007, Policy: Privacy, v6, effective 1/1/15, rev 31/12/17
- Privacy, August 2017 (Comcare)
- File audit

- Workplace observation – physical storage of files and management of electronic records

**Comment:**

ANU maintains the confidentiality of information and applies legislative requirements. ANU has a privacy policy which reflects the requirements of the *Privacy Amendment (Enhancing Privacy Protection) Act 2012* and acts in accordance with its legal obligations.

The ANU's Policy – Rehabilitation and Compensation contains a commitment to maintaining confidentiality of personal information in accordance with applicable legislation.

The Deed of Agreement with Comcare includes sections on confidentiality. Section 16 details that confidential information is not to be disclosed.

**File audit:**

File audit confirmed compliance with this criterion.

## 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 1 Observation

**Evidence:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20:
  - 6 Decision Making Framework and Quality Assurance
  - 14 ANU Records Management
- QA email template, 26/10/18
- File audit

**Comment:**

Niche's audit in April 2019 found one Non-conformance:

*The audit identified the following deficiencies under this criterion:*

- *Claim files stored in Figtree are incomplete; and*
- *personal claim records are being stored in WEG's local shared drive; the process/protocol for storing documents on the shared drive and the transfer of documentation to the ERMS when claims are closed are not documented in the ANU's Claims Manual.*

The Corrective Action Plans states:

- *Review and update the Claims Manual to document the records management process for claims documentation. Ensure a link to the University procedures relating to ERMS access is included in the manual, which details access control. (Attachment A: Excerpt from Volume 14 of Claims Manual)*
- *Update the Claims Manual procedure regarding incapacity calculations to ensure CTOW forms and determined entitlements are recorded in the relevant Figtree claim file. Attachment B: Excerpt from Volume 8 of the Claims Manual)*

- Document procedures in the Claims Manual to ensure the date/time of receipt of all claims documentation is recorded. Document the procedure in relation to the modification or deletion of all claims documentation. (Attachment C: Excerpt from Volume 14 of Claims Manual)
- For evidence to be provided in the Claims Management System overview document demonstrating the record management process for claims file, including the access controls in place for Figtree / Shared Drive / Electronic Management System (ERMS) document storage areas. (Attachment D: CMS Governance Framework)
- For the University WHS policy on local protocol governance to be detailed in the Claims Management System Overview document to more clearly explain the authority under which local processes are created. (Attachment D: CMS Governance Framework)
- As part of the internal audit process, ensure that closed files are collated and stored in the University's electronic records management system (ERMS). (As per process detailed in Volume 14 of Claims Manual (see Attachment A))
- For the University to continue to follow up with NTT Data Figtree re development of a document management system. Monthly meetings with the Figtree account manager have been established to follow up outstanding issues. (Attachment E: Figtree Issues Enhancements)

ANU continue to store claim documents electronically on both Figtree and on their WEG local shared system. Figtree can be accessed through the university's webpage. Claims files are created and accessed through the unique incident number. The indexing of documents and protection from deletion are inherent features of the Figtree electronic file management. All documents uploaded are identified with a user-id and a date and time stamp. Any changes to those documents are electronically recorded.

This audit was completed remotely at BRM offices. Figtree cloud access was provided, and no document issues were identified as part of the review. All relevant documents were available on Figtree. ANU should develop an ongoing review process to ensure that documents relevant to individual claims created and stored on their WEG local shared drive are also scanned into Figtree.

**File audit:**

File audit confirmed compliance with this criterion.

**Observation 4:**

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

## 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 Manual, v2.3, 21/10/19, due for rev 21/10/20
- Claims Managed Services, Quarterly progress reports: 4 Feb 2019, 3 May 2019, 2 August 2019, 1 November 2019
- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- Work Health and Safety Council Report, for the periods: 1 January - 31 December 2018, 1 January - 31 October 2019

**Comment:**

ANU monitors planned objectives and performance measures for core claims management activities.

Performance against measures is reported quarterly to the senior executive and the Vice Chancellor through the University Council meeting. Other regular monitoring and reporting includes:

- Quarterly review of WEG deliverables as detailed on WEG operational plan
- Monthly review of claims management LKPI
- Quarterly reporting of safety and rehabilitation progress to the Chief Operating Officer (COO)
- Quarterly reporting to the WHS University Committee Meeting

The Deed of Agreement with Comcare also provides a formal review mechanism of KPI's and quarterly progress performance reports.

## 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:**

- Claims Management Manual, v2.3, 21/10/19, due for rev 21/10/20 - 16 Auditing
- Appendix 15: Individual case file audit (rehab template)
- Internal audit example
- Internal claim file audit tool (no document control)
- WHS Audit Schedule 2018-20
- ANUP\_015807, Procedure: Work health and safety audit, v3, effective 1/7/17, rev 1/7/20
- Claims Management System Audit report, 15 - 17 January 2019, completed by BRM
- Claims Management System Audit report, April 2019, completed by Niche
- SLAs:
  - Claims Management System Audit Service Level Agreement - Administrative Guidelines for the conduct of audits at the ANU, v3.0, approved 1/3/19, rev 1/3/20
  - Letter of engagement with BRM Risk Management, 4/6/19



**Comment:**

ANU 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.

The Audit Procedure requires that audits are performed by competent personnel as well as the requirement to develop corrective action plans to address deficiencies identified at audit.

An annual external audit schedule and service level agreement with BRM Risk Management has been developed.

**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:**

- ANUP\_015807, Procedure: Work health and safety audit, v3, effective 1/7/17, rev 1/7/20
- Claims Management System Audit report, 15 - 17 January 2019, completed by BRM
- Claims Management System Audit report, April 2019, completed by Niche
- Claims Management System Corrective Action Plan 2018 - 2019, for BRM report
- Claims Management System Corrective Action Plan April 2019, for Niche report
- Agenda, University WHS Committee, 30/5/19

**Comment:**

Both the results of the January 2019 CMS audit undertaken by BRM and the April 2019 CMS audit undertaken by Niche were presented to senior executives.

Subsequent corrective action plans were developed and communicated to senior executive. Regular reporting of these improvement actions and progress is reported to senior management.

**Criterion 4.4**

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

**Finding: Conformance****Evidence:**

- Agenda, University WHS Committee, 30/5/19
- Intranet

**Comment:**

Results of CMS audits for the ANU 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.

The CMS January 2019 and April 2019 audit results were communicated to staff through the intranet page.

#### **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**

##### **Evidence:**

- Claims Management System Audit report, 15 - 17 January 2019, completed by BRM
- Claims Management System Audit report, April 2019, completed by Niche
- Claims Data Warehouse (CDW) submissions, email from Comcare 16/10/19
- Licensee Compliance and Performance Improvement (LCPI) annual report, 1 July 2018 - 28 February 2019

##### **Comment:**

ANU is required to report unit record data of claims activity on a monthly basis. The Figtree system is the source of data that is provided to Comcare's Data Warehouse.

ANU provides the Commission with an annual LCPI report, and other non-claims data as requested.

ANU's AAT Procedure sets out the requirement to notify Comcare of any proceedings brought against it, and the provisions regarding submissions to a court or tribunal.

ANU's Figtree system enables scheme significant matters to be flagged. The ANU Senior Claims Manager undertakes this assessment as to whether a matter is potentially scheme significant.

## 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 Manual, v2.3, 21/10/19, due for rev 21/10/20
- Claims Management System Audit report, 15 - 17 January 2019, completed by BRM
- Claims Management System Audit report, April 2019, completed by Niche
- Claims Management System Corrective Action Plan 2018 - 2019, for BRM report
- Claims Management System Corrective Action Plan April 2019, for Niche report
- Agenda, University WHS Committee, 30/5/19
- Claims Managed Services, Quarterly progress reports: 4 Feb 2019, 3 May 2019, 2 August 2019, 1 November 2019
- Work Environment Group, Workers Compensation Status Report, July 2019 (quarterly report)
- Work Health and Safety Council Report, for the periods: 1 January - 31 December 2018, 1 January - 31 October 2019
- Customer Management Customer Service Survey - July 2019
- Email to Comcare 28/11/19, Contribution to Comcare Scheme Guidance (RAA)
- Reasonable Administrative Action: In Practice, 7/11/19 (presentation)
- Claims Strategy Matrix
- Email to Comcare 9/8/19, Public holidays and incapacity - discussions
- Finance system workers compensation codes, email 8/3/19

##### Comment:

ANU analyses claims management system performance outcomes against documented objectives to determine areas requiring improvement and promotes and implements continuous improvement strategies.

The performance outcomes of the CMS are monitored at a number of levels within the University.

Since 1 January 2019, the Work Environment Group has conducted the following continuous improvement activities:

- Review and update of the ANU Claims Management Manual
- Review of existing and creation of new template letters
- Development and implementation of corrective action plan following January and April 2019 CMS audits.
- Continued Figtree improvements including issues log, monthly meetings and Figtree upgrade November 2019

- Continued fortnightly meetings with Comcare co-located Claims Managers and Team Leader
- Conducted a satisfaction survey and detailed improvement activities
- Established new contract arrangements with actuaries
- Creation of new codes to assist with financial reporting
- Creation of a Claims Management Strategy
- Creation of a Claims risk matrix
- Developed Claims Manager core capability document
- Arranged a community of practice session on the topic of Reasonable Administrative Action
- Consideration of a Document Management System within Figtree