

## **ANNEXURE A**

### **FILE TRANSFER PROCEDURE - CLOSED CLAIMS REOPENED**

#### **1 Purpose**

This procedure outlines the business requirements for the request, preparation and provision of files relating to transferred Claims that were closed prior to 1 July 2005 but have since re-opened post the date of transfer. This document provides additional clarification of the requirements outlined in the File Transfer Manual included in the Operational Document Set (ODS) of the Deed. Scheme Agents must comply with the requirements of the File Transfer Manual in respect of the transfer of closed Claims.

#### **2 Objectives**

This procedure will ensure:

- consistent content and quality of date and Records transferred
- minimal disruption in the delivery of services to workers and employers
- minimal disruption to the operations and finances of the Scheme

#### **3 Flexibility in Approach**

To allow for a flexible and non-prescriptive approach, as well as accommodate currently established arrangements between Scheme Agents for the request and provision of files relating to closed Claims, Scheme Agents may agree on Variations and alternative arrangements to those outlined in this procedure. The Scheme Agent proposing the Variation or alternative to the procedure must first obtain the prior agreement and consent of the Other Scheme Agent.

#### **4 Cooperation amongst Scheme Agents**

The cooperation of Scheme Agents in respect of file transfers is paramount to ensuring minimal disruption to Claims services to all stakeholders. Scheme Agents are reminded of their obligations under clause 6.6 of the Deed which states that a Scheme Agent must cooperate with Other Scheme Agents where a Claim has been transferred between Scheme Agents.

#### **5 Transfer Requirements**

##### **5.1 Nomination of Contact**

Both the Exiting Scheme Agent and the Receiving Scheme Agent are to nominate a contact person responsible for the file transfer procedure relating to closed Claims that have re-opened since the date of Claim transfer. Details of the nominated contact are to be provided to the Other Scheme Agents and the Nominal Insurer's representative.

The nominated contact for each Scheme Agent is to be the primary contact point for all enquiries and issues relating to this procedure and transfer requirements.

##### **5.2 Provision of Contact Point**

In addition to 5.1, both the Exiting Scheme Agent and the Receiving Scheme Agent are to provide details of an email address or facsimile number as the primary contact point for written communication relating to the file transfer procedure for closed Claims.

### **5.3 Request for Closed Claim File**

The Receiving Scheme Agent is to lodge a request with the Exiting Scheme Agent for the preparation and provision of a file for the closed Claim upon re-opening. The request is to be submitted by the Receiving Scheme Agent to the Exiting Scheme Agent via a preferred communication approach as agreed between the Receiving Scheme Agent and the Exiting Scheme Agent.

The Receiving Scheme Agent is to provide in the request to the Exiting Scheme Agent all relevant details to allow the particular Claim to be correctly identified. The request is to be communicated in a format to be agreed between the Receiving Scheme Agent and the Exiting Scheme Agent.

### **5.4 Acknowledgement of Receipt**

The Exiting Scheme Agent is to acknowledge to the Receiving Scheme Agent receipt of the request **within 24 hours and confirm commencement of file retrieval**.

The acknowledgement is to be communicated in a format to be agreed between Scheme Agents.

### **5.5 Retrieval of File**

The Exiting Scheme Agent is responsible for the preparation and retrieval of the file upon receipt of the request from the Receiving Scheme Agent. This includes the identification of the storage location of files and Claim documentation, briefing archive storage provider of the requirements, and retrieving all related files and documentation.

### **5.6 Preparation of File**

The Exiting Scheme Agent is responsible for the preparation of the files. This includes the following tasks:

- altering the Claim number on the files to reflect the Unique Identifier allocated to the Claim
- collating all related files and documentation for each Claim
- ensuring files are in a serviceable condition
- placing files in acceptable packaging and archive boxes
- completing Inventory of Records and box label
- preparing a Payment Summary for each Claim (in accordance with the requirements of open Claims)

The preparation and provision of files in an alternative manner is to be agreed between the Exiting Scheme Agent and the Receiving Scheme Agent.

### **5.7 Transfer**

The Exiting Scheme Agent arranges transport for the files and confirms details of transport arrangements with the Receiving Scheme Agent. The Exiting Scheme Agent releases files for delivery to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt of requested files and provides confirmation of receipt to Exiting Scheme Agent.

Transfer of the files is required to occur within **5 days** of the acknowledgement of the receipt of the request by the Exiting Scheme Agent.

## **6 Retrieval Difficulties**

### **6.1 Communication**

Where the Exiting Scheme Agent experiences difficulties with the retrieval and preparation of a file, this must be communicated to the Receiving Scheme Agent within 3 days of the acknowledgement of the receipt of the request. The Exiting Scheme Agent is required to provide an indication of the estimated time required for file transfer to the Receiving Scheme Agent.

### **6.2 Agreement**

Both the Receiving Scheme Agent and the Exiting Scheme Agent are required to agree to a mutually acceptable alternative to the requirements where the file is unable to be transferred within 5 Business Days from the acknowledgement of the receipt of the request, to ensure minimal disruption in the delivery of Claim services to Injured Workers.

## **7 Urgent Requests for Files**

### **7.1 Emergency Circumstances**

From time to time, access to Claims files may be required urgently for the Receiving Scheme Agent to appropriately attend to injured workers in emergency circumstances (eg. surgery) in a timely manner. In such emergency circumstances, the Receiving Scheme Agent may request the Exiting Scheme Agent to retrieve, prepare and deliver the relevant Claim file within a shorter timeframe.

It is the responsibility of the Receiving Scheme Agent to ensure that urgent requests for files are only made in the instance of valid emergency circumstances. The Receiving Scheme Agent undertakes to ensure that the need for an urgent request is reviewed by senior personnel for confirmation before communication with the Exiting Scheme Agent.

Urgent requests are to be communicated in a format agreed between the Exiting Scheme Agent and the Receiving Scheme Agent.

### **7.2 Timeframe of Response**

If the Receiving Scheme Agent has made an urgent request for a file, the Exiting Scheme Agent is required to commence action immediately upon request and prioritise the retrieval, preparation and delivery of this file.

Transfer of this file is required to occur within 1 to 2 days of the receipt of the request by the Exiting Scheme Agent.

### **7.3 Transfer Delays**

Where the Exiting Scheme Agent experiences difficulties with meeting the timeframe for the urgent request, this must be communicated to the Receiving Scheme Agent as soon as possible after the receipt of the request. The Exiting Scheme Agent is required to provide an indication of the estimated time required for file transfer to the Receiving Scheme Agent.

Both the Exiting Scheme Agent and Receiving Scheme Agent are required to agree to a mutually acceptable alternative to the requirements where the file is unable to be transferred within the timeframe from the receipt of the request, to ensure the timely and appropriate delivery of Claim services to injured workers in emergency circumstances.

## **8 Contact by Injured Workers**

### **8.1 Commence Procedure if Exiting Scheme Agent Contacted First**

Where possible, in the instance of an injured Worker initially contacting the Exiting Scheme Agent about a request relating to a closed Claim that has been transferred to the Receiving Scheme Agent, the Exiting Scheme Agent should immediately commence the file retrieval, preparation and delivery process. This allows for the procedure to commence in a timely and efficient manner without waiting for the Injured Worker to first contact the Receiving Scheme Agent after already contacting the Exiting Scheme Agent, and then the Receiving Scheme Agent subsequently making the request for the file to the Exiting Scheme Agent.

### **8.2 Notification to the Receiving Scheme Agent**

In this instance, the Exiting Scheme Agent is required to notify the Receiving Scheme Agent that it has commenced the retrieval of the file relating to the particular closed Claim upon initial contact by the injured worker.

The notification is to be communicated in a format agreed between Scheme Agents.