Insurer claims management

<audit dates>

<insurer name> audit report

# 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 team  | Lead auditor - Audit team members -  |
| Audit site location |  |
| Dates for the audit  |  |
| Audit Type | [ ]  SIRA-initiated [ ]  self-audit |
| Audit Period |  |
| Number of significant injury claims 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 Level A, Level B or Level C> |

## Results Overview:

**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: |  |
| 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: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no compliance component applicable to this element |
| 5. Liability determination |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 6. Work capacity |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 7. Claims estimates |
| Audit score: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no compliance component applicable to this element |
| 8. Service provider management  |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 9. Managing payments |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 10. Permanent impairment |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 11. Commutations |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 12. Work injury damages |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 13. Case handover |
| Audit score: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no compliance component applicable to this element |
| 14. Information and records management |
| 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: |  % |
| 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: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 6. Work capacity |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 7. Claims estimates |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 8. Service provider management  |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 9. Managing payments |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 10. Permanent impairment |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 11. Commutations |
| Audit score: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no case management practice component applicable to this element |
| 12. Work injury damages |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 13. Case handover |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 14. Information and records 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 |

**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. Work capacity |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 7. Claims estimates |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 8. Service provider management  |
| Audit score: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no data quality component applicable to this element |
| 9. Managing payments |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 10. Permanent impairment |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 11. Commutations |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |
| 12. 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 |
| 13. Case handover |
| Audit score: | Not applicable  |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: | There is no data quality component applicable to this element |
| 14. Information and records management |
| Audit score: |  % |
| Total criteria conformance:  | Maximum achievable criteria conformance:  |
| Key findings: |  |

**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 <A / B / C>.

# 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