

# TARGETED CLAIMS MANAGEMENT SYSTEM AUDIT

Australian National University

2021

# SCOPE

<p><b>Scope of audit</b></p>	<p>The ANU has held a self-insurance license under the <i>Safety, Rehabilitation and Compensation Act 1988</i> (SRC Act) since 1 July 2018. In April 2019 and in March 2020, during the Development phase as a licensee, external reviews were undertaken, arranged by Comcare, to assess the University's compliance with the conditions of its licence and the requirements under the SRC Act. The University achieved 96% and 100% compliance respectively in these audits.</p> <p>From 1 July 2020, the University became an Established licensee.</p> <p>This audit is a targeted internal audit, undertaken by the University, in relation to the <i>Implementation</i> criteria outlined in Comcare's Claims Management Systems Audit Tool.</p> <p>During 2021, the University averaged between 40 and 50 active claims at any one time. Based on this, a selection of 10 claim files were examined. The files selected include 6 claims received since 1 January 2021, and 4 'long-tail' claims, where there was some activity since 1 January 2021.</p> <p>The University is due to undergo further external audit, arranged by Comcare, during Year 6 of its licence (1 July 2023 – 30 June 2024).</p>
<p><b>Audit criteria</b></p>	<p>This targeted internal audit assessed the claims management system against 12 of the 17 criteria under Element 3 (Implementation) in Comcare's Claims Management Systems Audit Tool. The 5 criteria not assessed in this audit are those that relate to the overall claims management system, to surveillance activity, and the transitional provisions of the SRC Act.</p>
<p><b>Findings</b></p>	<p>During 2021 the ANU worked with Figtree to develop an audit questionnaire integrated into the Figtree system for individual claim file audits. The findings of each individual claim file audit have been downloaded from the Figtree system and attached to this summary report. Findings are classified in Figtree as follows for each criteria:</p> <p><b>Conformance</b>—indicates that the criterion has been met for the claims overall.</p> <p><b>Non-conformance</b>—indicates that the criterion has not been met for the claims overall.</p> <p><b>Not Applicable</b>—indicates that the criterion does not apply to the claim.</p> <p>Where a criterion has been met but the auditor has identified minor or infrequent deviation from the documented management system or reference criterion, an <b>Observation</b> has been made.</p>
<p><b>Date range of audit</b></p>	<p>25 October 2021 – 12 November 2021</p>

<b>Auditor</b>	Lisa McLoughlin, Senior Consultant Claims Management, ANU
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# EXECUTIVE SUMMARY

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

- manage the ANU claims, and
- conduct reconsiderations on behalf of the ANU, as required.

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 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 is due to undergo further external audit, arranged by Comcare, during Year 6 of its licence (1 July 2023 – 30 June 2024).

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) on its licence compliance. This review is a targeted review undertaken as part of that annual requirement and 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, this review found that the ANU continues to meet requirements to a high standard. No overall non-conformances were identified, however, observations against two criterion were made. There were no criterion that were not applicable.

## NON-CONFORMANCES

No non-conformances for criterion overall were identified during the internal audit. While non-conformance under criterion 3.17 (recordkeeping) was found on two individual claim files, overall, across the 10 files audited, an observation has been found for this criterion.

## FINDINGS

Observations relating to two criterion were identified during the audit. These are:

Criterion	File No.	Observation
3.3(ii)	██████	Initial phone contact to employee made 3 business days after claim received however expectation is for contact within 2 business days as per Deed of Agreement with Comcare.
3.3(ii)	██████	There is regular contact during times of treatment requests, however it was noted that while the claim remains active as the employee's injuries are ongoing, no contact had been initiated in the last 6 months.
3.17	██████	The initial determination letter had incorrect date label in the shared drive, resulting in the document not being in chronological order on the file.
3.17	██████	One document had incorrect date recorded and so was not in

		chronological order in shared drive, and one document had no date recorded.
3.17	██████	One document on file did not relate to this claim (now moved to the correct file). The s14 determination was recorded in shared drive with incorrect date.
3.17	██████	QA form recorded in shared drive with no date, so not in chronological order on file. Two emails recorded in shared drive with incorrect dates. Claim form PDF recorded twice in shared drive with two different dates.

In summary, for the 12 criteria assessed, the outcomes are:

	Number of criteria	% of assessed criteria
<b>Conformance</b>	12	100%
<b>Non-conformance</b>		
<b>Not applicable</b>		

The results of this audit have been relayed to the Comcare claims management team. Corrective actions with regard to the recordkeeping findings were undertaken during the audit. Claims managers have been reminded to be more systematic in checking the labelling of documents on file.

Lisa McLoughlin

15 November 2021

# TABLE OF CRITERIA

Audit element/criterion description	Criterion	Rating
<b>Implementation</b>		
Employees are aware of rights, kept informed, and consulted throughout process	3.3	Conformance with two observations
Determinations in accordance with the Act	3.5	Conformance
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	Conformance
Reconsiderations	3.12	Conformance
Reasonable opportunity	3.13	Conformance
Claim reviews	3.14	Conformance
Privacy and confidentiality	3.16	Conformance
Reporting, records, documentation	3.17	Conformance with four observations

A summary of the file findings is included on the page below, and the detailed findings for each individual claim file, downloaded from the Figtree system, is attached.