

Claims Management System Corrective Action Plan April 2019

A Comcare arranged audit of the ANU workers' compensation Claims Management System was conducted by Niche Consulting from 1 - 12 April 2019. The following corrective action plan details actions to be undertaken in response to non-conformance and observations identified.

Non-Conformance

Non-Conformance	Corrective Action	Action Officer	Date to be Completed	Status	Evidence
3. Implementation					
Criterion 3.17 The determining authority maintains the relevant level of reporting, records and/or documentation to support its claims management system and legislative compliance.					
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.	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.	Lisa McLoughlin	30-Jun-19	Complete	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.	Lisa McLoughlin	30-Jun-19	Complete	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.	Lisa McLoughlin	30-Jun-19	Complete	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.	Lisa McLoughlin	30-Jun-19	Complete	Attachment D: CMS Governance Framework (see criteria 3.1.2)
	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.	Lisa McLoughlin	30-Jun-19	Complete	Attachment D: CMS Governance Framework (see criteria 2.3)
	As part of the internal audit process, ensure that closed files are collated and stored in the University's electronic records management system (ERMS).	Lisa McLoughlin	Ongoing	Ongoing	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.	Lisa McLoughlin	Ongoing	Ongoing	Attachment E: Figtree Issues Enhancements

Observation

Observation	Corrective Action	Action Officer	Date to be Completed	Status	Evidence
3. Implementation					
Criterion 3.5 The determining authority complies with the provisions of the SRC Act when making decisions on claims.					
The ANU is not always compliant with section 61 of the SRC Act because some determinations do not always contain adequate reasons.	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.	Lisa McLoughlin	30-Jun-19	Ongoing	As per Internal Claim File Audit Tool process explained in the CMS Governance Framework (see criteria 1.2.10.2 in Attachment D).

