SIRA

Insurer Claims Management  
<insurer name> audit report





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Insurer Claims Management  
<insurer name> audit report

<audit dates>

Executive summary

## Introduction

The State Insurance Regulatory Authority (SIRA)/Insurer/External Auditor conducted a claims management audit of <insurer> from <start date> to <end date> using the Insurer claims management audit manual and all audit criteria components.

## Audit procedure

This audit was conducted in accordance with the requirements outlined within SIRA Insurer claims management audit manual.

## Audit overview

|  |  |
| --- | --- |
| Audit overview |  |
| Audit team | Lead auditor -  Audit team members - |
| Auditor qualifications |  |
| Audit site location |  |
| Audit Dates |  |
| Audit Type | SIRA-initiated  self-audit |
| Audit Period |  |
| Number claims with activity in the audit period |  |
| Number of claims audited |  |
| List of claims audited | See Attachment A |
| Opening meeting attendees |  |  |
| Closing meeting attendees |  |  |
| Overall audit level achieved | <Insert Low Risk, Medium Risk or High Risk> |

## Results Overview:

This audit is measured across three components:

1. Compliance: This measures <insurer> activity in relation to the obligations

and timeframes placed upon them by the workers compensation legislation and the Workers compensation guidelines.

1. Case management practice: This measures <insurer> practice in line with their Injury management program, and SIRA’s expectations of case management in accordance with the overarching case management principles and the Standards of practice.
2. Data quality: This measures the accuracy of data submitted by <insurer> to

SIRA against information held in the claim file.

**Table 1 - Overall results summary**

<insert graph from audit tool – “Overall results summary” tab here>

# Results: Compliance

Total score for component: %

|  |  |  |
| --- | --- | --- |
| 1. Injury management and recovery at work - assessment | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 2. Injury management and recovery at work - planning | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no compliance practice component applicable to this element | |
| 3. Injury management and recovery at work- implementation | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no compliance practice component applicable to this element | |
| 4. Injury management and recovery at work- finalisation | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no compliance practice component applicable to this element | |
| 5. Liability determination | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 6. Weekly payments | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 7. Work capacity | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |

|  |  |  |
| --- | --- | --- |
| 8. Service provider management and related expenses | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 9. Claims estimates | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no compliance practice component applicable to this element | |
| 10. Data management | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no compliance practice component applicable to this element | |
| 11. Permanent impairment | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 12. Commutations | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 13. Work injury damages | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |

**Table 2 – Compliance component summary**

<insert graph from audit tool – “Compliance summary” tab here>

# Results: Case management practice

Total score for component: %

|  |  |  |
| --- | --- | --- |
| 1. Injury management and recovery at work - assessment | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 2. Injury management and recovery at work - planning | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 3. Injury management and recovery at work - implementation | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 4. Injury management and recovery at work - finalisation | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 5. Liability determination | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no case management practice component applicable to this element | |
| 6. Weekly payments | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 7. Work capacity | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no case management practice component applicable to this element | |

|  |  |  |
| --- | --- | --- |
| 8. Service provider management and related expenses | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 9. Claims estimates | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 10. Data management | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no case management practice component applicable to this element | |
| 11. Permanent impairment | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 12. Commutations | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 13. Work injury damages | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |

**Table 3 – Case Management practice component summary**

<insert graphs from audit tool – ‘Best practice summary” tab here>

# Results: Data quality

Total score for component: %

|  |  |  |
| --- | --- | --- |
| 1. Injury management and recovery at work - assessment | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 2. Injury management and recovery at work - planning | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 3. Injury management and recovery at work - implementation | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 4. Injury management and recovery at work - finalisation | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 5. Liability determination | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 6. Weekly payments | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 7. Work capacity | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |

|  |  |  |
| --- | --- | --- |
| 8. Service provider management and related expenses | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 9. Claims estimates | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 10. Data management | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 11. Permanent impairment | | |
| Audit score: | % | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: |  | |
| 12. Commutations | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |
| 13. Work injury damages | | |
| Audit score: | Not applicable | |
| Total criteria conformance: | | Maximum achievable criteria conformance: |
| Key findings: | There is no data quality component applicable to this element | |

**Table 4 – Data quality component summary**

<insert graphs from audit tool – “Data quality summary” tab here>

# Results: Overall Audit Score

|  |  |
| --- | --- |
| Overall Audit Score | |
| Compliance Audit score | % |
| Case Management Practice Audit Score | % |
| Data Quality Audit Score | % |
| Total |  |

# Observations

## Strengths:

The following practices/processes were identified as areas of strength in <insurer name> management of claims:

* <insert areas of strength>

## Areas for improvement:

* <insert areas for improvement>

# Audit Conclusion

On this basis of this audit, <insurer name> achieved an audit level <Low Risk/ Medium Risk /High Risk>.

# Further Actions

Based on the audit score, the Insurer claims management audit manual <requires / does not require> an improvement plan to be completed.

Yours sincerely,

Lead Auditor details

# Appendix A – List of claims audited

Disclaimer

This publication may contain information that relates to the regulation of workers compensation insurance, motor accident compulsory third party (CTP) insurance and home building compensation in NSW. This publication does not represent a comprehensive statement of the law as it applies to particular problems or to individuals, or as a substitute for legal advice.

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