**Corrective Action Plan – Claims Management System**

An external audit of the workers’ compensation Claims Management System was conducted by Comcare from 17 - 21 July 2023. The following corrective action plan details actions undertaken in response to one non-conformance, and three observations, identified.

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| **Criterion** | **Non-Conformance or**  **Observation** | **Audit Findings** | **Background / Details** | **Proposed Improvement /Actions taken** | **Evidence** | **Due/Completed** | **Comcare comments 3 August 2023** | **Comcare comments 8 August 2023** | **Comcare comments 1 September 2023** |
| **3.12** The relevant authority complies with the provisions of the SRC Act, and any specific licence conditions (if applicable), when managing reconsiderations. | Observation | The reviewable decision template letter states that Comcare will agree to an extension of time to apply to the AAT rather than the University. | Comcare undertakes reconsiderations for the University under a contract agreement. Comcare uses the Comcare reconsideration letter template. | 1. Request Comcare Reconsiderations Team make amendment to the template used for ANU reviewable decisions, to remove the reference to Comcare agreeing to an extension of time. | Attachment A | Completed | The corrective action will address the finding. Please provide evidence of the updated reconsideration template letter once this has been completed. | The updated reconsideration letter template addresses this finding.  This observation is now closed. | N/A |
| **3.12** The relevant authority complies with the provisions of the SRC Act, and any specific licence conditions (if applicable), when managing reconsiderations. | Observation | Reviewable decisions do not include reference to section 62 of the SRC Act. | Comcare undertakes reconsiderations for the University under a contract agreement. Comcare uses the Comcare reconsideration letter template. | 1. Request Comcare Reconsiderations Team make amendment to the template used for ANU reviewable decisions, to include that the decision has been made under section 62 of the SRC Act.  2. Update ANU reconsideration on own motion template letter to include that the decision has been made under section 62 of the SRC Act. | Attachment A  Attachment B | Completed  Completed | The corrective action will address the finding. Please provide evidence of the updated reconsideration template letter once this has been completed.  The ANU reconsideration on own motion template addresses this component of the finding. | The updated reconsideration letter template addresses this finding.  This observation is now closed. | N/A |
| **3.17**  The relevant authority maintains the relevant level of reporting, records and/or documentation to support its claims management programs and legislative compliance. | Non-conformance | An auditable trail was not established on eight of the 16 claim files reviewed. | **1. CDW discrepancies:**  - one s16 payment was recorded as a s39 payment;  - one GP report recorded as a s57 payment;  - one Physio report recorded as a s57 payment;  - NEL payment recorded as s24 instead of s27;  - PI tab not completed on one file;  -Date of Injury recorded in Figtree incorrect.  **2. File findings:**  - clinical notes referenced in two files were not on Figtree  - one s19 determination was not issued in a timely manner.  - s19 determinations where there is an unpaid work trial were not clear;  - one s19 determination letter had not been saved to Figtree;  - One Figtree entry contained a different s19 determination letter than was referenced in cover email;  - Two CTOW forms were not saved to Figtree;  - Date typo in one letter  **3. Incorrect title findings:**  - three s16 determinations signed with title ‘Claims Services Officer’ instead of Claims Manager;  - one s14 determination signed with title ‘Claims Delegate’ instead of Claims Manager. | 1. All of these findings have been corrected in Figtree and will be evident in the ANU August 2023 CDW submission.  2. - The relevant clinical notes, CTOW forms, and s19 determination letters have been added to Figtree.  - Team Meeting discussion with Claims team regarding need to identify in s19 letter where there is an unpaid work trial.  3. All letter templates were updated in early 2023 to contain ‘Claims Manager’ as the title. In these identified cases, old templates had been used.  Team Meeting discussion with Claims team regarding need to use current template letters only. | August 2023 CDW submission  Team Meeting 01 August 2023  Team Meeting 01 August 2023 | Completed  Completed  Completed | The proposed corrective actions will address the findings.  Please provide screenshots as evidence of the corrected findings in Figtree and evidence of the teem meeting discussion on 1 August 2023. | The Figtree screenshots verify the file findings have been rectified. This component of the finding is now closed.  The evidence of the team meeting invite and the description in this CAP regarding what was discussed addresses this component of the finding.  The non-conformance is now closed. | N/A |
| **3.17**  The relevant authority maintains the relevant level of reporting, records and/or documentation to support its claims management programs and legislative compliance. | Observation | The Claims Manual includes links to Comcare specific information rather than the University’s forms or relevant sections of the University’s Claims Manual. | Portions of the online Comcare Claims Manual were used as a basis in developing a Word version ANU Claims Manual. The links do not work but had not been removed. | Review and update the ANU Claims Manual to remove all dead links, and update references to forms to the relevant ANU version form. |  | By 31 August 2023 | The proposed corrective action will address the finding.  Please provide evidence of the updated Claims Manual once completed. | This finding remains open pending the updates to the claims manual. | The updates to the claims manual address this finding.  This observation is now closed |