



# FILE TRANSFER MANUAL

**DECEMBER** 2005

WorkCover. **Watching out for you.**

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# **1 TRANSFER OF BUSINESS REQUIREMENTS**

## **1.1 Purpose**

The *File transfer manual* is designed to guide Scheme Agents on the transfer on business requirements and to assist in the preparation of data and Records for Claims and Policy files that are transferred between Scheme Agents during transition to the new Scheme arrangements.

## **1.2 Objectives**

This manual will ensure:

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

## **1.3 General requirements**

### **1.3.1 Nomination of contact**

A Scheme Agent is to nominate a contact person responsible for the file transfer processes throughout the Transition Period and provide details to the Nominal Insurer's representative and other Scheme Agents.

### **1.3.2 Nominal Insurer allocation**

The Nominal Insurer will decide the portfolio allocation and will identify Claims and/or Policies to be transferred between Scheme Agents.

### **1.3.3 Transfer plan**

A Scheme Agent must develop a transfer plan to support transfer activities and ensure compliance with all requirements. The Nominal Insurer's representative will negotiate timeframes.

### **1.3.4 Dispute resolution**

A Scheme Agent is responsible for resolving disputes with other Scheme Agents regarding the transfer of files. The Receiving Scheme Agent must advise the Exiting Scheme Agent of any disputes within 15 business days following transfer. Unresolved disputes are to be referred to the Nominal Insurer's representative.

## **1.4 Data transfer**

### **1.4.1 Extract lists**

WorkCover will produce an extract list for Claims/Policies to be transferred. The extract lists will contain data from WorkCover's Corporate Data Repository (CDR). WorkCover will provide the extract lists to both the Exiting Scheme Agent and the Receiving Scheme Agent.

### **1.4.2 Transfer file**

WorkCover will produce a transfer file for Claims/Policies to be transferred. The transfer file will contain data from WorkCover's CDR. WorkCover will provide the transfer file to the Receiving Scheme

Agent for upload. The Receiving Scheme Agent must confirm successful upload of transfer file via e-mail to the Nominal Insurer's representative.

### **1.4.3 Unique Identifier**

A Unique Identifier is an identifier that is formatted in accordance with the Nominal Insurer's Direction that uniquely identifies a Notification, Claim or Policy which is consistent across the Scheme.

The Unique Identifier must be applied to a Claim or Policy prior to transfer and must be used on all correspondence and files by each Scheme Agent.

### **1.4.4 Submission data**

The Exiting Scheme Agent will be required to update submission data for all Claims and/or Policies being transferred.

### **1.4.5 Data safeguards**

The Exiting Scheme Agent must implement system safeguards that prevent reopening of transferred Policies and/or processing of payments after transfer date.

### **1.4.6 Transfer status**

The Exiting Scheme Agent must implement system changes to note the transferred status of Claims being transferred. Claims with a transferred status are not to be included in data submissions to WorkCover.

### **1.4.7 Transfer reporting**

WorkCover will track the transfer of Claims using data submissions from Scheme Agents and applying controls within the CDR.

### **1.4.8 Data format**

#### **1.4.8.1 Imaged files**

Imaged files are to be converted to pdf format (read only) and loaded to CD. Imaged files are to be recorded in Claim/Policy number order.

#### **1.4.8.2 Case notes**

Online/electronic file or case notes are to be converted to text files and loaded to CD. Case notes for each Claim are to be recorded in descending date order. Case note files are to be recorded in Claim number order.

## **1.5 Records transfer**

### **1.5.1 File preparation review**

The Exiting Scheme Agent reviews all files (paper and image) prior to transfer. The review consists of:

- location of file
- creation of file stakeholder contact listing
- assessment of urgent action requirements
- assessment of items to complete Status Report

- assessment of items to be flagged as key documents
- identification of unactioned correspondence
- confirmation of date of birth on Claims with system Records
- removal of material considered intellectual property<sup>1</sup>.

The Exiting Scheme Agent is to update the Status Report as required with details gained from review.

The Receiving Scheme Agent is to review all files within 15 business days of receipt and is to contact nominated contact via fax with any discrepancies requiring investigation by Exiting Scheme Agent.

### **1.5.2 File receipt review**

The Receiving Scheme Agent must conduct a file review within 15 business days of receipt. The review consists of:

#### **Policy**

- Status Report received
- Wages estimate declaration or new business proposal received
- mailing address (as listed on the Status Report) is entered into the system.

#### **Claim**

- Status Report received
- file stakeholder contact listing received
- establish payment schedule
- note any urgent action requirements and update system/diarise as required
- confirm date of birth from Claim form and update system data as required
- make contact with Claimant advising details of new Claims manager and contact details.

The Receiving Scheme Agent must advise the Exiting Scheme Agent of any disputes within 15 business days following transfer.

### **1.5.3 Key documents**

#### **1.5.3.1 Policy**

The Exiting Scheme Agent is to provide the Receiving Scheme Agent with key documents from the Policy file.

Key documents include:

- most recent Wages declaration form, or
- new business proposal (new Policies only).

Where Records are held electronically, the Exiting Scheme Agent is to provide key documents within the electronic file in either of the following ways:

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<sup>1</sup> 'Intellectual Property' means any information comprised in or relating to any Intellectual Property Rights of the Scheme Agent. It includes, patent, know-how, copyright, design, semiconductor or circuit layout rights, trademark, service mark, trade secret, business or company names or other proprietary rights and any rights to registration of such rights, whether created before or after the Commencement Date, in Australia or elsewhere.

- print all key documents and enclose in file with Status Report, or
- create a separate pdf file (see 'Data format – imaged files' above) containing the key documents only.

#### **1.5.3.2 Flags – Claim (paper file)**

The Exiting Scheme Agent is to flag key documents within the paper file with a blue adhesive tag. Key documents include:

- Claim form
- Benefit payment details
- first Medical Certificate
- most recent Medical Certificate
- initial rehabilitation report
- most recent rehabilitation report
- most recent Injury Management Plan
- legal action documentation (if any)
- unactioned correspondence.

#### **1.5.3.3 Flags – Claims (electronic file)**

The Exiting Scheme Agent is to flag key documents, as per 'paper file' above, within the electronic file in either of the following ways:

- print all key documents and enclose in file with Status Report and file stakeholder contact listing
- create a separate pdf file (see 'Data format – imaged files' above) containing the key documents only and preceding the full file
- create an index at the commencement of the pdf file linking to key documents within the file
- in a manner agreed between the Nominal Insurer and the Scheme Agent.

#### **1.5.4 Case notes**

Case notes include all file/diary/contact notes maintained in hard copy, or online/electronically, within Exiting Scheme Agent system/s. Case notes must be provided to the Receiving Scheme Agent.

#### **1.5.5 Urgent action**

Urgent action includes, but is not limited to:

- new Claims approaching end of Provisional Liability period
- formal/informal conferences, court or Workers Compensation Commission (WCC) hearings due within three weeks after transfer
- WCC action has commenced
- request for urgent services – eg. surgery
- change in weekly Benefit entitlements due within three weeks – eg. section 36 to section 37, section 38 to section 40, etc.
- Benefits paid in advance of less than four weeks

- Medical Certificate expired.

The Exiting Scheme Agent is to update Status Report and inventory of Records noting urgent action required, and type of action.

#### **1.5.6 Missing files – creation of duplicate**

Where files are established as missing/unable to be located or incomplete, the Exiting Scheme Agent is to create a duplicate file from available information. File label is to be noted as duplicate.

#### **1.5.7 Unactioned correspondence**

All unactioned Claims correspondence is to be tagged and placed within the file on top of other documentation after the Status Report. For both imaged and paper files, the Exiting Scheme Agent is to update the Status Report as required.

#### **1.5.8 Status Report**

All files transferred are to be accompanied by a completed Status Report. Policy Status Reports (paper files) are to be attached to the Wage estimate declaration or new business proposal and placed in a suitably marked folder. Refer to:

- File creation – Policies' below.
- Policy Status Reports (imaged files) refer to 'File creation – Policies' below.
- Claim Status Reports (paper files) are to be placed at the front of the file.
- Claim Status Reports (imaged files) refer to 'File creation – Claims' below.

##### **1.5.8.1 Wage audits**

The Exiting Scheme Agent is to update the Status Report with details of current Wage audit activity.

##### **1.5.8.2 Wages history**

The Exiting Scheme Agent is to update the Status Report with details of actual Wage amounts for the current and previous year. Where actual Wages are not available, the Exiting Scheme Agent is to update the Status Report with details of Wage estimates.

##### **1.5.8.3 Certificate of Currency**

The Exiting Scheme Agent is to complete details of Certificates of Currency issued for previous 12 months on the Status Report.

##### **1.5.8.4 Recoveries**

The Exiting Scheme Agent is to update the Status Report with details of current Recovery activity. The Receiving Scheme Agent is to progress actions against Recovery.

#### **1.5.9 File stakeholder contact listing**

All file stakeholders for the previous 12 months are to be listed on the file stakeholder contact listing. The file stakeholder contact listing is to be used by the Exiting Scheme Agent to determine stakeholders to be advised of the transfer.

The file stakeholder contact listing is to be included with file on transfer.

## **1.5.10 Advice of transfer**

### **1.5.10.1 Claim**

The Nominal Insurer will advise injured Workers of the transfer of a Claim. The Employer is to be treated as a stakeholder by the Exiting Scheme Agent. The Exiting Scheme Agent will advise Claim file stakeholders of the transfer of a Claim using the Nominal Insurer-approved templates.

Advices issued must provide a minimum of two weeks notice of transfer.

### **1.5.10.2 Policy**

The Nominal Insurer will advise Policyholders of the transfer of a Policy using Nominal Insurer-approved templates a minimum of two weeks prior to transfer. The Exiting Scheme Agent may (optional) advise Policy file stakeholders of the transfer no earlier than 2 weeks prior to policy renewal date. The Status Report-Policy must identify any stakeholder that is being advised of a transfer.

## **1.5.11 File condition**

### **1.5.11.1 Paper-based files**

Paper-based files must be in serviceable condition<sup>2</sup> prior to transfer. Torn, tattered or worn file folders / covers are to be replaced / renewed. File contents are to be secured within the folder. File labels and Unique Identifier/number are to be clearly visible and firmly affixed.

## **1.5.12 File creation**

### **1.5.12.1 Policies**

The Exiting Scheme Agent is to create a file for each Policy being transferred containing Status Report file stakeholder contact listing (optional) and key documents (if printed). The file condition is to be consistent with 'File condition – paper-based files' as above.

### **1.5.12.2 Claims**

For imaged files, the Exiting Scheme Agent is to create a file for each Claim being transferred containing the Status Report, file stakeholder contact listing and key documents (if printed). The file condition is to be consistent with 'File condition – paper-based files' as above.

## **1.5.13 Contents of boxes/cartons**

Files are to be packed spine down only, facing the same direction and in the same order as the extract listing provided by WorkCover. An inventory of Records is to be completed for each box. A box/carton label is to be completed for each box. Where a box contains a file requiring urgent action, the box/carton label must have a red sticker affixed. Boxes are to contain a maximum weight of 16 kilograms.

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<sup>2</sup> 'Serviceable condition' means documents are adequately contained and secured within files so as not to deteriorate whilst being transferred. Files should be able to withstand the impacts of packaging and transport.



#### **1.5.14 Inventory of Records**

All files transferred are to be accompanied by a completed inventory of Records, which is to be faxed to the Receiving Scheme Agent contact person on the day of transfer. The Exiting Scheme Agent must retain the original.

### **1.6 Post transfer**

#### **1.6.1 Access to stored files**

A Scheme Agent is to attempt to gain all information from CDR Records prior to requesting access to archives. A Scheme Agent is to arrange recall of archived documentation/files at the request of another Scheme Agent. A Scheme Agent is to transfer archived files at the request of another Scheme Agent. Archive files are to be transferred in accordance with the 'Transfer of business requirements' as below. No costs/charges are to be levied by the Scheme Agent on the requesting Scheme Agent for access to archives.

#### **1.6.2 Mail redirection**

All mail/correspondence received after transfer by the Exiting Scheme Agent is to be identified for redirection to the Receiving Scheme Agent within five business days of receipt.

All mail/correspondence identified for redirection is to be placed in the redirection satchel on the day of identification. The redirection satchel will be collected/delivered at regular intervals as determined by the Nominal Insurer.

Mail redirection activities are to continue for a period of 12 months after date of transfer, unless otherwise advised by the Nominal Insurer. Imaged documents may be redirected via fax. Originals (excluding accounts / invoices) that have already been batched are not required to be retrieved and redirected.

Accounts / invoices and cheques / payments must be faxed in the first instance on the day of identification and stamped confirming fax action and date. Originals must be placed in the redirection satchel on the day of identification.

#### **1.6.3 EFT direct credits**

All EFT direct credits received after transfer by the Exiting Scheme Agent are to be identified for redirection to the Receiving Scheme Agent within five business days of receipt. All EFT direct credits identified for redirection are to be redirected no later than the business day following the day of identification.

EFT direct credit redirection activities are to continue indefinitely after date of transfer. The Receiving Scheme Agent is responsible for advising payers of receipt of redirected payments and of any changes to payment details / arrangements. The Exiting Scheme Agent is responsible for cancelling EFT direct credits made to Claimants and/or service providers.

#### **1.6.4 EFT direct debits**

The Exiting Scheme Agent is responsible for cancelling all EFT direct debit arrangements for Policies being transferred.

#### **1.6.5 Cancelled cheques**

Cheques may be cancelled for the following reasons:

- payee deceased

- mail returned, no new address advised/known
- wrong amount or other material error
- duplication of payment
- payee advises cheque as being lost/stolen/destroyed
- at the direction of the Nominal Insurer.

A Scheme Agent is to advise of cancelled cheques using the cancelled cheque notification form. The Scheme Agent notifying the cancellation of a cheque is responsible for ensuring the bona fides of the reason for cancellation.

The Scheme Agent issuing the cheque is responsible for notifying the bank to place a stop payment on the cheque. The Scheme Agent issuing the original cheque is responsible for arranging reissue (if required).

#### **1.6.6 Duplicate payments and overpayments**

The Receiving Scheme Agent is responsible for recovery / obtaining reimbursement where a duplicated payment or overpayment is detected after transfer. Scheme Agents are to negotiate between themselves for copies of documentation to evidence duplication or overpayment (as required).

Duplicated payments or overpayments are to be recouped in a timely and fair manner, and in accordance with Nominal Insurer guidelines. WorkCover will review submission data to identify potential duplicate payments and advise Scheme Agents where applicable.

#### **1.6.7 Wage declarations**

The Receiving Scheme Agent is to forward a Wage declaration form with the Policy renewal. The Receiving Scheme Agent is to forward the completed Wage declaration form to the Exiting Scheme Agent as per mail redirection requirements. The Receiving Scheme Agent is to follow-up receipt of a Wage declaration form in accordance with Nominal Insurer guidelines and corporate practices and procedures.

At expiration of follow-up periods, the Receiving Scheme Agent is to advise the Exiting Scheme Agent of non-receipt of the Wage declaration form. The Exiting Scheme Agent is to action receipt or non-receipt of Wage declaration form as per Nominal Insurer guidelines and corporate practices and procedures.

#### **1.6.8 Wage estimates**

The Receiving Scheme Agent is to forward a Wage estimates form with the Policy renewal. The Receiving Scheme Agent is to follow-up receipt of the Wage estimates form from the Employer as per Nominal Insurer guidelines and corporate practices and procedures.

The Receiving Scheme Agent is to action non-receipt of the Wage estimates form as per Nominal Insurer guidelines and corporate practices and procedures.

#### **1.6.9 Tax file number declaration**

Where the Exiting Scheme Agent is paying weekly compensation direct to the Claimant, a blank tax declaration form will be sent with the advice of transfer. The Receiving Scheme Agent is to follow-up receipt of the tax declaration form from claimant as per normal practices.

## **1.7 Transfer of Policy**

### **1.7.1 Preparation**

#### **1.7.1.1 Identify Policies**

The Nominal Insurer will define Policies to be transferred and provide extract listings to both Exiting and Receiving Scheme Agents. The Exiting Scheme Agent identifies linked policies and related entities. The Nominal Insurer's representative and Exiting Scheme Agent negotiate actual Policies identified for transfer.

#### **1.7.1.2 Transfer plan**

The Nominal Insurer's representative and Scheme Agents negotiate the transfer plan and timetable.

#### **1.7.1.3 Policy status**

The Exiting Scheme Agent reviews all transferring Policies and completes the Status Report.

#### **1.7.1.4 Key documents**

The Exiting Scheme Agent must review all transferring Policies and extract key documents.

#### **1.7.1.5 Stakeholder communication**

The Nominal Insurer will advise all Policyholders of the transfer using Nominal Insurer-approved templates. A broker may be treated as a stakeholder by the Exiting Scheme Agent. The Exiting Scheme Agent may advise Policy file stakeholders of the file transfer no earlier than 2 weeks prior to renewal. Brokers advised of the transfer must be identified as a stakeholder within the Status Report-Policy.

#### **1.7.1.6 Renewal notice**

The Receiving Scheme Agent issues a renewal notice using data from the transfer file.

### **1.7.2 Data transfer**

#### **1.7.2.1 Transfer file**

WorkCover produces a Policy transfer file and provides it to the Receiving Scheme Agent.

#### **1.7.2.2 Upload Data**

The Receiving Scheme Agent uploads transfer data and confirms upload.

#### **1.7.2.3 Data safeguards**

The Exiting Scheme Agent implements system changes to ensure that renewal notices are not issued, Policies are not renewed, or payments processed after the transfer date.

## **1.7.3 File transfer – Policy file created**

### **1.7.3.1 Preparation**

The Exiting Scheme Agent creates a paper file for each Policy being transferred and encloses the completed Status Reports and key documents, where printed. The Exiting Scheme Agent places file/s in the archive boxes, completes an Inventory of Records and Box Label, and confirms file/s as ready for transfer via e-mail to the Nominal Insurer's representative.

### **1.7.3.2 Transfer**

The Exiting Scheme Agent arranges transport of files and confirms details of transport services with the Receiving Scheme Agent and the Nominal Insurer's representative via e-mail. The Exiting Scheme Agent releases files to the transport service provider, who delivers files to the Receiving Scheme Agent.

The Receiving Scheme Agent verifies receipt and confirms via e-mail with Exiting Scheme Agent and the Nominal Insurer's representative.

## **1.8 Transfer of Claim**

### **1.8.1 Preparation**

#### **1.8.1.1 Identify Claims**

The Nominal Insurer will define Claims to be transferred and provide the extract list to both Scheme Agents. The Exiting Scheme Agent is to identify linked claims<sup>3</sup> and negotiate actual Claims identified for transfer with the Nominal Insurer's representative.

#### **1.8.1.2 Transfer plan**

The Nominal Insurer's representative and Scheme Agents to negotiate transfer plan and timetable.

#### **1.8.1.3 Claim Status**

The Exiting Scheme Agent is to review all transferring Claims and complete a Status Report.

#### **1.8.1.4 Stakeholder communication**

The Nominal Insurer will advise all affected injured Workers of the transfer of a claim. The Employer is to be treated as a stakeholder by the Exiting Scheme Agent. The Exiting Scheme Agent is to advise all claim file stakeholders of the file transfer of a claim using Nominal Insurer-approved templates.

#### **1.8.1.5 Benefit payments in advance**

The Exiting Scheme Agent is to review the duration of the Medical Certificates for Claims with payment of weekly Benefits and review the duration of payments under section 36, section 37, section 38 and section 40 of the *Workers Compensation Act 1987*.

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<sup>3</sup> Claims for same claimant where period of incapacity is considered concurrent for payment of benefits.

The Exiting Scheme Agent is to make advance payments prior to transfer up to the end date of the Medical Certificates but not exceeding a maximum period of four weeks for all Claims receiving weekly Benefits. This effectively constitutes two weeks in arrears and two weeks in advance.

The Exiting Scheme Agent is to update the Status Report with details of payments and payment arrangements, issue a PAYG Summary confirming benefits paid and send a letter to the claimant confirming details of advance payments.

#### **1.8.1.6 PAYG summary**

The Exiting Scheme Agent must issue a PAYG Summary for the period up to transfer date.

#### **1.8.1.7 Payment of accounts and invoices**

The Exiting Scheme Agent is to attempt to process all approved accounts and invoices outstanding at the time of transfer for all Claims being transferred and is to note on the Status Report any accounts and invoices approved but unpaid.

#### **1.8.1.8 Form PF**

The Exiting Scheme Agent is to complete and send to the Receiving Scheme Agent of the Policy, a Form PF for each transferred Claim, and must update the Status Report with these details.

### **1.8.2 Data transfer**

#### **1.8.2.1 Transfer file**

WorkCover produces a claim transfer file and provides it to the Receiving Scheme Agent.

#### **1.8.2.2 Upload data**

The Receiving Scheme Agent uploads transfer data and confirms successful upload.

#### **1.8.2.3 Transferred status**

The Exiting Scheme Agent implements a system status change and notes Claims transferred and prevents reopening of Claims, processing payments and or inclusion in weekly submission after the transfer date.

### **1.8.3 File transfer – Paper**

#### **1.8.3.1 Extract files**

The Exiting Scheme Agent collates all related files and documentation.

#### **1.8.3.2 Preparation**

The Exiting Scheme Agent prepares files to comply with 'File Condition requirements' listed above. The Exiting Scheme Agent encloses the completed Status Report for each file, places files in archive boxes, completes Inventory of Records and Box Label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **1.8.3.3 Transfer**

The Exiting Scheme Agent arranges transport of files, confirms details of transport services with the Receiving Scheme Agent and the Nominal Insurer's representative via e-mail and releases files to transport service provider.

The transport service provider delivers the files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with the Exiting Scheme Agent and the Nominal Insurer's representative.

## **1.8.4 File transfer – Image**

### **1.8.4.1 Extract files**

The Exiting Scheme Agent collates all related files and documentation.

### **1.8.4.2 Preparation**

The Exiting Scheme Agent prepares files to comply with Data Format requirements and places completed Status Report for each file in Claim transfer order into an appropriately marked folder.

The Exiting Scheme Agent places files in acceptable packaging, places files in archive boxes, completes Inventory of Records and Box Label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **1.8.4.3 Transfer**

The Exiting Scheme Agent arranges transport of files and confirms details of transport services with the Receiving Scheme Agent and the Nominal Insurer's representative via e-mail.

The Exiting Scheme Agent releases files to transport service provider. The transport service provider delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with the Exiting Scheme Agent and the Nominal Insurer's representative.

### **1.8.4.4 Upload / print**

The Receiving Scheme Agent uploads and/or prints files in accordance with their own corporate policy.

## **1.8.5 File transfer – Paper file created**

### **1.8.5.1 Preparation**

The Exiting Scheme Agent prepares files to comply with File Condition requirements listed above and encloses a completed Status Report for each file, File Stakeholder Contact Listing and Key Documents (if printed).

The Exiting Scheme Agent places files in archive boxes, completes Inventory of Records and Box Label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **1.8.5.2 Transfer**

The Exiting Scheme Agent arranges transport of files, confirms details of transport services with the Receiving Scheme Agent and the Nominal Insurer's representative via e-mail.

The Exiting Scheme Agent releases files to transport service provider. The transport service provider delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with the Exiting Scheme Agent and the Nominal Insurer's representative.

## **1.8.6 File transfer – Case notes**

### **1.8.6.1 Extract files**

The Exiting Scheme Agent collates all related case notes.

### **1.8.6.2 Preparation**

The Exiting Scheme Agent prepares files to comply with Data Format requirements, places files in acceptable packaging, places files in archive boxes, completes Inventory of Records and Box Label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **1.8.6.3 Transfer**

The Exiting Scheme Agent arranges transport of files, confirms details of transport services with the Receiving Scheme Agent and the Nominal Insurer's representative via e-mail.

The Exiting Scheme Agent releases files to transport service provider. The transport service provider delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with the Exiting Scheme Agent and the Nominal Insurer's representative.

### **1.8.6.4 Upload / print**

The Receiving Scheme Agent uploads and or prints files in accordance with their own corporate policy.

## 1.9 Transfer of business requirements – Checklist – Policy

Requirement	Ref	Description / Actions	Responsibility
Pre-transition activity			
Apply Unique Identifier	1.4.3	Agent alters all Policy numbers on system/s to reflect Unique Identifier requirements	Scheme Agent
Submission data	1.4.4	Agent updates system Records to comply with submission data requirements	Scheme Agent
Policy – Transfer preparation	1.7.1		
Identify Policies	1.7.1.1	a) Nominal Insurer to define which Policies are to be transferred to which Agents and provide extract list to Agents b) Agent to identify linked Policies/related entities c) Nominal Insurer's representative and Agent to negotiate actual Policies to be transferred	Nominal Insurer Exiting Scheme Agent Nominal Insurer's representative / Exiting Scheme Agent
Transfer plan	1.3.3	Nominal Insurer's representative and Agents negotiate transfer plan and timetable	Nominal Insurer's representative / Scheme Agents
Stakeholder communication	1.5.10.2	a) Nominal Insurer to produce templates for communication on Policy transfer b) Nominal Insurer to issue letters to Policyholder c) Exiting Agent may advise brokers identified as stakeholder within the Policy Status –Report no earlier than two weeks prior to transfer.	Nominal Insurer  Exiting Scheme Agent
Key documents	1.5.3.1	Agent to extract either Wages Estimate Declaration or New Business Proposal	Exiting Scheme Agent
Renewal Notice	1.7.1.6	Agent to issue renewal notice	Receiving Scheme Agent
File creation	1.7.3	a) Agent to collate Status Reports and Key Documents b) Agent to secure documents in folder	Exiting Scheme Agent Exiting Scheme Agent



### Transfer of business requirements – Checklist – Policy

EFT direct debit cancellation	1.6.4	Agent to cancel all EFT Direct Debit arrangements for Policies being transferred	Exiting Scheme Agent
Policy – data transfer	1.7.2		
Transfer file	1.7.2.1	a) WorkCover produces Policy transfer file b) WorkCover forwards transfer file to Receiving Scheme Agent	WorkCover WorkCover
Upload data	1.7.2.2	a) Agent uploads transfer file data b) Agent acknowledges completion of upload c) Agent includes new Policies in next scheduled data submission	Receiving Scheme Agent Receiving Scheme Agent Receiving Scheme Agent
Data safeguards	1.7.2.3	Agent to develop and implement safeguards to avoid reopening of Policy and/or processing payments after transfer date	Exiting Scheme Agent

## I.10 Transfer of business requirements – Checklist – Claims

Requirement	Ref	Description / Actions	Responsibility
Pre-transition activity			
Apply Unique Identifier	1.4.3	Agent alters all Claim numbers on system/s to reflect Unique Identifier requirements	Scheme Agent
Submission data	1.4.4	Agent updates system Records to comply with submission data requirements	Scheme Agent
Claim – transfer preparation	1.8.1		
Identify Claims	1.8.1.1	a) Nominal Insurer to define which Claims are to be transferred to which Agents and provide extract list and error reports to Agents b) Agent to identify linked Claims c) Nominal Insurer’s representative and Agent to negotiate actual Claims to be transferred	Nominal Insurer Exiting Scheme Agent Nominal Insurer’s representative/ Exiting Scheme Agent
Transfer plan	1.3.3	Nominal Insurer’s representative and Agents negotiate transfer plan and timetable	Nominal Insurer’s representative/ Scheme Agents
Claim status	1.5.8	Agent to complete Claim Status Report for each Claim	Exiting Scheme Agent
Key document flags	1.5.3.2	Agent to tag key documents	Exiting Scheme Agent
File stakeholder contact listing	1.5.9	a) Agent to extract information and complete contact listing for all current Claim stakeholders	Exiting Scheme Agent
Stakeholder communication	1.5.10.1	a) Nominal Insurer to produce templates for communication on Claim transfer b) Nominal Insurer to issue letters to injured worker (Claimant) c) Agent to issue letters to other file stakeholders	Nominal Insurer Nominal Insurer Exiting Scheme Agent

## Transfer of business requirements – Checklist – Claims

Benefit payment	1.8.1.5	a) Agent to identify Claims with weekly benefit payment b) Agent to make advance payments as per WorkCover requirements c) Agent to annotate Status Report with payments made	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
PAYG summaries (Group Certificates)	1.8.1.6	a) Agent to produce PAYG Summaries b) Agent to annotate Status Report with PAYG Summary details	Exiting Scheme Agent Exiting Scheme Agent
Payment of accounts/invoices	1.8.1.7	a) Agent to pay any outstanding accounts/invoices b) Agent to update Status Report with details of accounts/invoices paid	Exiting Scheme Agent Exiting Scheme Agent
File creation – electronic only	1.5.12.2	a) Agent to collate Status Report, Contact Listing and Key Documents (if printed) b) Agent to secure documents in folder c) Agent to affix label to folder	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
EFT direct credit cancellation	1.6.3	Agent to cancel all EFT Direct Credit arrangements for benefit and account payments	Exiting Scheme Agent
Form PF	1.8.1.8	a) Agent to complete Form PF details where Policy is transferring to other than Claim Agent b) Agent to update Status Report with details of Policy Agent	Exiting Scheme Agent Exiting Scheme Agent
Claim – data transfer	1.8.2		
Transfer file	1.8.2.1	a) WorkCover produces Claim transfer file b) WorkCover forwards transfer file to Receiving Scheme Agent	WorkCover WorkCover

## Transfer of business requirements – Checklist – Claims

Upload data	1.8.2.2	a) Agent uploads transfer file data b) Agent acknowledges completion of upload c) Agent includes new Claims in next scheduled data submission	Receiving Scheme Agent Receiving Scheme Agent Receiving Scheme Agent
Transferred status	1.8.2.3	Agent to develop and implement system status change to note Claims transferred and prevent reopening of Claims, processing payments and/or inclusion in weekly submission after transfer date	Exiting Scheme Agent
Claim – file transfer (Paper)	1.8.3		
Extract files	1.8.3.1	a) Agent identifies storage location of files and documentation b) Agent briefs archive storage provider of requirements (as necessary) c) Agent collates all related files and documentation (incl Contact Listing, Status Report etc)	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
Preparation	1.8.3.2	a) Agent alters Claim number on files to reflect Unique Identifier b) Agent prepares files for transfer in accordance with WorkCover requirements c) Agent confirms completion of file preparations	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
Transfer	1.8.3.3	a) Agent engages removalist b) Agent releases files c) Agent acknowledges acceptance of files	Exiting Scheme Agent Exiting Scheme Agent Receiving Scheme Agent
File review	1.5.2	Agent conducts review in terms of Status Report / normal schedule	Receiving Scheme Agent

## Transfer of business requirements – Checklist – Claims

Claim – file transfer (Image)	1.8.4		
Extract files	1.8.4.1	a) Agent identifies image system location of files and documentation	Exiting Scheme Agent
		b) Agent briefs internal stakeholders / IT of requirements	Exiting Scheme Agent
		c) Agent extracts all related files and documentation	Exiting Scheme Agent
Preparation	1.8.4.2	d) Agent confirms completion of file extractions / preparations	Exiting Scheme Agent
Transfer	1.8.4.3	a) Agent engages courier	Exiting Scheme Agent
		b) Agent releases files	Exiting Scheme Agent
		c) Agent acknowledges acceptance of files	Receiving Scheme Agent
File upload / print	1.8.4.4	Agent uploads or prints files as per own corporate Policy / decision	Receiving Scheme Agent
File review	1.5.2	Agent conducts review in terms of Status Report / normal schedule	Receiving Scheme Agent
Claim – file transfer (Case notes)			
Extract files	1.8.6	a) Agent identifies system location of case notes	Exiting Scheme Agent
		b) Agent briefs internal stakeholders / IT of requirements	Exiting Scheme Agent
		c) Agent extracts all related case notes	Exiting Scheme Agent
		d) Agent confirms completion of file extractions / preparations	Exiting Scheme Agent
Records transfer	1.11	a) Agent engages courier	Exiting Scheme Agent
		b) Agent releases files	Exiting Scheme Agent
		c) Agent acknowledges acceptance of files	Receiving Scheme Agent
File upload / print	1.8.4.4	Agent uploads or prints files as per own corporate Policy / decision	Receiving Scheme Agent
File review	1.8.1.3	Agent conducts review in terms of Status Report / normal schedule	Receiving Scheme Agent

### 1.11 Transfer of business requirements – Checklist – File transfer

Requirement	Ref	Description / Actions	Responsibility
File transfer (Paper and Image)	1.8.3		
Transfer	1.8.4	a) Nominal Insurer representative briefs State Government Contract Couriers b) Nominal Insurer representative ensures Agents have customer registration number c) Agent prepares files d) Agent engages courier e) Courier collects and delivers files f) Agent acknowledges acceptance of files	Nominal Insurer representative Nominal Insurer representative Exiting Scheme Agent Exiting Scheme Agent Courier Receiving Scheme Agent

## **2 TRANSFER OF BUSINESS REQUIREMENTS – CLOSED CLAIMS**

### **2.1 Purpose**

This guide on the transfer of business requirements for closed Claims includes information to assist a Scheme Agent in the transfer of closed Claims during transition to new Scheme arrangements.

### **2.2 Objectives**

This guide will ensure:

- consistent content and quality of data and Records
- minimal disruption in the delivery of services to Workers and Employers
- minimal disruption to the operations and finances of the Scheme.

### **2.3 General requirements**

#### **2.3.1 Nomination of contact**

A Scheme Agent is to nominate a contact person/s responsible for file transfer processes throughout the Transition Period and provide details to both the Nominal Insurer's representative and other Scheme Agents.

#### **2.3.2 Nominal Insurer allocation**

The Nominal Insurer will identify closed Claims to be transferred. Physical files for closed Claims with a closure date post- 30 June 2005 will be transferred. Closed Claims with closure dates pre- 1 July 2005 will involve data transfer only.

#### **2.3.3 Transfer plan**

A Scheme Agent must develop a transfer plan to support transfer activities and ensure compliance with all requirements. The Nominal Insurer's representative will negotiate timeframes.

#### **2.3.4 Dispute resolution**

A Scheme Agent is responsible for resolving disputes in accordance with the Deed and the requirement for Scheme Agents to provide a Complaints and Dispute management model. All Scheme Agents are responsible for resolving disputes between themselves. The Receiving Scheme Agent must advise the Exiting Scheme Agent of any disputes within 15 business days following transfer. Should a dispute remain unresolved, it can be referred to the Nominal Insurer's representative.

### **2.4 Data transfer**

#### **2.4.1 Extract lists**

WorkCover will produce an extract list for closed Claims to be transferred. The extract list will contain data from WorkCover's CDR and will be provided to both the Exiting Scheme Agent and the Receiving Scheme Agent.

## **2.4.2 Transfer file**

WorkCover will produce a transfer file for closed Claims selected for transfer. The transfer file will contain data from WorkCover's CDR and will be provided to the Receiving Scheme Agent for upload.

The Receiving Scheme Agent must confirm successful upload of transfer file to the Nominal Insurer's representative via e-mail.

## **2.4.3 Unique Identifier**

A Unique Identifier is an identifier that is formatted in accordance with the Nominal Insurer's direction that uniquely identifies a Notification, Claim or Policy across the Scheme.

A Unique Identifier must be applied to a closed Claim prior to transfer.

## **2.4.4 Transfer status**

The Exiting Scheme Agent must implement system changes to note closed Claims as having a transferred status. Closed Claims with a transferred status are not to be reopened.

## **2.4.5 Data format**

### **2.4.5.1 Imaged files**

Imaged files are to be converted to pdf format (read only) and loaded to CD. Imaged files are to be recorded in Claim number order.

### **2.4.5.2 Case notes**

Online and or electronic file or case notes are to be converted to text files and loaded to CD. Case notes for each Claim are to be recorded in descending date order. Case note files are to be recorded in Claim number order.

## **2.5 Records transfer**

### **2.5.1 File preparation review**

Prior to transfer, the Exiting Scheme Agent must review all closed Claim files (paper and image) with closure date post- 30 June 2005. The review will consist of:

- location of files
- removal of material considered intellectual property.

The Receiving Scheme Agent is to confirm acceptance of files within 15 business days of receipt.

### **2.5.2 File receipt review**

The Receiving Scheme Agent must conduct a file review within 15 business days of receipt. The review will consist of verification of files received against the Inventory of Records.

The Receiving Scheme Agent must advise the Exiting Scheme Agent of any disputes within 15 business days following transfer.



### **2.5.3 Case notes**

Case notes include all file, diary and contact notes maintained in hard copy, or online / electronically within the Exiting Scheme Agent's system. All case notes must be provided to the Receiving Scheme Agent.

### **2.5.4 Missing files – creation of duplicate**

Where files are established as missing, unable to be located or incomplete, the Exiting Scheme Agent is to create a duplicate file from available information. The file must be noted as duplicate.

### **2.5.5 File condition – paper-based files**

Paper-based files are to be in serviceable condition<sup>2</sup> prior to transfer. Torn, tattered or worn file folders or covers are to be replaced or renewed. File contents are to be secured within the folder and Unique Identifier/number is to be clearly visible.

### **2.5.6 Contents of boxes/cartons**

Files are to be packed spine down only, facing the same direction and in the same order as the extract listing provided by WorkCover. An Inventory of Records is to be completed for each box and a box/carton label is to be completed and attached to each box.

Boxes are to contain a maximum weight of 16 kilograms.

### **2.5.7 Inventory of Records**

All files transferred are to be accompanied with a completed Inventory of Records and faxed to the Receiving Scheme Agent on the day of transfer. The Exiting Scheme Agent is to retain the original.

## **2.6 Post transfer**

### **2.6.1 Access to stored files**

Scheme Agents are required to firstly attempt to gain all information from CDR Records prior to requesting access to archives. Scheme Agents are to arrange recall of archived documentation and or files at the request of another Scheme Agent, and must transfer archived files at the request of another Scheme Agent.

Archive files are to be transferred in accordance with the 'Transfer of business requirements'. No costs or charges are to be levied by the Scheme Agent on the requesting Scheme Agent for access to archives.

### **2.6.2 Mail redirection**

All mail/correspondence received after transfer of file by the Exiting Scheme Agent is to be identified for redirection to the Receiving Scheme Agent within five business days of receipt.

All mail/correspondence identified for redirection is to be placed in the redirection satchel on the day of identification. The redirection satchel will be collected and delivered at regular intervals as determined by the Nominal Insurer. Mail redirection activities are to continue for a period of 12 months after date of transfer, unless otherwise advised by the Nominal Insurer.

Imaged documents may be redirected via fax. Originals (excluding accounts and invoices) that have already been batched are not required to be retrieved and redirected.

Accounts and invoices and cheques/payments must be faxed, in the first instance, on the day of identification and stamped confirming fax action and date. Originals must be redirected no later than the business day following the day of fax.

## **2.7 Transfer of closed Claim**

### **2.7.1 Preparation**

#### **2.7.1.1 Identify Claims**

The Nominal Insurer will define Claims to be transferred and provide extract lists to both Scheme Agents.

#### **2.7.1.2 Transfer plan**

The Nominal Insurer's representative and Scheme Agents will negotiate the transfer plan and timetable.

#### **2.7.1.3 Communication**

The Nominal Insurer will not advise Employers or injured Workers of the transfer of a closed Claim. In the event that contact is made to re-open a closed Claim, the Exiting Scheme Agent should note from system records that the closed Claim has been transferred and direct the caller to the Receiving Scheme Agent.

### **2.7.2 Data transfer**

#### **2.7.2.1 Transfer file**

WorkCover produces Claim transfer file and provides transfer file to Receiving Scheme Agent.

#### **2.7.2.2 Upload data**

The Receiving Scheme Agent uploads transfer of data and confirms upload.

#### **2.7.2.3 Transferred status**

The Exiting Scheme Agent implements system status changes to note Claims transferred and prevents reopening of Claims after the transfer date.

### **2.7.3 File transfer – paper**

#### **2.7.3.1 Extract files**

The Exiting Scheme Agent collates all related files and documentation.

#### **2.7.3.2 Preparation**

The Exiting Scheme Agent prepares files to comply with file condition requirements listed above and places files in archive boxes, completes an Inventory of Records and box label, and confirms file is ready for transfer via e-mail to the Nominal Insurer's representative.

### **2.7.3.3 Transfer**

The Exiting Scheme Agent arranges transport of files and confirms details of transport services with Receiving Scheme Agent and the Nominal Insurer's representative via e-mail. The Exiting Scheme Agent releases files to transport service provider who delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with Exiting Scheme Agent and the Nominal Insurer's representative.

## **2.7.4 File transfer – Image**

### **2.7.4.1 Extract files**

The Exiting Scheme Agent collates all related files and documentation.

### **2.7.4.2 Preparation**

The Exiting Scheme Agent prepares files to comply with data format requirements and places files in acceptable packaging. The Exiting Scheme Agent places files in archive boxes and completes the Inventory of Records and box label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **2.7.4.3 Transfer**

The Exiting Scheme Agent arranges transport of files and confirms details of transport services with Receiving Scheme Agent and the Nominal Insurer's representative via e-mail. The Exiting Scheme Agent releases files to the transport service provider who delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with Exiting Scheme Agent and the Nominal Insurer's representative.

### **2.7.4.4 Upload / print**

The Receiving Scheme Agent uploads and or prints files in accordance with their own corporate policy.

## **2.7.5 File transfer – case notes**

### **2.7.5.1 Extract files**

The Exiting Scheme Agent collates all related case notes.

### **2.7.5.2 Preparation**

The Exiting Scheme Agent prepares files to comply with data format requirements and places files in acceptable packaging. The Exiting Scheme Agent places files in archive boxes and completes the Inventory of Records and box label, and confirms files as ready for transfer via e-mail to the Nominal Insurer's representative.

### **2.7.5.3 Transfer**

The Exiting Scheme Agent arranges transport of files and confirms details of transport services with Receiving Scheme Agent and the Nominal Insurer's representative via e-mail. The Exiting Scheme Agent releases files to transport service provider who delivers files to the Receiving Scheme Agent. The Receiving Scheme Agent verifies receipt and confirms via e-mail with Exiting Scheme Agent and the Nominal Insurer's representative.

#### **2.7.5.4 Upload / print.**

The Receiving Scheme Agent uploads and/or prints files in accordance with their own corporate policy.

## 2.8 Transfer of business requirements – Checklist – Closed Claims

Requirement	Ref	Description / Actions	Responsibility
Pre-transition activity			
Apply Unique Identifier	2.4.3	Agent alters all Claim numbers on system/s to reflect Unique Identifier requirements	Scheme Agent
Transfer preparation	2.7.1		
Identify Claims	2.7.1.1	a) Nominal Insurer to define which Claims are to be transferred to which Agents and provide extract list to Agents b) The Nominal Insurer's representative and Agent to negotiate actual Claims to be transferred	Nominal Insurer Nominal Insurer's representative/ Exiting Scheme Agent
Transfer plan	2.7.1.2	The Nominal Insurer's representative and Agents negotiate transfer plan and timetable	Nominal Insurer's representative/ Scheme Agents
Claim – data transfer	2.7.2		
Transfer file	2.7.2.1	a) WorkCover produces Claim transfer file b) WorkCover forwards transfer file to Agent (receiving)	WorkCover WorkCover
Upload data	2.7.2.2	a) Agent uploads transfer file data b) Agent acknowledges completion of upload	Receiving Scheme Agent Receiving Scheme Agent
Transferred status	2.7.3.3	Agent to develop and implement system status change to note Claims transferred and prevent reopening of Claims after transfer date	Exiting Scheme Agent
File transfer (Paper)	2.7.3		
Extract files	2.7.3.1	a) Agent identifies storage location of files and documentation b) Agent briefs archive storage provider of requirements (as necessary) c) Agent collates all related files and documentation	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent)
Preparation	2.7.3.2	a) Agent alters Claim number on files to reflect Unique Identifier b) Agent prepares files for transfer in accordance with WorkCover requirements c) Agent confirms completion of file preparations <sub>29</sub>	Exiting Scheme Agent Exiting Scheme Agent) Exiting Scheme Agent

## Transfer of business requirements – Checklist – Closed Claims

Transfer	2.7.3.3	a) Agent engages removalist b) Agent releases files c) Agent conducts file receipt review and acknowledges acceptance of files	Exiting Scheme Agent Exiting Scheme Agent Receiving Scheme Agent
File transfer (Image) Extract files	2.7.4.1  2.7.4.2	a) Agent identifies image system location of files and documentation b) Agent briefs internal stakeholders / IT of requirements c) Agent extracts all related files and documentation d) Agent confirms completion of file extractions / preparations	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
Transfer	2.7.4.3	a) Agent engages courier b) Agent releases files c) Agent acknowledges acceptance of files	Exiting Scheme Agent Exiting Scheme Agent Receiving Scheme Agent
File upload / print	2.7.4.4	Agent uploads or prints files as per own corporate Policy / decision	Receiving Scheme Agent
File transfer (Case notes) Extract files	2.7.5.1  2.7.5.2	a) Agent identifies system location of case notes b) Agent briefs internal stakeholders / IT of requirements c) Agent extracts all related case notes d) Agent confirms completion of file extractions / preparations	Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent Exiting Scheme Agent
Transfer	2.7.5.3	a) Agent engages courier b) Agent releases files c) Agent acknowledges acceptance of files	Exiting Scheme Agent Exiting Scheme Agent Receiving Scheme Agent
File upload / print	2.7.5.4	Agent uploads or prints files as per own corporate Policy / decision	Receiving Scheme Agent

### 3 TEMPLATES FOR FILE TRANSFER

#### Box / Carton Label

Transferring to:

Address:

Attention:

Phone:

Transferring from:

Contact:

Phone:

Box Number:

Total Boxes:

Format Type:

Paper

Image

Case  
Notes

Number of Files:

Despatch date:

Urgent Action

Place "Red"  
Sticker Here

Attach this label to wide side of each box

## File Label – Claim

Cut around label, complete details and secure to front cover of paper file

Agent: _____	Agent: _____
Identifier: _____	Identifier: _____
Surname: _____	Surname: _____
First Name: _____ Initial: _____	First Name: _____ Initial: _____
DOB: _____	DOB: _____
Injury Date: _____	Injury Date: _____
Duplicate File:      Yes <input type="checkbox"/> No <input type="checkbox"/>	Duplicate File:      Yes <input type="checkbox"/> No <input type="checkbox"/>



**File Label – Policy**

Cut around label, complete details and secure to front cover of paper file

Agent: _____	Agent: _____
Identifier: _____	Identifier: _____
Employer: _____	Employer: _____
ABN: _____	ABN: _____
Commencement: _____	Commencement: _____
Duplicate File:            Yes <input type="checkbox"/> No <input type="checkbox"/>	Duplicate File:            Yes <input type="checkbox"/> No <input type="checkbox"/>

# Inventory of Records – Claims

Fax this form to the Receiving Scheme Agent . Retain original.

Commence a new page for each box.

To: \_\_\_\_\_

Contact: \_\_\_\_\_ Fax: \_\_\_\_\_

From: \_\_\_\_\_ Ph: \_\_\_\_\_

Page: \_\_\_\_\_ of \_\_\_\_\_ Box: \_\_\_\_\_ of \_\_\_\_\_

Date: \_\_\_\_\_

Note any "Urgent Action Required"

Identifier	Name	Format (Image/paper)	Action / Comments

Agent Confirmation: \_\_\_\_\_ Compiler \_\_\_\_\_

Print Name \_\_\_\_\_

Compiled Date: \_\_\_\_\_

## Inventory of Records – Policies

Fax this form to the Agent (receiving). Retain original.

Commence a new page for each box.

To:

\_\_\_\_\_

Contact:

\_\_\_\_\_

Fax:

\_\_\_\_\_

From:

\_\_\_\_\_

Ph:

\_\_\_\_\_

Page:

of

\_\_\_\_\_

Box:

of

\_\_\_\_\_

Date:

\_\_\_\_\_

Note any "Urgent Action Required"

Identifier	Name	Format ( Image or Paper)	Action / Comments

Agent Confirmation:

Compiler

\_\_\_\_\_

Print Name

Compiled Date:

\_\_\_\_\_

**Status Report - Claim**

Identifier:						
Surname:	_____		First Name:	Initial	DOB:	
Policy Agent:	_____			Policy No:	Renewal date:	
Input Tax Credit Rate	_____			Form PF:	Y / N	
Urgent Action Pending:	Y / N		Effective Date:			
Comments:						
<b>Benefits</b>						
Frequency:	Weekly:	Y / N	Monthly:	Y / N	Other:	Y / N
Method:	Cheque	Y / N	Direct deposit	Y / N	: Other:	Y / N
Bank Account Details:	BSB:		Account No.:			
Child Support/Centrelink						
Charges			Paid to Date			
Last Payment:	Amount			Date:		
Med. Certificate Dates:	From:			To:		
Type of claim:	Weekly Compensation:			Y / N	S xxx	Y / N
	Medical and like expenses:			Y / N	Other:	
Duration of Payments S36 to S40:						
<b>History</b>						
Appeals / Disputes:	Y / N	Jurisdiction:		WCC matter No:		
Common Law /	Settlements:					
Related Claims:	Y / N	Details:				
Recoveries:						
<b>Unactioned Correspondence / Unpaid Accounts/Invoices</b>						
Details:						
<b>Future agreed treatment</b>						
Details						
Agent Confirmation:	Reviewer:		_____			
			Print Name			
	Review Date:		_____			

# Status Report - Policy

Identifier:	_____		
Employer:	_____		
Contact Name:	_____	Phone:	_____
Mailing Address:	_____		
Broker (optional)	_____		
Contact Name:	_____	Phone:	_____
Mailing Address:	_____		
Category:	Small/Medium	Installments:	Y / N
Renewal Date:	_____		
ITC (Input Tax Credit) Rate:	_____	%	
Premium Amount:	_____	Total:	_____
Installment Amount:	_____		
Outstanding Premium:	Y / N	Due Date:	_____
<i>Wages History</i>			
Wage Audit/s:	Y / N	Current:	Y / N      Previous: Y / N
Outcomes:	_____		
Comments:	_____		
Actual Wages:	PRY 2004:	_____	
	PRY 2003:	_____	
Wage Estimates:	PRY 2005:	_____	
	PRY 2004:	_____	
<i>Claims History</i>			
Reimbursement Agreement for Claim Payments:	Y / N		
Details:	_____		
	_____		
	_____		
<i>Certificate of Currency History</i>			
Details:	_____		
(eg. Date Issued,	_____		
Period Covered, Wage	_____		
Estimate Amount)	_____		
	_____		

**Cancelled Cheque Notification to Scheme Agent**

Fax this form to the Scheme Agent issuing the cheque. Retain original.

To: \_\_\_\_\_  
 Contact: \_\_\_\_\_  
 From: \_\_\_\_\_  
 Page: \_\_\_\_\_ Of \_\_\_\_\_  
 Date: \_\_\_\_\_

Fax: \_\_\_\_\_  
 Ph: \_\_\_\_\_

Issuing Agent Use

Identifier	Name	Chq Number	Chq Amount	Payee	Reason for Cancellation	Reissue	Bank Advised

Comments: use this section to advise any changed details for reissue, eg new address, new amount etc.

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## Claim File Stakeholder Contact Listing

Include all stakeholders for past 12 months – eg. doctors, legal reps, recovery agents and WCC

Identifier:	_____	
Policy Agent:	_____	
Policy Number:	_____	
Employer:	_____	
Address:	_____ _____	
Contact:	_____	Phone: _____
		Fax: _____
Claimant Surname:	_____	
First Name:	_____	Initial: _____
Address:	_____ _____	
Representative:	_____	Phone: _____
		Fax: _____
Service Provider	_____	
Type:	_____	
Name:	_____	Provider No.: _____
Address:	_____ _____	
Contact:	_____	Phone: _____
		Fax: _____

Complete and attach additional forms if more contact details are required

## Advice of transfer letters

ELEMENT	STAKEHOLDER	DEVELOPED BY	SENT BY
Advice of Policy transfer	Employer	WorkCover	WorkCover
Agent information sheet	Employer	Agent	WorkCover
Advice of Claim transfer	Employer	WorkCover	Exiting Agent
Advice of unique identification code	Employer	WorkCover	New Agent
Advice of Claim transfer	Injured Worker	WorkCover	WorkCover
Agent Business Card	Injured Worker	Agent	WorkCover
Advice of invoicing changes	Service Providers	WorkCover	HIC (Doctors)/ WorkCover (other providers)
Advice of Claim transfer & unique identification code	Service Provider	WorkCover	Exiting Agent
Advice of Claim transfer, Unique identification code and WCC matter number	Workers compensation commission	WorkCover	Exiting Agent



**Request to access stored files**

<b>Claim Archive Record Details</b>	
Identifier:	(if known)
Surname:	_____
First Name:	_____ Initial: _____
DOB:	_____
<b>Policy Archive Record Details</b>	
Identifier:	_____
Employer:	_____
Contact Name:	_____ Phone: _____
<b>Policy / Claim Agent Details</b>	
Agent:	_____
Comments / Reason for Request	
<b>Policy / Claim Agent Archive Details</b>	
Location: _____	
Box Number:	_____ Date of Lodgement: _____
Instructions to Archive Storage Provider:	

Copy of this form to be inserted in box/location where file was removed from

## 4 TEMPLATES FOR FILE TRANSFER – CLOSED CLAIMS

### Box / Carton Label - Closed Claims

Transferring to:

Address:

---

---

---

---

Attention:

Phone:

--	--	--	--	--	--	--	--	--	--	--

Transferring from:

Contact:

Phone:

--	--	--	--	--	--	--	--	--	--	--

Box Number:

Total Boxes:

Format Type:

Paper

Image

Case  
Notes

Number of Files:

---

Despatch date:

---

Urgent Action

Place "Red"  
Sticker Here

Attach this label to wide side of each box



**Request for access to stored files**

<b>Claim Archive Record Details</b>	
Identifier: _____	(if known)
Surname: _____	
First Name: _____	Initial: _____
DOB: _____	
<b>Policy Archive Record Details</b>	
Identifier: _____	
Employer: _____	
Contact Name: _____	Phone: _____
<b>Policy / Claim Agent Details</b>	
Agent: _____	
Comments / Reason for Request	
<b>Policy / Claim Agent Archive Details</b>	
Location: _____	
Box Number: _____	Date of Lodgement: _____
Instructions to Archive Storage Provider:	

Copy of this form to be inserted in box/location where file was removed from

## Advice of transfer letters

ELEMENT	STAKEHOLDER	DEVELOPED BY	SENT BY
Advice of Policy transfer	Employer	WorkCover	WorkCover
Agent information sheet	Employer	Agent	WorkCover
Advice of Claim transfer	Employer	WorkCover	Exiting Agent
Advice of unique identification code	Employer	WorkCover	New Agent
Advice of Claim transfer	Injured Worker	WorkCover	WorkCover
Agent Business Card	Injured Worker	Agent	WorkCover
Advice of invoicing changes	Service Providers	WorkCover	HIC (Doctors)/ WorkCover (other providers)
Advice of Claim transfer & unique identification code	Service Provider	WorkCover	Exiting Agent
Advice of Claim transfer, Unique identification code and WCC matter number	Workers compensation commission	WorkCover	Exiting Agent

## 5 GLOSSARY

**CDR** – Corporate Data Repository.

**Exiting Scheme Agent** – Scheme Agent from whom business is transferring.

**File stakeholders** – all interested parties to a Policy or Claim file within the last 12 months, including (but not limited to) employer, broker (optional), injured worker and service providers (medical, legal etc), and WCC.

**Intellectual property** – means any information comprised in or relating to any intellectual property rights of the Scheme Agent. It includes patent, know-how, copyright, design, semiconductor or circuit layout rights, trademarks, service mark, trade secret, business or company names or other proprietary rights and any rights to registration of such rights, whether created before or after the Commencement Date, in Australia or elsewhere.

**Receiving Scheme Agent** – Scheme Agent to whom business is being transferred.

**Serviceable condition** – means that documents are adequately contained and secured within files so as not to deteriorate whilst being transferred. Files should be able to withstand the impacts of packaging and transport.

**Stored files** – records that have been removed to secondary storage

**WCC** – Workers Compensation Commission.